

**THE UNIVERSITY OF ALABAMA  
IN HUNTSVILLE**

**OFFICE OF SPONSORED PROGRAMS**

**PROPOSAL GUIDELINES**

**MARCH 2006**

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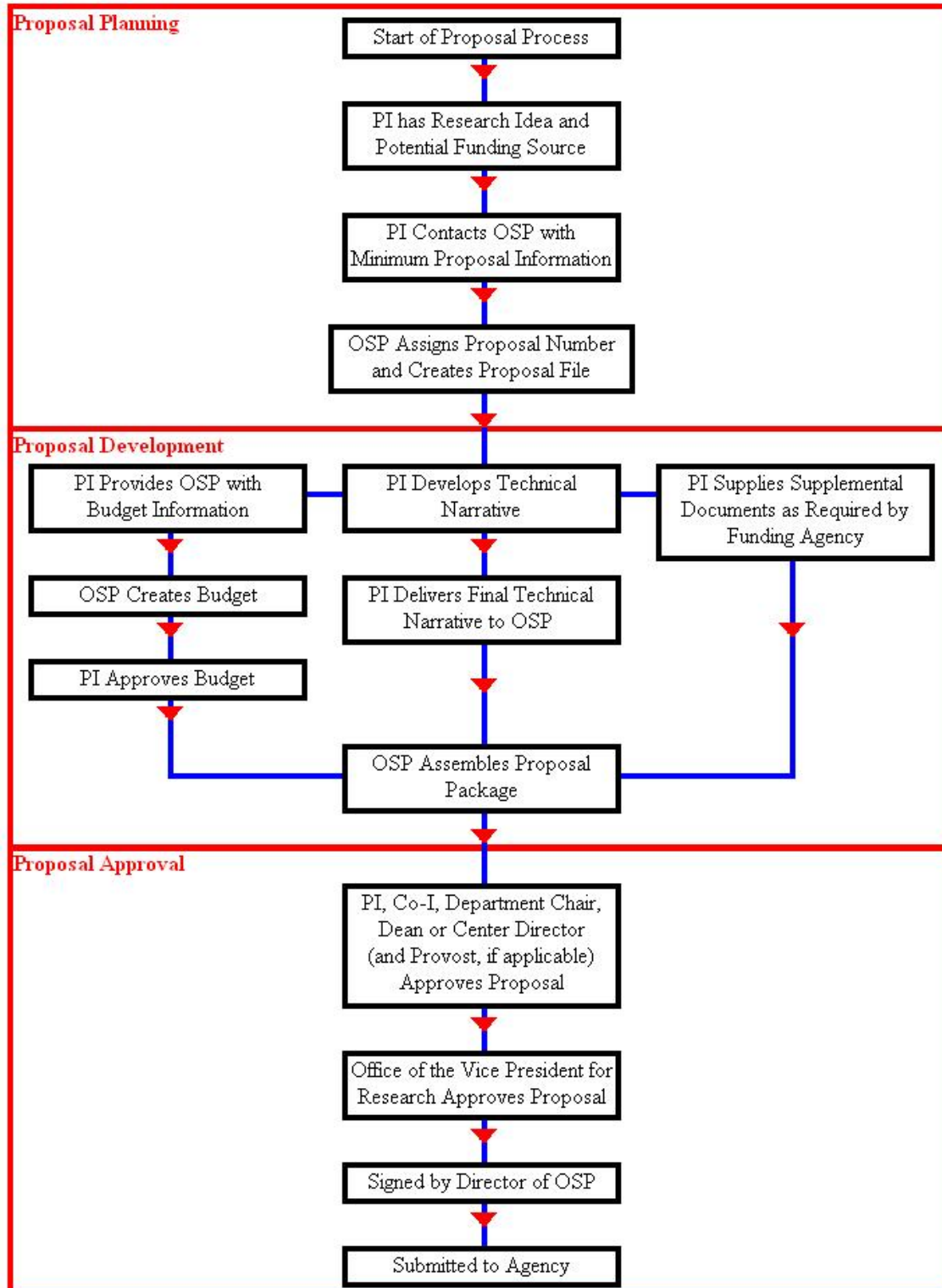
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## Overview of Proposal Submission Process at UAH

Proposal Procedures Document: [\(PDF Version\)](#) [\(HTML Version\)](#)

(Move mouse over diagram to expose additional information)



# 1.0 RESEARCH POLICIES AND PROCEDURES

## 1.1 Office of Sponsored Programs

### UAH Policies and Procedures

The Office of Sponsored Programs (OSP) is responsible for the business administration aspects of research projects sponsored by the government, industry, or foundations in accordance with the established policies of the University.

Government sponsored research is normally carried out under contract, as a cooperative agreement, or a grant, depending on which agency is sponsoring the work and, to some extent, on the nature of the program.

Although government grants and contracts are subject to differing statutory requirements and regulations, there is no significant difference between them in terms of UAH research policy and administrative procedures. Except for federal compliance programs or regulations, the administration of contracts from private organizations does not differ markedly from that of government grants, cooperative agreements, and contracts.

