



PROFILE

JANUARY TO MARCH 2006

CLOSEOUT REQUIREMENTS ON SPONSORED PROJECTS

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The Federal government has established standardized guidance documents that provide direction for the closeout of funded research projects (OMB Circular A-110, "Grants and Agreements with Institutions of Higher Education"). Proper closeout of sponsored projects is essential in the event the project is audited.

For the closeout of any funded project, the Principal Investigator (PI) is required to fulfill all final technical reporting requirements including patent disclosure, invention statements, and equipment inventory. During the closeout period, the PI must also ensure that all expenses are appropriate for the project and that all obligations have been liquidated prior to the submission of the final financial report. The PI will participate in any

audit interviews, as required.

The Grants Accountant will review the account and ensure that financial reporting deadlines are met. The Grants Accountant maintains the cash flow associated with the project and ensures that the amounts of cash received match the expenditures reported.

The Office of Research will provide assistance to both the PI and Grants Accounting during the closeout process to ensure that any affirmative action or A-133 audit requirements are met.

The PI will be responsible for initiating the closeout process of a project. The PI must communicate with the Grants Accountant in order to verify that all charges to the project are accounted for and a final invoice can be submitted to the funding agency.

Subrecipients may be required to submit their final reports in advance in order to incorporate them into the final technical report to the funding agency. It is the responsibility of the PI to contact the subrecipients in order to request this information. The subrecipient should also complete a final fiscal report, equipment report, patent/invention report, and any other reports outlined in the prime agreement and passed on to the subrecipient.

Once the reports have been completed and submitted to the funding agency, federal guidelines require the retention of the project records for three (3) years beyond the end date of the project. Real property and equipment records are retained for three (3) years after the final disposition of the property.

FACULTY RESEARCH GRANTS AWARDED FOR 2006-07

The Faculty Research Committee was established to: 1) stimulate interest in research on the part of the faculty, 2) provide financial assistance to faculty members wishing to undertake research projects, and 3) assist in the dissemination of information developed in faculty research projects.

The Faculty Research Committee fund is supported by an allocation from the University's general fund. The amount allocated is proportioned to the indirect costs generated on contract research. The amount available for 2006-07 awards was set at approximately \$120,000.

The Committee met on February 2, 2005, to review 43 proposals in the 2006-07 funding cycle. Based on available funding, the Committee awarded 26 projects involving 31 faculty members.

Of the 26 funded proposals, 12 were Research Initiation and 14

were Research Development.

The Handbook for Faculty Research Committee Grants has been updated for 2007-08.

To view the *Handbook*, log on to <http://www.tntech.edu/research/facultyresearch/grants.htm>

FREQUENTLY ASKED QUESTIONS ABOUT F&A COSTS

What is F&A costs?

F&A stands for Facilities and Administrative costs (formerly known as indirect costs) which apply to grants and contracts. OMB Circular A-21, which governs the administration of grants in higher education, defines F&A as “costs that are incurred for common or joint objectives and, therefore, cannot be identified readily and specifically with a particular sponsored project, an instructional activity, or any other institutional activity.”

F&A costs are REAL costs incurred by the University to support the missions of the University, including the research mission. The “facilities” components include the cost of utilities, depreciation on buildings and capital equipment, maintenance and repair, and libraries. The “administrative” components include costs related to HR, Payroll, Procurement, the Office of Research, the President’s office, the Vice President’s office, the deans’ offices, plus other administrative offices.

Who determines what the F&A rate will be?

The University’s federal F&A rate for research is based on salaries and wages, since the University’s federal projects are less than \$3M. The rate is determined by the Division

of Cost Allocation, U. S. Department of Health and Human Services in accordance with OMB A-21. The University’s F&A rate applies to all non-state grants, contracts, and agreements. The rate is referred to as an on-campus rate; that is, the majority of work is performed on-campus. The rate for TTU is 49% of salaries and wages. If a project is conducted off-campus and no University facilities are involved, the off-campus federal F&A rate is 25% of salaries and wages, excluding benefits.

The University’s F&A cost rate for projects conducted for agencies of the State of Tennessee was established in the spring of 1991 by the Tennessee Higher Education Commission in concert with the Tennessee Department of Finance and Administration.

