Welcome

This guide is designed to give an overview of the available resources and the general procedures for conducting sponsored research in the Culverhouse College of Commerce and The University of Alabama. If you have questions or need assistance, please let us know.

Michael Hardin
Associate Dean for Research
Senior Associate Dean

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149 Bidgood, 348-2952
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C&BA Faculty Guidelines for the Preparation of Contract or Grant Proposals

1. Obtain and read the program guidelines. Determine if your research interest fits with the funding agency. Note amount of funding available, application deadline, and proposal evaluation criteria. The guidelines contain information on how the proposal should be organized and formatted; how it will be evaluated; and when it is due.

2. Contact the agency program officer. Discuss your ideas for the proposal. Incorporate any suggestions from program officer into your proposal.

3. Determine what resources are needed—staff, match, letters of support, etc. Define the project in detail.

4. Prepare the budget and include information for budget justification. Start early on the budget. Make sure your Department Head and Associate Dean for Research understand what is included in the budget well in advance of asking for their signature on the University coordination sheet.

5. Determination of any cost sharing at the departmental level is the responsibility of the Principal Investigator (PI). If cost sharing at the College level is required, the Associate Dean for Research and the College Director of Financial Affairs will assist in that determination.

6. Preparation of the content and formatting of the proposal to meet agency guidelines is the responsibility of the PI. Proposal should be concise, logical, and error free. Proofread the proposal.

7. When the budget and proposal are both complete, a University coordination sheet should be prepared. PI signs and obtains the signature of his/her Department Head. The Associate Dean for Research signs for the College. The coordination sheet should be signed only when the full proposal and budget are attached since it acknowledges any departmental cost sharing and faculty supplemental compensation included in the proposal.

8. If proposal is being submitted electronically, the PI should contact the Office for Sponsored Programs (OSP) to coordinate the electronic submission. Grants.gov proposals should be submitted to OSP at least 4 days prior to the agency deadline. Please see http://osp.ua.edu/grantsgov/grants_gov_information.htm for additional information on Grants.gov submissions.

9. When a proposal is funded, the PI is responsible for all expenditures made against the contract budget and for following UA Post-Award Policies. Information on these policies is available at http://osp.ua.edu/policy_procedures.html. While preparing the physical paperwork on a contract may be the job of another person, the PI is responsible for the content of that paperwork.
Indirect Costs (Overhead)

The following material is drawn from the *Faculty Handbook on Post-Award Policies and Procedures in Contract and Grant Accounting*.

**Indirect Costs or Facilities and Administrative (F&A)**

Costs are defined as

1. …those that are incurred for common or joint objectives (of the University) and, therefore, cannot be identified readily and specifically with a particular sponsored project, an instructional activity or any other institutional activity…

2. These costs are also referred to as Facilities and Administrative and are comprised of a number of components.

3. Facilities includes depreciation and use allowances, interest on debt associated with certain buildings, equipment and capital improvements, operation and maintenance expenses, and library expenses.

4. Administration is defined as general administration and general expenses, departmental administration, sponsored projects administration, student administration and services, and all other types of expenditures not listed specifically under…facilities.

5. At the college and department level salaries of administrative and clerical staff and items such as office supplies, postage, local telephone cost, and memberships shall normally be treated as F&A costs. Costs incurred for the same purpose in like circumstances must be consistently treated by the University as either direct or indirect.
Resources

C&BA has a web site that provides a starting place for your research. The site research.cba.ua.edu has links to searchable databases such as the Community of Science and Grants.gov and to select funding agencies.
C&BA publishes a monthly newsletter Research Notes that highlights funding opportunities. Electronic copies are distributed to faculty and professional staff and a .pdf version is placed on the research web site.

For information on funding opportunities and other information related to sponsored research, please visit research.cba.ua.edu or contact Deborah Hamilton (8-2652).

Research Grants Awards for 2008
The Research Grants Committee, through the Office of the Vice President for Research, is accepting applications for research grant funding for full-time permanent UA faculty and staff. Applicants may apply for funding for grant-in-aid (salary for all or part of summer), assistants, supplies, equipment, books, and travel in an amount up to $5,000. A detailed budget is required as part of the application. The deadline for applications is January 31 at 5 p.m. Awards will be announced the first week of April 2008.
Proposal submission information is at http://www.osp.ua.edu/rac_grants.html.
Contact Lauren Carr at 8-7812 or lcarr@fa.ua.edu.