## 1.2 Procedures for Establishing Contracts or Grants

The following procedures should be observed for a research program whether it is to be covered by a contract or grant and regardless of the potential sponsor:

- a) Preliminary discussions may be carried out between a research faculty/staff member and a sponsor, but no proposals or commitments should be made.
- b) A faculty/staff member proposing a sponsored research project should first coordinate their intentions with their appropriate department/center head to ensure that: i) the project is appropriate for the department/center to undertake as a part of its educational and research program, ii) adequate research space and facilities are available, iii) course release time is available, if required, and iv) cost share resources are available, if required from department, college or center. Proposals will include a budget prepared by OSP. Budgets for all sponsored research should cover both direct and facilities and administrative costs (F&A) at current rates. Approval for any deviation in the current F&A rates must be obtained in writing from the VP for Research, prior to budget preparation by OSP.
- c) After Department/Center approval, the proposal will be submitted to the appropriate Dean, if applicable, and/or the Provost if proposing course/curriculum development and/or cost share of time during the academic year.
- d) After review and approvals, as outlined in paragraphs b) and c) above, the proposal is delivered to OSP for review and signatures of the VP for Research and Director of Sponsored Programs. The approved proposal is then submitted by OSP to the funding agency in accordance with agency guidelines.
- e) Renewals or extension involving additional funds must go through the procedures outlined above.

f) All awards are negotiated by OSP and signed by an official designated by The Board of Trustees of The University of Alabama. Once negotiations have been completed, OSP will establish the appropriate accounts, provide copies of the award documents to the PI, PI's budget staff, Contracts and Grants Accounting and Co-I, if applicable.

g) Any correspondence proposing modification of the terms or conditions of a sponsored award, including changes in the scope of work or the period of performance, an increase or decrease in the total estimated costs, or a change in the level of effort of key personnel, must be submitted to the funding agency by OSP.

h) It is the responsibility of the PI to ensure all cost share proposed either directly by the PI or indirectly by other colleges, centers, departments, and/or external sources are met. In addition all cost overruns are the responsibility of the PI.

### **1.3 Research Facilities and Administrative Costs**

In sponsoring research at colleges and universities, the federal government and other sponsors reimburse the direct costs charged to specific projects as well as the facilities and administrative (F&A) costs that support research projects generally, such as those incurred in personnel administration, accounting, physical plant operations and maintenance, the library, etc.

Since most F&A cost categories consist of "shared" costs that jointly support both instructional and sponsored research activities, they must be allocated on some equitable basis to instructional programs on the one hand and to sponsored research projects on the other. The allocation process is governed by OMB Circular A-21, the federal "*Cost Principles Applicable to Educational Institutions*," and is implemented at UAH using procedures negotiated with the University's cognizant federal agency, The Department of Health and Human Services (DHHS).

After a portion of each F&A cost category or "pool" has been allocated to sponsored research as a whole for a given fiscal year, the total amount so allocated must be charged to (or collected from) each individual research project. This prorated charge is determined by applying a fixed percentage, or F&A cost rate, to certain direct costs charged to that project during the fiscal year. Any F&A costs not charged to a particular sponsored project are not absorbed by other projects, but must be funded by the University.

The direct costs to which the F&A cost rate is applied are referred to collectively as the F&A "cost base" or "collection base." The collection base required by OMB Circular A-21 is modified total direct cost (MTDC), i.e., all direct costs less certain exclusions such as equipment; subcontract costs after the first \$25,000; fellowship stipends; and when determined by funding agency, participant support costs.

The negotiation of allowable F&A costs, the direct cost base, and the applicable F&A cost rate is the direct responsibility of the VP for Finance and Administration.

Information explaining the composition of F&A costs and the direct cost base, and how F&A cost rates are calculated is available from the Office of Sponsored Programs.

## 2.0 SUBMITTING PROPOSAL THROUGH UAH'S OSP

All proposals (to include grant applications) submitted to any sponsor, organization, or institution on behalf of UAH are to be reviewed for compliance and signed by OSP prior to submission or transmission. *Under the current system that OSP operates these are the procedures:*

### 2.1 Principal Investigator (PI) responsibility:

*Utilize the checklist, Exhibit A, page 12 to ensure a smooth proposal process.*

a) Contact your OSP Contract Administrator (CA) and provide him/her with the sponsor's website, announcement number and title (if applicable). College/Center CA assignments are located on page 11 of these procedures. The PI **must** read the solicitation/announcement as well as agency guidelines, if applicable.

b) Provide the CA with information to develop a draft budget and proposal title. Note: If proposing foreign nationals PI must check with the Office of Security and Immigrations to ensure individual VISA requirements are met. If the foreign national is coming to the US to work on the research project, the Office of Security and Immigration must complete the VISA process.

c) The PI must obtain all letters of support and a budget for any collaborator/subcontract proposed. The PI must also provide OSP with a quote for any equipment proposed. Please note, computers and/or laptops are not allowable as direct cost in accordance with OMB Circular A21 unless it will be integrated into a piece of equipment. The equipment (system) must be named and the PI must provide a justification explaining the integrations. For additional information on allowable cost, please refer to UAH's cost policy at <http://www.uah.edu/research/resadmin/information/compliance/costpol.html>

d) If cost share is required, share your intention to submit a proposal with your department chair, dean, center director and administrative/budget assistant as soon as you become aware of the needs/requirements.

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

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

- **Human Subjects:**

- <http://www.uah.edu/research/resadmin/information/compliance/humansubjects.html>

- **Animals** <http://www.uah.edu/research/resadmin/information/compliance/IACUC.htm>

g) If your research involves hazardous or accountable materials, use of lasers, radiation and/or recombinant DNA, this information must be include on you Internal Coordination Sheet (ICS), Exhibit B, page 13. **Note: If any of the boxes on Exhibit B are checked, PI must complete an OEHS Project Registration Form PRIOR TO OFFICE OF SPONSORED PROGRAMS PROCESSING THE AWARD.** Failure to disclose this information may result in the research being suspended until the PI complies with UAH's policies on Health and Environmental Safety in the lab.

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

- **NSF:** The PI is responsible for completing and uploading all required forms **with exception of the budget page**. Once all information has been uploaded into NSF Fastlane, the PI will notify the CA. The PI must give OSP access to the proposal for electronic signature/submission.
- **NSPIRES:** The PI is responsible for uploading all applicable data, including the cover page (which includes the budget). OSP cannot access the proposal for submission until the PI locks the proposal for submission. Once the proposal has been locked it must be withdrawn in order to make corrections/additions.
- **GRANTS.GOV:** (For proposals submitted to NIH or DOE.) The PI is responsible for uploading all required data. PI must download a copy of the PureEdge Viewer prior to uploading. This viewer is compatible with both Windows and Macintosh.