What are the F&A rates for grants and contracts at Tennessee Tech?

F&A rates for grants and contracts at Tennessee Tech can be found at http://www.tntech.edu/research/pnp3_idc.htm

How is the F&A rate that is charged to grants and contracts calculated?

The negotiated F&A rates are to be used on most federal and state grants and contracts. Other sponsors, including industry and private

foundations, tend to limit by their own policy the F&A rate they are willing to pay. Federal training/instruction grants also limit the F&A rate.

The F&A rate is expressed as a percentage. This percentage is multiplied by the appropriate costs on the grant or contract to determine the amount of F&A to be charged. The F&A is billed to the sponsor, along with the other costs.

For example on a federal grant, if the salaries and wages are \$50,000, other direct costs are \$10,000, and the F&A rate is 49%, then the charges to the grant will be salaries and wages- \$50,000; other direct costs- \$10,000; and F&A would be calculated as \$50,000 x 49% = \$24,500; for a total project of \$84,500.

Why don’t I get the right amount when I multiply the F&A rate times the TOTAL direct costs?

Not all direct costs can be included when calculating F&A rates. Costs that may not be included are: capital equipment, rent, scholarships/fellowships, and tuition remission. Under TTU’s agreement with THEC, the state rate for research and instruction grants is 15% of total direct costs including equipment. However, the F&A rate on instructional federal grants is limited to 49% of salaries and wages

OR 8% of the total direct cost base minus stipends, tuition and fees, and capital expenditures of \$5,000 or more, whichever amount is less.

What does the University do with the F&A recovered from sponsors?

The academic vice president determines how F&A recoveries will be distributed within the University. All the F&A recovered from grants is divided up between various organizations within the University (i.e., the Library, Office of Research and Graduate Studies, the Colleges). A percentage also goes into a reserve for capital projects related to research. The distribution percentages are published at http://www.tntech.edu/research/pnp3_idc.htm

A portion of the F&A is also distributed to the department conducting the research. This amount is expressed as a percentage of the total F&A recoveries generated by the department’s grants. For example, if the department that performed the \$84,500 grant in the example above is allocated 20% of F&A by their dean, then that department would get \$24,500 x 20% = \$4,900.

For additional information and a listing of the F&A rates for TTU, please visit the Research website at: <http://www.tntech.edu/research/>

RESEARCH HIGHLIGHTS—PART 3

Dr. Mohamed Abdelrahman (Mechanical Engineering) and Dr. Sally Pardue (Electrical and Computer Engineering) received funding from the National Science Foundation (\$102,303) for their project entitled “REU Site: Research Experiences for Undergraduates in the Industrial Application of Sensing, Modeling and Controls.” This multi-disciplinary research will focus on a multi-billion dollar industry that has been struggling as a result of foreign competition and lack of research innovation, namely the metal casting industry.

Dr. Nasir Ghani (Electrical and Computer Engineering) is the recipient of Year 2 funding from the National Science Foundation (\$116,729) for his project entitled “Dynamic Multi-Domain/Multi-Granularity Network Provisioning.” This project focuses on the establishment of a world-class program in high-speed networks research and instruction at TTU.

Dr. Margaret Phelps (STEM Center) and Mr. Glenn Binkley (Facilities and Business Services) received funding from NASA (\$1,290,000) for the construction of the TTU Science, Technology, Engineering and Mathematics (STEM) Center. The STEM Center will house facilities to improve the teaching and learning of STEM disciplines P-16. The Center is an interdisciplinary, campus-wide initiative of TTU under the leadership of President Bell.

Dr. Venkat Subramanian (Chemical Engineering) has received funding from the National Reconnaissance Office (\$400,000) for his project entitled “Efficient Modeling and Simulation of Lithium-Ion Batteries for Satellite Applications in an Automated Environment.” Funding will run through September 2006.

Dr. Doug Talbert and Dr. Michael Rogers (Computer Science) are the recipients of funding from Vanderbilt University (\$149,137) for a

three-county pilot project in southwest Tennessee that could serve as the model for a statewide strategy to make better use of technology and medical informatics in the delivery of health care.