NSF Theoretical Foundations 2008 (TF)
NSF’s Theoretical Foundations program supports basic research into the central issues underlying computer and information science and technology. Research and education projects sponsored by the program strengthen the intellectual foundations of algorithms and theoretical computer science, cryptography, network and communication theory, information theory, numeric and scientific computing, signal processing, and geometric algorithms, and bring advanced mathematical capabilities from these areas to bear on fundamental problems throughout science and engineering. The program encourages investigators to include in their proposals innovative curricula or educational materials to help advance the training of new experts in the cognate TF areas.

The TF program will support a number of new projects in FY 2008, ranging from modest projects with average annual budgets of $50,000 all the way through well-integrated, multi-investigator projects with annual budgets in the $500,000 to $1,000,000 range. Deadline is March 17 - March 31, 2008.

NSF’s Emerging Models and Technologies for Computation (EMT)
The goal of the EMT program is to enable radical innovations in the software, hardware and architecture of computing and communication systems through the support of projects that capitalize upon research opportunities at the intersection of computing and biological systems, nanoscale science and engineering, quantum information science, and other promising areas of science and technology. Interdisciplinary collaborations are highly encouraged.

Competitive proposals will move beyond incremental and evolutionary technological advances, stimulating seminal discoveries and innovations that will allow computing and communication systems to both work in radically different ways and make much greater contributions to society. In addition to advancing the research frontiers of computing and communications, the EMT program supports the development of innovative curricula and courseware that will help train future generations of engineers and scientists in emerging models and technologies for computation and communication.

In FY2008, EMT will fund research projects of three different types:
Large - These projects typically involve four or more Principal Investigators (PIs) working in complementary fields of science or engineering, and their associated postdoctoral fellows and/or students;
Medium - These projects typically involve two to four PIs with complementary research expertise and their associated postdoctoral fellows and/or students; and
Small - These projects typically consist of a single PI and associated postdoctoral fellow and/or students.
Deadline is March 13, 2008.
Upjohn Institute for Employment Research

Mini-Grants

The Upjohn Institute funds proposals to conduct research and write scholarly papers on innovative research topics. Mini-Grants provide flexibility to meet special funding needs that, without support, would prevent researchers from pursuing the project. Funds could be used as summer compensation or to acquire special data sets, meet unusual computer processing or programming needs, or to cover travel to collect primary data. Special consideration will be given to those who use data from the Institute’s Employment Research Data Center.

The Institute expects the recipient to submit their paper to a reputable journal, to prepare a synopsis of their research for consideration as an article in the Institute’s newsletter, Employment Research, and to enter the paper in the institute’s working paper series.

The Institute will consider all employment-related topics. The following topics would be of interest; however, applicants should feel free to pursue any topic that fits the general area:

Social Insurance: Studying systems that cushion wage earners against the vagaries of a market economy, including unemployment insurance, workers’ compensation, disability insurance, and public retirement programs. Interest also extends to the impact of protective labor legislation, including prohibitions against discrimination in employment by age, gender, race, disability, and other factors.

Employment Relationships: Research on employment relationships between workers and firms, how they are changing, and the policy implications of these changes. Research should explore the reasons underlying changes in such areas as the level and distribution of worker compensation, training and productivity, and unemployment, as well as the implications of these changes for policy. Research that compares recent developments in the United States with those in other countries is also encouraged.

Workforce and Economic Development Programs: Studies are encouraged that address the efficacy of government programs that promote workforce and economic development. These studies may address the effectiveness of states and localities in matching local resources to local needs, explore the proper incentive structure to accomplish program goals, assess the outcomes achieved by programs, and analyze program impacts on human capital development and economic growth.