**The PI is responsible for obtaining all signatures on the ICS up to the Provost, if applicable, to include any Co-I and their appropriate department chair, dean and/or center director. The Provost must sign the ICS if any of the following are proposed:**

- Cost share of academic time in excess of 20%
- Course buy out
- Course/curriculum development

h) The signed ICS and original **ready to submit** proposal should be delivered to OSP for processing at least three (3) working days prior to the date the proposal must be submitted/transmitted to the sponsoring agency. If other than electronic submission, the proposal will be sent via Federal Express. The PI will be provided a copy of the document for tracking purposes. Overnight delivery will be done at the PI's expense, unless approved and funded by the Dean or VP for Research.

## **2.2 OSP Responsibility**

- a) CA will review agency solicitation/announcement for budget guidance and agency compliance for submission.
- b) Prepare the proposal budget from data provided by the PI, in accordance with OMB Circular A21, UAH's cost policy and agency guidelines. A draft budget will be submitted to the PI via email not later than 2 working days from date of receipt of budget information. PI must propose as a minimum 1% effort on all proposals unless otherwise noted in the solicitation/agency guidelines.
- c) Provide the PI with a current and pending report if applicable.

**Current and Pending Support:** Note: NSF "requires information on all current and pending support for ongoing projects and proposals, including subsequent funding in the case of continuing grants. All current project support from whatever source (e.g., Federal, State, local, or foreign government agencies, public or private foundations, industrial or other commercial organizations) must be cited. The proposal project and all other projects or activities requiring a portion of time of the PI and other senior personnel must be included, **even if they receive no salary support from the project(s)**. The total award amount of the entire award period covered (including indirect costs) must be shown as well as the number of person-months per year to be devoted to the project, regardless of source of support." For additional information please refer to the NSF Grants Handbook ([http://www.nsf.gov/publications/pubs\\_summ.jsp?ods\\_key=gpg](http://www.nsf.gov/publications/pubs_summ.jsp?ods_key=gpg)).

d) Once the draft budget has been approved/finalized by the PI, the CA will prepare the ICS. The ICS and approved budget will be delivered to the PI. Changes in the budget in excess of 10% (this excludes cost share) of

the proposal budget once the ICS has been signed will require a new ICS for signatures. **Any changes in cost share regardless of the amount will require a new ICS for signatures.**

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

f) After all applicable signatures have been obtained on the ICS, the PI will bring the completed ready to submit proposal to OSP for final processing. If the budget is accurate (no changes made by PI), the budget justification matches proposal budget, and all University, state and agency policies and procedures have been followed, OSP will obtain the VP for Research and Director of OSP signatures.

g) Submission of proposal:

- OSP will make all necessary copies. If color diagrams are included in the proposal, please notify the CA. OSP has a high quality color printer.
- Electronic submission will be done by your contract administrator.
- Paper copies will be sent via Federal Express. Overnight delivery will be at the expense of the PI, unless approved and funded by the College Dean or VP for Research.

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

There will be times when a PI learns about an opportunity and is unable to meet the three (3) working day deadline for submission. OSP will work with the PI “up to the last minute” if time and workload permits. Please inform your CA as soon as you decide to submit a proposal and provide as much information as possible. Proposals submitted to OSP less than three (3) working days prior to the due date will require the PI and his dean to sign the PI responsibility letter.

With increasingly complex proposal guidelines and submission procedures, inadequate lead-time may result in OSP submitting a proposal conditionally for reasons that include:

- Less than three (3) working days to review.
- Incomplete budget review to assure accuracy and compliance with University cost policies.
- Incomplete review of sponsor’s announcement and/or solicitation requirements.

In very rare instances, a conditional proposal may be withdrawn if the University is unable to correct budgetary errors, or to comply with cost sharing or other conditions identified in the announcement and/or solicitation.

An official proposal must be submitted through OSP. The VP for Research and Director of OSP are the University’s representatives who are authorized to sign proposals and grant applications, and submit them to the sponsor agency. Deans, department chairs, center directors, and PIs are NOT authorized to sign nor submit proposals on behalf of the University.

## 3.0 FREQUENTLY ASKED QUESTIONS

### 3.1 How do I locate a potential sponsor?:

- On the OSP website, under “Funding Source Information” click on:

The **Community of Science (COS)** or you can log in at <http://fundingopps.cos.com>. For assistance please contact Steve Parker at [parkerjs@uah.edu](mailto:parkerjs@uah.edu) or 2654.

The **Grant Advisor** or you can log in at [www.grantadvisor.com/tgaplus](http://www.grantadvisor.com/tgaplus). For assistance please contact Gloria Greene at [greeneg@uah.edu](mailto:greeneg@uah.edu) or 2657

- A funding opportunity email is sent to all deans, department chairs and center directors from the Director of OSP on all current announcements through Grants.gov.