Research Funding by University Unit-January 1 to March 31, 2006

- Biology—\$5,000
- Chemical Engineering—\$442,000*
- Chemistry—\$8,135*
- Computer Science—\$149,137*
- Curriculum and Instruction—\$298,545
- Decision Science—\$118,000
- Electrical and Computer Engineering—\$524,498*
- Energy Systems—\$10,000
- Engineering—\$314,194*
- History—\$40,190
- Manufacturing Center—\$186,768
- Mechanical Engineering—\$238,680*
- Physics—\$108,778*
- Research Office—\$900
- STEM Center—\$1,296,078
- Water Center—\$33,585

*Includes proposals funded through the Centers of Excellence or STEM Center.

HUMAN SUBJECTS IN RESEARCH

Many activities that accompany the performance of research are dictated and regulated by the Federal Government. Research activities that fall in this category will be subjected to the same rules, regardless of the institution where the research takes place.

There are several such Committees among the Standing University Committees at TTU. Prominent among them is the Institutional Review Committee for the Protection of Human Subjects in Research. The statutory basis for this Committee can be found in the Code of Federal Regulations, Title 45 Part 46 (45CFR46), which deals specifically with the protection of humans in the role of research subjects.

The Office for Human Research Protections (OHRP), located in the Office of the Secretary for Health and Human Services, gives guidance to, and monitors the actions of University Institutional Review Boards. Human subjects research is closely monitored, and the actions of the Institutional Review Boards are constantly reviewed.

The Institutional Review Committee for the Protection of Human Subjects at TTU requires that **all requests for the use of human subjects in research be made available in hard copy to the Committee members a minimum of two (2) weeks prior to expected consideration.**

Recently, new forms were approved for use by the Committee. These forms along with additional information regarding human subjects in research at TTU can be found at the Office of Research website at http://www.tntech.edu/research/pnp13_humansub.htm

“The scientist does not study nature because it is useful; he studies it because he delights in it, and he delights in it because it is beautiful. If nature were not beautiful, it would not be worth knowing, and if nature were not worth knowing, life would not be worth living.”

Jules Henri Poincarè, 1854-1912

www.tntech.edu/graduatestudies

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IMPORTANT DATES—GRADUATE SCHOOL

May 3, 2006

*Early course selection for state employees using fee waiver or PC191 and for disabled program participants

May 4, 2006

*Commencement rehearsal, Hooper Eblen Center, 4 p.m.

May 5, 2006

*Last day to apply for admission to the Graduate School for Summer 2006

*Grades due for graduating students, 10 a.m.

May 6, 2006

*Commencement, Hooper Eblen, 10 a.m.

May 17, 2006

*Summer early course selection ends

May 30, 2006

*Registration for summer semester

May 31, 2006

*Classes begin (1st and full terms)

*Late registration (1st and full terms)

Effective summer semester 2006, a maximum of three hours (one course) will be accepted at the 5000-level in the Ed.S. program in the Department of Curriculum and Instruction.

UPDATE

RESEARCH OFFICE

The mission of the Office of Research is to promote, support, and facilitate research, scholarly, and creative activities of faculty and graduate students. The Office of Research is a focal point for matters relating to research, sponsored programs, and similar scholarly activities.

Services to the faculty include:

- Disseminating information on sources of support
- Providing background information for use in proposals
- Assisting faculty in the development of proposals
- Reviewing and approving proposals for submission to funding agencies
- Preparing and negotiating grants/contracts
- Administering Tennessee's Public Records Act (T.C.A. 49-7-120) relative to sponsored research and services
- Executing awarded contracts and processing activation forms to establish accounts
- Assisting in administration grants/contracts in such areas as budget revisions and contract closures
- Conducting seminars and workshops on proposal writing and funding sources
- Providing assistance to faculty members in carrying out non-sponsored research projects

www.tntech.edu/research

GRADUATE SCHOOL

The mission of the Graduate School is to promote, coordinate, enhance the quality of, and serve as an advocate for graduate education programs at Tennessee Technological University.

Core Value: Academic excellence through critical thinking skills, life-long learning, and promotion of diversity.

- Enhance the intellectual community of scholars among graduate students and faculty
- Provide quality control for all graduate education programs
- Promote the academic excellence of all graduate programs
- Support and facilitate research, including scholarly and creative activities