The deadline for three-page summary applications is February 1, 2008. Mini-Grant proposals will be due April 11, 2008. Funding limit is $5,000.

http://www.upjohninst.org/grants.html

AHRQ Health Services Research Demonstration and Dissemination Grants (R18)

This program announcement expresses AHRQ priority interests for ongoing extramural grants for research demonstration and dissemination projects to:

Support improvements in health outcomes. AHRQ seeks to support research to understand and improve decision-making at all levels of the health care system, the outcomes of health care, and, in particular, what works, for whom, when, and at what cost.

Strengthen quality measurement and improvement. AHRQ is interested in a broad array of research topics, including studies to develop valid and reliable measures of the process and outcomes of care, causation and prevention of errors in health care, strategies for incorporating quality measures into programs of quality improvement, and dissemination and implementation of validated quality improvement mechanisms.

Identify strategies to improve access, foster appropriate use, and reduce unnecessary expenditures. This area focuses on issues pertaining to the types of health care services Americans use, the cost of these services and sources of payment, determinants of access to care, and whether particular approaches to health care delivery and financing, or characteristics of the health care market, alter behaviors in ways that improve access and promote cost-effective use of health care resources.

Deadlines are January 25, May 25, and September 25, 2008.

The **Community of Science (COS)** allows searches of comprehensive funding resources and identifies experts and potential collaborators. You can create a personal profile to showcase your research expertise.

Community of Science (COS) is the leading global resource for hard-to-find information critical to scientific research and other projects across all disciplines. We aggregate valuable information so you spend less precious time and money searching for the information you need, leaving you more time and money for your projects.

**Find funding with COS Funding Opportunities:** search the world’s most comprehensive funding resource, with more than 24,000 records representing nearly 400,000 opportunities, worth over $33 billion.

**Identify experts and collaborators with COS Expertise:** search among 500,000 profiles of researchers from 1,600 institutions throughout the world. Discover who’s doing what -- current research activity, funding received, publications, patents, new positions and more.

**Promote your research with a COS Profile:** showcase your research and expertise among researchers and scholars from universities, corporations and nonprofits in more than 170 countries. Use convenient tools to keep your CV updated and accessible.
Grants.gov allows you to electronically find and apply for grants from all federal grant-making agencies. You can also register for their grants notification service.
Our research web site also links to the University’s Office for Sponsored Programs’ site which has information on their proposal system. This includes agency face page information, budget components, indirect costs rates, fringe benefit rates, and compliance.
Proposal Development

The Office for Sponsored Programs can assist in the preparation of proposals by assisting in the creation of budgets, identifying necessary forms, explaining requirements for submission and electronic research administration.

- **Directory of Grant Specialists Responsibilities by College**
- **Proposal Development Assistance**
  - Proposal Development Guide
- **Proposal Components**
- **Budget Information**
  - Budget Definitions
  - Facilities and Administrative Indirect Cost Rates
  - Fringe Benefit Rates
  - Tuition Rates
  - GPA Health Insurance
- **Grantor System Information**
  - Fastlane Handout
  - Grants.gov Handout
- **Proposal Writing Resources**
  - Word Doc
  - Proposal Forms (Budget/Travel/Internal Coordination Sheet)
**COLLEGES AND UNIVERSITIES RATE AGREEMENT**

EIN #: 1636001138 Al  

INSTITUTION:  
University of Alabama at Tuscaloosa  
152 Rose Administration Building  
PO Box 870104  
Tuscaloosa  
AL  
35487-0104  

DATE: August 18, 2005  
FILING REF.: The preceding Agreement was dated April 2, 2003  

The rates approved in this agreement are for use on grants, contracts and other agreements with the Federal Government, subject to the conditions in Section III.

**SECTION I: FACILITIES AND ADMINISTRATIVE COST RATES**

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*BASE:*
Modified total direct costs, consisting of all salaries and wages, fringe benefits, materials, supplies, services, travel and subgrants and subcontracts up to the first $25,000 of each subgrant or subcontract (regardless of the period covered by the subgrant or subcontract). Modified total direct costs shall exclude equipment, capital expenditures, charges for patient care, tuition remission, rental costs of off-site facilities, scholarships, and fellowships as well as the portion of each subgrant and subcontract in excess of $25,000.