### 3.2 What cost should be included in the proposal budget?

The budget includes a reasonable estimate of the financial support required to conduct the project, including justification of budget expenses. The typical budget categories include:

#### Direct Costs

- **Salaries:** For University faculty and staff, graduate and undergraduate students, salary figures are normally based on the percentage of effort by each individual on the project applied to his/her annual salary. **PI and CO-I are required to charge a minimum of 1% effort for entire proposed period.**
- **Fringe Benefits:** The current fringe rate for estimating purposes only for faculty and staff is 30% unless otherwise noted. The academic year (AY) 06 fringe rates for Graduate Research Assistance (GRA) are as follows: \$600/month for tuition and \$70/month for health insurance. Rates are increased by 4% each year of the proposal. GRA rates are escalated in September of each year; faculty and staff are escalated in October of each year.
- **Equipment:** Any item of equipment having a unit cost of \$5,000 or more (including the cost of shipping, installation, and fabrication) and a useful life of one year or more should be a direct cost item. General purpose equipment such as office furniture, PCs, laptops, fax machines, etc., are generally not deemed allowable by most sponsors unless it is used primarily or exclusively for the research project. This must be supported by a written justification (vendor quote or catalog price list) to the contract administrator at the time the budget is being prepared.
- **Materials and Supplies:** Expendable items with a useful life of less than two years or a cost under \$5,000 are generally considered as materials and supplies. Include a description of the material or supply category (e.g. glassware) and itemized estimate of cost in the budget information provided to the contract administrator.
- **Travel:** Domestic and foreign travel should be shown separately. List the name, destination, and purpose of the trip. Include transportation costs (coach airfare), registration fees, per diem, and other related expenses.
- **Publication Costs:** Estimate the number of pages, page charges and names of journals (if possible).
- **Consultants:** List each consultant and their reimbursable rate, and provide their curriculum vitae/resume.
- **Subcontracts:** A subcontract is a contracting to other organization(s) of some scientific or programmatic aspect of the grant or contract made originally to UAH. Include in the main proposal the subcontractor's authorized proposal, budget, and letters of support/collaboration.

- **Other:** Other costs typically include items such as long distance telephone charges, research publications, fees, animal costs, or other project related costs, and are usually less significant dollar amounts than are proposed in the other previously mentioned categories.

### **3.3 Facilities and Administrative Cost (aka: Indirect Cost/Overhead)**

F&A rates are negotiated with UAH's cognizant federal agency, the Department of Health and Human Services. Unless stated otherwise by the funding agency, UAH's current negotiated rates will be used in proposals for the type of project being proposed (research, other sponsored activities, instructions). UAH's current F&A rates which are effective through October 2008 are as followed:

- 46.5% for all on-campus research
- 48% for on campus instructions
- 40% for on campus other sponsored activities
- 27% for off campus research/instructions/other sponsored activities (within 50 miles radius)
- 26% for off campus research/instructions/other sponsored activities (in excess of 50 miles radius)

### **Cost Sharing**

Cost sharing is any cost to the project not borne by the sponsor. Only include cost sharing when specifically required under the terms of the solicitation or program announcement. All cost sharing will comply with UAH's Cost Share Policy which is located at:

[www.uah.edu/research/resadmin/information/compliance/index.html](http://www.uah.edu/research/resadmin/information/compliance/index.html)

### **Additional Information**

Additional information may consist of, but is not limited to the following:

- Current and pending support. Sponsor may require a listing of the PIs (and sometimes Key Personnel) current awards and pending proposals.
- Letters of support from non-university investigators may also be required.
- See Exhibit D, page 18 for General Information required on most, if not all proposals.

*See Exhibit C, page 16 for a Sample Proposal Budget*

### **3.4 Why does my proposal need to be routed?**

The internal review process for external funding proposals ensures compliance with federal, state, and institutional regulations and promotes accuracy in all budgetary and institutional information. Typically, the following questions are resolved at each of the indicated levels:

a) Departmental/Center:

- Will the proposal interfere with the total effort expected and for which that person is being paid?
- Will the teaching load be adjusted because of the faculty member's work on the contract or grant?
- Are there sufficient facilities and equipment available to support the proposed research?
- Does the project fit within the overall objectives of the department?
- Are human or animal subjects to be involved in research?
- Have biohazards been identified?

b) College/Center:

- Confirms that above judgments have been made at the departmental level.
- Determines that the commitment of Institutional funds (cost share), if any, in support of the project are consistent with the college/center objective.
- Verifies the worthiness of the project in terms of college/center objectives.
- Reviews the budget to ensure that full and appropriately documented costs are included.

c) OSP:

- Forwards those proposals requiring University funds not available at the department/college/center level to the VP for Research for review. Examples are funds for cost sharing/matching requirements.
- Reviews the budget to ensure that full and appropriately documented costs are included.
- Verifies that all involved departments/centers and compliance units (Animal Care, Human Subject, and OEHS) have approved the proposal.
- Reviews institutional information for accuracy.

**3.5 Who do I contact for assistance with my proposal and/or other sponsored research related questions?**

OSP staff is assigned to a particular college or center based on the fiscally responsible UAH organization. For assistance please contact the appropriate administrator:

| College/Center   | Contract Administrator                       | Phone Number<br>Email Address                                      |
|--|--|--|
| College of Science, Continuing Education, CMR, Provost, Office of International Programs, Academic Affairs & ISED                                      | Kenya Cole<br>Contract Administrator         | 824-2647<br><a href="mailto:colek@uah.edu">colek@uah.edu</a>       |
| All subcontracts issued by the University  | Steve Parker<br>Contract Specialist          | 824-2654<br><a href="mailto:parkerjs@uah.edu">parkerjs@uah.edu</a> |
| NASA/MSFC Cooperative Agreement, 02K, SETAC, AMCOM Express, GSA Schedule   | Felecia Troupe<br>Assistant Director         | 824-2660<br><a href="mailto:troupef@uah.edu">troupef@uah.edu</a>   |
| Alabama Space Grant Consortium (ASGC), LMass, LSB, ITSC, NSF/EPSCoR, College of Administrative Science, College of Liberal Arts, and Humanities Center | Andrea Dixon<br>Sr. Contract Admin.          | 824-2662<br><a href="mailto:dixona@uah.edu">dixona@uah.edu</a>     |
| Earth Systems Science Center (ESSC), College of Nursing, CAO, NMDC, PRC  | Yelena Zakin<br>Sr. Contract Admin.          | 824-2658<br><a href="mailto:zakiny@uah.edu">zakiny@uah.edu</a>     |
| DOD Task Order Contracts: (W31P4Q-04-C-R172 and DAAH01-01-C-R160), SMAP Center, Rotorcraft (RSESC), VP for Research, RIC/ISED, CMSA and VP for Finance | Laurie Salehi<br>Contract Admin. II          | 824-2649<br><a href="mailto:salehil@uah.edu">salehil@uah.edu</a>   |
| SMDC Contract (DAAH01-97-D-R005), SED Contract (W31P40-05-C-0136), Research Institute (RI), ARC, OED, Transportation Applied Science (Facility)        | Consuela Duckworth<br>Contract Administrator | 824-2650<br><a href="mailto:hunterci@uah.edu">hunterci@uah.edu</a> |
| College of Engineering, CNS, CSPAR, CMDS   | Tempie Powell (Temp)                         | 824-2659<br><a href="mailto:powellt@uah.edu">powellt@uah.edu</a>   |

**OFFICE OF SPONSORED PROGRAMS  
PROPOSAL CHECKLIST  
EXHIBIT A**

Use this checklist as a handy guide to ensure a smooth proposal process. Remember to allow at a minimum three (3) working days for OSP to review/processing proposal prior to submission.

|                          |   |
|--------------------------|---|
| <input type="checkbox"/> | <b>Are you Export Control Certified?</b> <i>Note: You must be export control certified before you can submit a proposal through OSP. - completion time approximately 30 minutes (online certification)</i>  |
| <input type="checkbox"/> | Notified your <u>Contract Administrator</u> (CA) of intent to submit a proposal, provide agency website or copy of announcement/ solicitation and DUE DATE. – <i>(As soon as possible) (Page 4)</i>   |
| <input type="checkbox"/> | Contacted the Office of Security and Immigrations (6444): If hiring/proposing foreign nationals or a clearance is required. <i>(~4 weeks prior)</i>   |
| <input type="checkbox"/> | Provided CA with data to develop proposal budget. <i>(NLT 2 weeks prior to due date) (Page 9)</i>   |
| <input type="checkbox"/> | All cost has been identified in both proposal budget and budget justification.  |
| <input type="checkbox"/> | Received a final approved copy of the budget spreadsheet. <i>(~ 2 working days from receipt of data)</i>  |
|                          | Budget and justification: <i>(This process takes approximately 5-7 working days) (Pages 9-10)</i>   |
| <input type="checkbox"/> | All cost proposed is in accordance with UAH’s cost policy (direct vs. indirect, allowable, etc.)  |
| <input type="checkbox"/> | Fringe and F&A rates conforms to UAH’s negotiated rate agreement or agency’s guidelines.  |
| <input type="checkbox"/> | Tuition is included for any graduate research assistant proposed on the project.  |
| <input type="checkbox"/> | Appropriate dean/chair/center director has approved cost share  |
| <input type="checkbox"/> | All required forms are completed in accordance with agency guidelines for electronic submission   |
| <input type="checkbox"/> | <b>Obtained</b> all letters of support/proposal budgets from Collaborator/Subcontractor.  |
| <input type="checkbox"/> | <b>Quotes</b> for equipment or justification for fabrication of equipment if applicable.  |
| <input type="checkbox"/> | Obtained all applicable review/signatures/approvals to include Human Subjects (IRB), animal care and use (IACUC), and Office of Environmental, Health and Safety (OEHS) up to the Provost if applicable (course buy out, cost share of academic time an/or course development). <i>(~ 2- 4 days) (Page 6)</i>     |
| <input type="checkbox"/> | Obtained all applicable signatures up to Provost (if applicable) on ICS. <i>(~ 1-2 working days) (Page 10)</i>  |
| <input type="checkbox"/> | Verified that all applicable forms are complete. <i>(~ 1-2 working days)</i>  |
| <input type="checkbox"/> | Signed all applicable documents requiring PI’s signature. <i>(~1-3 working days)</i>  |
| <input type="checkbox"/> | Submitted the complete <b>ready to submit</b> proposal and signed ICS to OSP three (3) working days prior to due date. Note: if electronic submission you may want to get proposal to OSP prior to the three working days, to avoid potential problems with the agency website. <i>(recommended 5 days prior)</i> |
| <input type="checkbox"/> | <b>Received notification from OSP (email survey) that proposal has been submitted and a copy of the proposal for files. Completed email survey.</b> <i>(~ 1 working day after submission)</i>   |

**EXHIBIT B**  
**THE UNIVERSITY OF ALABAMA IN HUNTSVILLE**  
**OFFICE OF SPONSORED PROGRAMS**  
**INTERNAL COORDINATION SHEET FOR PROPOSALS**

P.I.: \_\_\_\_\_

Contract Administrator: \_\_\_\_\_ Phone # \_\_\_\_\_ Due Date: \_\_\_\_\_ Electronic Submission: \_\_\_\_\_

TITLE \_\_\_\_\_

AGENCY: \_\_\_\_\_ SOLICITATION NO. \_\_\_\_\_ DATE SUBMITTED: \_\_\_\_\_

F&A @ \_\_\_\_\_ % \$ \_\_\_\_\_ PROPOSAL NO.: \_\_\_\_\_ POP: \_\_\_\_\_

AGENCY \$ \_\_\_\_\_ UAH \$ \_\_\_\_\_ OTHER \$ \_\_\_\_\_ TOTAL \$ \_\_\_\_\_

FISCALLY RESPONSIBLE \_\_\_\_\_ PI's SCHOOL/CENTER \_\_\_\_\_

**THRUST AREA (circle the area that applies to this proposal)**    EN (Energy)    MI (Missiles)    MT (Materials)  
 OP (Optical)    RO (Robotics)    ST (Solar Terrestrial)    SV (Service)    TR (Training)    OT (Other) \_\_\_\_\_

**SAFETY AND PROTECTION** (please check any box which pertains to this proposal. In addition to the required Committee approvals, PI must complete an OEHS Project Registration Form PRIOR TO OFFICE OF SPONSORED PROGRAMS PROCESSING THE AWARD.)