(1) US0296

This can be found at [http://osp.ua.edu/FandAdocument.pdf](http://osp.ua.edu/FandAdocument.pdf)
Fringe Benefit Rates by Category

- Faculty and Regular Full-time Exempt Staff: 28.41 percent
- Regular Full-time Nonexempt Staff: 36.61 percent
- Part-time Staff (Exempt and Nonexempt): 35.83 percent
- Post Doctoral Fellows: 17.38 percent
- Temporary Employees: 7.80 percent
- Graduate Students: 7.70 percent of summer earnings + $1,200/year for health insurance

Presentations
- Institutional Review Board by Tanta Myles
- Financial Stewardship by Cindy Hope
- Grants.Gov: What to Expect
- Data Retention at UA
All proposals, including preproposals, must be coordinated through the C&BA Associate Dean’s Office.

This can be found at [http://osp.ua.edu/internalcoor-updatedinteractive.pdf](http://osp.ua.edu/internalcoor-updatedinteractive.pdf)
### Sponsor Information

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<th>Co-PI 5</th>
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<td>Title</td>
<td>Dept. Name</td>
<td>Dept. Org. #</td>
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<td>Phone Number</td>
<td>FAX Number</td>
<td>Email</td>
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If the Sponsor recognizes more PI’s or Co-PI’s than listed above, please attach an additional sheet with the above information on the additional PI’s or Co-PI’s. No Key Personnel may be listed on the Debarred or Suspended List see Excluded Parties List System

#### Budget Information

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<th>Budget:</th>
<th>F&amp;A Base</th>
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<tr>
<td>Direct Costs</td>
<td>F&amp;A Rate for this proposal</td>
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<td>Indirect Costs</td>
<td>F&amp;A Calculated on:</td>
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<td>Total</td>
<td>MTDC</td>
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If deviating from UA’s full F&A rate, attach sponsor policy or written confirmation that sponsor’s maximum rate is less than UA’s full rate.

#### Facility Requirements

Will this project require renovations, additional space or facilities?  Yes  No
Will this project require equipment installation costs not included in the project budget?  Yes  No

#### Cost Sharing Information

Is cost sharing committed to this project?  Yes  No
If yes, complete and attach the Cost Sharing Authorization Form

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You may attach a copy of the announcement to this form if you do not have a website referral number.
Compliance Reviews

- Yes ☐ No ☐ 1. Does this proposal present a potential conflict of interest as specified in UA policy on Conflict of Interest? *(If yes, attach the UA Conflict of Interest form).*
- Yes ☐ No ☐ 2. Will the project involve subcontracting to another entity or institution? *(If yes, attach an approved budget and proposal for each).*
- Yes ☐ No ☐ 3. Is there multiple department involvement in this project? *(If yes, the proposal must be reviewed and approved by all departments.)*
- Yes ☐ No ☐ 4. Is any supplemental compensation for faculty proposed? *(If so, see UA policy).*
- Yes ☐ No ☐ 5. Will there be any use of vertebrate animals? *(If yes, see UA IACUC policy and identify the date submitted for review).*
  Date:
- Yes ☐ No ☐ 6. Will there be any use of human subjects through interviews, questionnaires, or surveys, psychological testing, collecting personal data, laboratory procedures, etc. *(If yes, see UA IRB policy and identify the date submitted).*
  Date:
- Yes ☐ No ☐ 7. Will the project involve confidential information/Non-Disclosure Agreement? *(NDA)*
- Yes ☐ No ☐ 8. Will the project involve the transfer of biological materials/Material Transfer Agreement? *(MTA)*
- Yes ☐ No ☐ 9. Will the project be subject to federal Export Control Regulations?
- Yes ☐ No ☐ 10. Will this project involve radioactive or other hazardous materials?

Radioactive Materials Involved:

Hazardous Materials Involved:

- ☐ Pathogenic Microorganism-- Pathogenic Microorganism Type:
- ☐ Blood, Blood products or Human Tissue
- ☐ Importation of animal materials
- ☐ Controlled Substance
- ☐ Controlled Substance Type:
- ☐ Recombinat DNA

Hazardous Chemicals:

- ☐ Toxic
- ☐ Corrosive
- ☐ Reactive
- ☐ Explosive
- ☐ Carcinogenic

If any of the above apply, contact the UA Director of Environmental Health and Safety for institution regulations.