- Human Subject       Animal Care & Use

If human subjects are involved, has approval from the UAH HS Committee been obtained?

- Pending       Approved on \_\_\_\_\_ (see attached documentation)       Not yet applied for

If vertebrate animals are involved, has approval from the UAH ACU Committee been obtained?

- Pending       Approved on \_\_\_\_\_ (see attached documentation)       Not yet applied for

If any of the following boxes are checked, PI must complete an OEHS Project Registration Form PRIOR TO OFFICE OF SPONSORED PROGRAMS PROCESSING THE AWARD:

- Radioisotopes or x-ray generating equipment     Carcinogenic/mutagenic/teratogenic chemicals     Highly toxic chemicals  
 Toxins or toxin products     Explosives/propellants     Pressurized gases     Lasers (class? \_\_\_\_\_)     Microbial agents/products  
 Human blood, body fluids, tissues     Recombinant DNA or RNA molecules     Cell or tissue culture  
 Select agents\*    \*per Homeland Security & Bioterrorism Protection Act of 2002

**COST SHARING COMMITMENT**

Mandatory \$ \_\_\_\_\_ Additional \$ \_\_\_\_\_ Total \$ \_\_\_\_\_

Cost sharing indicates the use of University and/or other funds to supplement a sponsor's support of a project. This section will document and certify cost and/or in kind sharing. **Signing this form represents verification that the information provided for cost share is valid and guarantees that funds are readily available to cost share toward the above reference research project upon award.**

**Federal awards may not be utilized as cost sharing, unless otherwise approved by sponsored agency.** The University strongly discourages cost sharing equipment and space. Any amount appearing on this page must appear on the Proposed Budget Page. Commercial agencies and In-kind cost sharing must provide an executed letter of commitment to include applicable dollar amount, before it can be proposed as cost sharing.

| Category           | Amount | Type* | Fiscally Responsible | **Source Account | Point of Contact/number |
|--------------------|--------|-------|----------------------|------------------|-------------------------|
| Salaries & Fringes | \$     |       |                      |                  |                         |
| Salaries & Fringes | \$     |       |                      |                  |                         |
| Tuition            | \$     | Cash  |                      |                  |                         |
| Supplies           | \$     |       |                      |                  |                         |
| Travel             | \$     |       |                      |                  |                         |
| Equipment          | \$     |       |                      |                  |                         |
| F&A                | \$     | N/A   | VP for Research      |                  |                         |
| Other              | \$     |       |                      |                  |                         |
| Other              | \$     |       |                      |                  |                         |

\* Cash or in-kind    \*\* Applicable "2" or "3" account for which funds will be taken from & placed in a cost sharing account (2-7-----) Rev. 01/04 (do not use others)

## APPROVALS

**Investigator's Statement:** My signature below certifies that,

I **will** comply with the University's Scientific Misconduct Policy;

I am **not** debarred, suspended, declared ineligible or proposed for debarment by a Federal entity;

I **will** be responsible for technical conduct of work the work and will be responsible for submission of all required technical reports;

I **will** be responsible for compliance with award terms and conditions; including citizenship requirements for project participants;

I **have** read and understand the University of Alabama in Huntsville Conflict of Interest Policy (see page 3 of ICS). Furthermore, should any potential or actual conflict of interest arise during the conduct of this proposed research, I acknowledge that I have an obligation to disclose immediately such conflicts in writing to the Chair and Dean/Center Director and seek resolution.

I **have**, read and understand the University of Alabama in Huntsville Patent Policy and agree that I am bound by and will comply with its provisions. I will disclose promptly, in writing to the Office of Sponsored Programs, all new technology invented or discovered during the course of research on this project, either by me or other persons who perform work on this project. Furthermore, I will assist UAH with the necessary paperwork to file patent applications and establish the Government's right in any invention.

I **will**, in the event an award results from this proposal, assume all responsibility to ensure all proposed cost share is met and any costs overrun are covered by me.

**Chair and Dean/Center Director/VP and/or Associate VP for Research:** My signature below certifies that,

I **have** reviewed this proposal and cost sharing and affirm that it is in keeping with the University's policies and procedures;

I **will** assume fiscal responsibility for contract funds and overruns, if my unit is named the fiscally responsible unit for this proposal;

I **have** reviewed this proposal, faculty time, allocations, and budget/cost sharing, and consider it technically sound and compatible with Department/Center plans, and the effort proposed is in keeping with the University's policies and procedures;

I **am** aware of all the requirements of this project, the commitment(s) of my Department, College or Center, and I am agreeing to provide them, except as noted below.

\_\_\_\_\_  
Principal Investigator                      Date

\_\_\_\_\_  
Department Chair                              Date

\_\_\_\_\_  
Co-Investigator                              Date

\_\_\_\_\_  
Department Chair                              Date

\_\_\_\_\_  
Co-Investigator                              Date

\_\_\_\_\_  
Provost    Date

\_\_\_\_\_  
Dean    Date

\_\_\_\_\_  
Vice President for Research                      Date

\_\_\_\_\_  
Dean    Date

\_\_\_\_\_  
Associate Vice President for Research              Date

\_\_\_\_\_  
Center Director                              Date

This proposal is in conformance with policies of both the University and the proposed sponsor.

\_\_\_\_\_  
Director, Office of Sponsored Programs      Date

Comments: \_\_\_\_\_

\_\_\_\_\_

\_\_\_\_\_

## CERTIFICATION

**Principal Investigator:** \_\_\_\_\_

**Proposal No.:** \_\_\_\_\_

Each Principal Investigator on all sponsored projects must complete this certification before the proposal can be processed by the Office of Sponsored Programs. PI's signature on the Internal Coordination Sheet (ICS) applies to this form as well.

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](http://www.uah.edu/research/resadmin/information/compliance). This certification will apply to all **named** consultant/subcontracts proposed under this proposal.

### 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. Does the proposal include cost share of effort during the academic years, course buyouts, course/curriculum development and/or construction? \_\_\_\_\_ yes \_\_\_\_\_ no If Yes, explain \_\_\_\_\_

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

3. 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

4. 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

5. 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

6. 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 7 AND 8 IF THIS IS A **GOVERNMENT SPONSORED PROJECT**

7. 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

8. 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 sponsored project is:**

Approved \_\_\_\_\_ Disapproved \_\_\_\_\_ Department Chairman \_\_\_\_\_ (date)

Approved \_\_\_\_\_ Disapproved \_\_\_\_\_ Dean/Center Director \_\_\_\_\_ (date)

**SAMPLE PROPOSAL BUDGET  
EXHIBIT C**

With rare exceptions, every proposal to an external sponsor requires some type of budget, displaying the intended use of funds sought. Below is a typical UAH OSP budget format with cost categories.

---

The University of Alabama in Huntsville  
 UAH Research Proposal No.: 2006-XXX  
 Period of Performance: October 1, 2006 – September 30, 2007  
 Title: Electrical Power Systems Management

|  |     | <u><b>Total Est. Cost</b></u> |
|--|-----|-------------------------------|
| <b>A. Salaries and Wages</b>   | /1/ |                               |
| 1. Dr. Henry Brown, Principal Investigator*  |     |                               |
| 20% X 9 mos. / 12 mos. X \$100,682   |     | \$15,102                      |
| 100% X 3 mos. / 12 mos. X \$100,682  |     | \$25,171                      |
| 2. Graduate Research Assistant   |     |                               |
| 100% X 12 mos. / 12 mos. X \$18,000  |     | \$18,000                      |
| 3. Undergraduate Student Assistant 102 hrs. X \$9.65/hr  |     | \$984                         |
| <b>TOTAL SALARIES AND WAGES</b>  |     | <b>\$59,257</b>               |
| <b>B. Fringe Benefits</b>  | /2/ |                               |
| 1. 30% of A1   |     | \$12,082                      |
| 2. Tuition Assistance for A2 (\$600/Month)   |     | \$7,200                       |
| 3. Health Insurance for A2 (\$70.Month)  |     | \$840                         |
| <b>TOTAL FRINGE BENEFITS</b>   |     | <b>\$20,122</b>               |
| <b>Total Salaries, Wages and Fringe Benefits</b>   |     | <b>\$79,379</b>               |
| <b>C. Operating Expenses</b>   |     |                               |
| 1. Materials and Supplies (see budget justification)   |     | \$7,000                       |
| 2. Report Preparation  |     | \$500                         |
| <b>TOTAL OPERATING EXPENSES</b>  |     | <b>\$7,500</b>                |
| <b>D. Travel (See Travel Breakdown)</b>  | /3/ |                               |
| 1. Domestic Travel to Cal Tech, Pasadena, CA   |     | \$2,800                       |
| 2. Foreign Travel: International Conference for Advancement of Propulsion<br>Research, London, England |     | \$3,500                       |
| <b>TOTAL TRAVEL EXPENSES</b>   |     | <b>\$6,300</b>                |
| <b>TOTAL ESTIMATED DIRECT COST</b>   |     | <b>\$93,179</b>               |
| <b>E. Facilities and Administrative Cost</b>   | /4/ |                               |
| 46.5% Modified Total Direct Cost   |     | \$43,328                      |
| <b>TOTAL ESTIMATED PROJECT COST</b>  |     | <b>\$136,507</b>              |

\*Academic Appointment converted to calendar equivalent

- /1/ See Financial Data Sheet 2.a
- /2/ See Financial Data Sheet 2.b
- /3/ See Financial Data Sheet 2.c
- /4/ See Financial Data Sheet 2.d

**THE UNIVERSITY OF ALABAMA IN HUNTSVILLE  
FINANCIAL DATA SHEET  
EXHIBIT C-1**

**1. Price Summary**

The cost estimate presents applicable pricing information based on the standard format adopted by the University, and is consistent with our current cost accounting standards. UAH's fiscal year begins October 1<sup>st</sup>. The academic year begins around the third week of August.

**2. Cost Substantiation**

**a. Salaries:**

Proposed salaries are quoted based on actuals, (*unless otherwise noted on the proposal budget*) and non-student salaries are increased by 4.0% each fiscal year to cover anticipated raises. These increases are **MERIT**, not cost-of-living, raises. Percentage of time is estimated. Salaries are verified through the established payroll system and after-the-fact certification of effort. (For leave loaded rates see reverse of this sheet.) Note that a full time graduate student appointment is the equivalent of a 50% full time employee.

**b. Fringe benefits:**

Paid absences such as vacation, sick leave, and holidays are included in salaries and are charged as a direct expense as negotiated in the facilities and administrative cost rate. Fringe benefits are charged as a direct expense. They include State Teachers' Retirement, Teachers' Insurance and Annuity Association--The College Retirement Equities Fund, social security, disability insurance, and life insurance where applicable. An estimated fringe benefit rate of 30% is usually proposed for non-student employees. Graduate Research Assistants receive tuition assistance as a fringe benefit adjusted annually on the academic year based on information provided by the Dean of Graduate Studies as well as health insurance. Each individual's actual fringe benefit rate will be charged.