Person Contacted: __________________ Date: ________________

Notes/Comments:

____________________________
### Certifications and Signatures

By signature below, I certify my understanding that the expenditure of funds received for externally sponsored projects is subject to both sponsor guidelines and the University of Alabama Policies and Procedures.

a) By signature below, I certify that no University of Alabama employee or official, and no family members of a University employee or official, or no sponsoring agency employee or official, will receive a benefit as a result of this proposed project, except as has been previously disclosed in writing to the University. I understand that I must disclose any benefit provided to a family member, University employee/official, or Sponsoring employee or official.

b) I have reviewed and will comply with the University of Alabama Conflict of Interest policies and procedures. I further certify that I will comply with any conditions or restrictions imposed by the University to manage, reduce or eliminate actual or potential conflicts of interest. I am indicating below whether I currently have a conflict of interest or potential conflict of interest.

c) I hereby agree to be bound by and comply with the terms of the University of Alabama Patent Policy and to disclose to designated University officials all inventions and discoveries made by me, made under my direction, or otherwise known to me resulting from the work conducted under this contract or grant.

*The following portion of this form must be printed and signed by the appropriate officials for assurances, routing and approval.*

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<th>All Investigators/Project Administrators Must Sign:</th>
<th>Conflict of Interest</th>
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<td>Co-Principal Investigator 5 Date Y_ N</td>
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#### College/Department/Approvals:

By signing below you verify your approval for the submission of this proposal and your concurrence with the statements contained in this form.

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<th>Dean (of Principal Investigator) Date</th>
<th>Dept. Head (of PI) Date</th>
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#### Office for Sponsored Programs Only

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<th>Cynthia Hope Date</th>
<th>Lauren Carr Date</th>
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<tr>
<td>Director</td>
<td>Senior Associate Director</td>
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The **UA Faculty Handbook on Post-Award Policies & Procedures** is available on the web. Researchers are responsible for reading and following these procedures.
Proposal Preparation

Do your homework. Identify appropriate sponsor and make sure agency hasn’t just funded what you are proposing.

Read the guidelines.

Call, visit, or email the program officer and get acquainted. Discuss your proposed project. Show evidence of your preliminary effort.

Follow the directions. Agencies have very specific requirements. Format and appearance count.

Constructive criticism is for your benefit. Take notes, ask questions, and make revisions quickly.

Seek alliances that can strengthen your proposal.

Be sure you understand the evaluation criteria and weights that the reviewers will be giving to the various sections of the proposal.

Consider becoming a reviewer. This will give you insight into the process.

Write from the reviewer’s prospective. Make sure that someone outside your discipline can understand the proposal.

Other general writing tips are available on the Foundation Center’s Proposal Writing Short Course (see page 22).
Proposal Writing Short Course

Introduction

The subject of this short course is proposal writing. But the proposal does not stand alone. It must be part of a process of planning and of research on, outreach to, and cultivation of potential foundation and corporate donors.

This process is grounded in the conviction that a partnership should develop between the nonprofit and the donor. When you spend a great deal of your time seeking money, it is hard to remember that it can also be difficult to give money away. In fact, the dollars contributed by a foundation or corporation have no value until they are attached to solid programs in the nonprofit sector.

This truly is an ideal partnership. The nonprofits have the ideas and the capacity to solve problems, but no dollars with which to implement them. The foundations and corporations have the financial resources but not the other resources needed to create programs. Bring the two together effectively, and the result is a dynamic collaboration.

You need to follow a step-by-step process in the search for private dollars. It takes time and
Definitions

A sponsored project usually refers to an activity financed by a source other than the agency administering the project.

A contract is for a specific project where the funding agency has identified the need and expected outcomes. The agency typically issues a Request for Proposal (RFP). There are several kinds of contracts:

Cost Reimbursable—expenses incurred on contract are invoiced to sponsor.

Fixed Price—contract amount is approved with no restrictions on how it is spent.

Cost Plus Fixed Fee—covers specific amount over costs.

Cost Sharing—University agrees to match either in money or in-kind the amount or some portion of the amount the sponsor agrees to pay. (Note: Cost share arrangements must be approved in advance.)