**c. Travel:**

Reimbursement of travel will be in accordance with The University of Alabama travel regulations. Expenses for out-of-state travel will be paid on the basis of actual, reasonable, and necessary expenses. Expenses for in-state travel will be paid on a per diem basis. Transportation costs will be reimbursed on the basis of actual costs for common carrier and at the approved rate per mile for automobiles.

**d. Facilities and administrative cost rate:**

The University negotiates its pre-determined facilities and administrative cost rate with the Department of Health and Human Services. The negotiated facilities and administrative cost rates for FY'05-FY'08 (10/1/04-9/30/08) follow:

|                                      | FY'05 | FY'06 | FY'07 | FY'08 |                                       | FY'05 | FY'06 | FY'07 | FY'08 |
|--------------------------------------|-------|-------|-------|-------|---------------------------------------|-------|-------|-------|-------|
| On-campus Research                   | 45.5% | 46.5% | 46.5% | 46.5% | Off-campus Research                   | 26.0% | 27.0% | 27.0% | 27.0% |
| On-campus Instruction                | 48.0% | 48.0% | 48.0% | 48.0% | Off-campus Instruction                | 26.0% | 27.0% | 27.0% | 27.0% |
| On-campus Other Sponsored Activities | 40.0% | 40.0% | 40.0% | 40.0% | Off-campus Other Sponsored Activities | 26.0% | 27.0% | 27.0% | 27.0% |

These rates are based on Modified Total Direct Costs (MTDC). Facilities and administrative cost is not charged on capital expenditures such as equipment, alterations, renovations, fellowships, scholarships, rental of off-site facilities, and patient care. Only the first \$25,000 of each subcontract is subject to F & A rates.

**3. Government Agency Contacts:**

**Administrative Contracting Officer:**

Office of Naval Research Resident Representative  
Atlanta Regional Office  
100 Alabama Street, NW, Suite 4-R15  
Atlanta, GA 30303-3104  
ATTN: Michael D. Karp, ACO  
404-562-1612 ([karpm@onr.navy.mil](mailto:karpm@onr.navy.mil))  
ATTN: Antoinette Bigby, Grant Specialist  
404-562-1614 ([bigbya@onr.navy.mil](mailto:bigbya@onr.navy.mil))

**Audit Functions:**

NASA/Office of Inspector General  
NASA Headquarters/Code W  
300 E Street, SW/Room 8T79  
Washington, DC 20546-0001  
202-358-0001  
202-358-3241 (fax)  
[code-w-aiga-staff-dir@lists.hq.nasa.gov](mailto:code-w-aiga-staff-dir@lists.hq.nasa.gov)

**4. Awards:**

Resulting contracts or grants should be forwarded to:

**Office of Sponsored Programs**  
**The University of Alabama in Huntsville**  
**Von Braun Research Hall/Room E-12**  
**Huntsville, AL 35899**  
**256-824-2656; 256-824-6677 (fax)**

Payments (referencing the invoice number) should be forwarded to:

**Office of the Bursar**  
**The University of Alabama in Huntsville**  
**University Center/Room 214**  
**Huntsville, AL 35899**  
**256-824-6223; 256-8246711 (fax)**

**5. Additional Information:**

**CAS Disclosure Statement:** Filed with DHHS, Feb 2005  
*Charles J. Seed, Director*  
*Division of Cost Allocation*  
*DHHS/Office of the Inspector General*  
*Room 106 Cohen Building*  
*330 Independence Avenue*  
*Washington, DC 20201*

**CAGE Code:** 9B944  
**DUNS #:** 949687123  
**EIN:** 63-0520830  
**UAH registered with CCR in August 1999**

OSP/FD

Office of Sponsored Programs

March/2006

The University of Alabama in Huntsville  
Office of Sponsored Programs

**General Information for Proposals**  
**EXHIBIT D**

|  |   |
|--|---|
| Official Name:<br>Congressional District: 5 <sup>th</sup>              | The Board of Trustees of The University of Alabama for and on behalf of The University of Alabama in Huntsville<br>301 Sparkman Drive<br>Huntsville, AL 35899   |
| Name, Title, Phone #, email of <b>Official Signing for University:</b> | Gloria W. Greene<br>Director, Office of Sponsored Programs<br>301 Sparkman Drive, VBRH E26<br>Phone: (256) 824-2657; Fax: (256) 824-6677<br>Email: <a href="mailto:greeneg@uah.edu">greeneg@uah.edu</a> |
| Resulting Awards should be forwarded to:                               | The University of Alabama in Huntsville<br>Office of Sponsored Programs<br>VBRH, E12<br>Huntsville, AL 35899<br>Phone: (256) 824-6000; Fax: (256) 824-6677  |
| Make Checks Payable to:  | The University of Alabama in Huntsville<br>Office of the Bursar<br>RE: (add invoice number here)<br>UC 214<br>Huntsville, AL 35899<br>Phone: (256) 824-6223; Fax: (256) 824-6711                        |
| Administrative Contracting Officer:                                    | Office of Naval Research Resident Representative<br>Atlanta Regional Office<br>100 Alabama Street, NW, Suite 4-R15<br>Atlanta, GA 30303-3104<br>Phone: (404)-562-1612                                   |
| Cognizant Audit Function:  | NASA/Office of Inspector General<br>NASA Headquarters/Code W<br>300 E Street, SW/Room 8T79<br>Washington, DC 2-546-0001<br>(202) 358-0001; Fax: (202) 358-3241  |
| EIN:   | 63-0520830  |
| Cage Code:   | 9B944   |
| DUNS #:  | 949687123   |
| CCR:   | UAH registered with CCR in August 1999  |
| CAS Disclosure Statement:  | Filed with DHHS – Feb 2005  |
| F&A Rate Agreement   | Expires: September 30, 2008   |
| UAH Fiscal Year:   | 10/1 – 9/30 (each year)   |
| Insurance Coverage:  | UAH is Self-insured   |