

## University of South Alabama

Office of Sponsored Programs

Institutional Data Sheet

### Pre-Award Procedures

- This information is provided for use in preparing proposals to external sponsors. Please read and follow the guideline instructions provided by the external sponsor as well as these Pre-Award Procedures.
- All proposals must have the required institution approval signatures **prior to submission to an external sponsor**. Final approval by the University's Authorized Organizational Representative (AOR) constitutes permission for the proposal to be submitted to the external sponsor.
- The FastGrant Internal Processing Form is the primary proposal review document used by the Principal Investigators, Research Compliance, Chairs, Deans and OSP in the routing approval process.

### Budget Information

<b>Fringe Benefit Rates</b>	Budget 25% of salary for all University faculty & staff. No fringes are budgeted for post-docs or students.
<b>Equipment</b>	Items with an acquisition cost of \$ 5000 or more per unit and a useful life of at least one year are budgeted as "Equipment." Items costing less than \$ 5K are budgeted as Minor Equipment, Supply or Material costs.
<b>Travel</b>	Travel costs must adhere to University policy regarding allowable costs and reimbursement levels. Budget domestic travel and International travel separately. <a href="http://www.southalabama.edu/financialaffairs/traveloffice/regulations.html">http://www.southalabama.edu/financialaffairs/traveloffice/regulations.html</a>

### **Facilities & Administrative (F&A) Costs (previously called Indirect Costs or overhead)**

- Apply the applicable % rate for the type of project (research, instruction or "other") and whether it will be conducted on-campus or off-campus. The rate is applied to the Modified Total Direct Costs (MTDC) base (unless the sponsor explicitly specifies otherwise).  
<http://www.southalabama.edu/financialaffairs/grantsandcontracts/rates.html>
- All budgets should request applicable F&A costs unless the sponsor has a stated policy of not allowing F&A costs or restricting F&A costs to a rate less than the University's federally negotiated rate. If the rate is less than the negotiated rate, documentation must be attached.
- If an exception is requested to include direct budget items that are typically already included in the F&A rate, an exception form, **Cost Accounting Standards Exception Requested** must be attached.  
<http://www.southalabama.edu/financialaffairs/grantsandcontracts/forms.html>

### **Contract Checklist**

A contract checklist must be attached for any agreement, contract or subcontract proposals.  
<http://www.southalabama.edu/oga/forms.html>

### **Facilities / Space / Other Resources**

Facilities/space or resources beyond typical must be arranged with the Department /College/Unit to make such space or other University resources available in the event an award is made.

## Forms Information

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Applicant Organization	The applicant is the <b>University of South Alabama</b> 307 University Blvd., AD 200 Mobile, AL 36688-0002
Signatory Authority	The Authorized Organizational Representative (AOR) for all proposals is <b>Dr. Russ Lea, Vice President for Research</b> . AOR signature will be obtained by OSP.
Individual to be notified if award is made	Dr. Russ Lea
Individual authorized to negotiate contracts	Ms. Gina Hedberg, OGA Director, AD200
Financial Officer	G. Scott Weldon, University Controller
Checks mailed to	Ben R. Tipton, Associate Controller
Basic Carnegie Classification for USA	Master's L: Master's Colleges and Universities (larger programs)
Type of applicant	Public/State Controlled Institution of Higher Education
Dunn and Bradstreet Number	(DUNS) 172750234
Congressional District	Alabama First District. Enter <u>AL-001</u> on federal forms
Employer/Taxpayer (EIN/TIN) Number	63-0477348
OPE Code	00105700
CAGE Code	1NZ96
IRB Human Subjects Federal-wide Assurance (FWA) number	00001602
IACUC Animal Welfare Assurance Number	A3288-01

### Federal Tax Exempt Status

The University is tax exempt in its capacity as a 501[c]3 not-for-profit educational institution. Please contact OSP for a copy if required by the agency.

## ***Research Compliance***

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**If applicable, appropriate areas of Research Compliance must be checked “Yes” in the FastGrant Internal Processing form. If a project has previously received an approved protocol number, please list the protocol number by the compliance area. Otherwise, the Principal Investigator is responsible for contacting the appropriate office before proposal routing and following appropriate procedures prior to proposal routing, submission, and/or award acceptance.**

**Animal Use:** Federal regulations regarding the use of animals require that a protocol be reviewed and approved when animals are used in research, testing, or instruction. Additionally, the application for use of animals is required for all field research. USA policy requires review of all vertebrate animals such as mammals, reptiles, amphibians and fish. For questions on Animal Use, please call the IACUC office at 460-6863 or <http://www.southalabama.edu/researchcompliance/animalcare.html>

**Human Subjects:** Federal regulations and USA policy require faculty, staff or students conducting research involving human subjects to obtain review and approval from an Institutional Review Board (IRB) before the research begins. For questions, please call the IRB office at 460-6308 or <http://www.usouthal.edu/researchcompliance/humansubjects.html>

**Embryonic Stems Cell:** Please contact the Office of Research Compliance at 460-6625 if the research requires use of embryonic stem cells.

**Biological Materials:** Examples of biological materials include: recombinant DNA, RNA, potentially infectious agents, human blood/tissues/fluids or primary cell culture derived from humans or non-human primates. For questions, please call the IBC office at 460-6509 or <http://www.southalabama.edu/researchcompliance/biosafety.html>

**Select Agents or Toxins:** Contact the Office of Research Compliance at 460-6625 in advance of proposal submission regarding projects involving select agents or toxins. A listing of select agents and toxins is available at: <http://www.selectagents.gov/Select%20Agents%20and%20Toxins%20List.html>

**Export Controls:** Check this box if: 1) export controlled equipment, information or technology will be exported or utilized by the University during the course of the project; 2) travel to foreign countries; 3) the funding source limits USA's submission of manuscripts for publication, restricts the use of the data or results from the project that will effect USA's freedom to publish, or places restrictions on whom may be working on the project; 4) Individuals, agencies, consultants, universities, or entities from a foreign country are working with USA on the project/program; or 5) you will be using any encrypted software in your research project not available in the mass market. For additional questions regarding exported controlled items, please call the Office of Research Compliance at 460-6509 or <http://www.southalabama.edu/researchcompliance/exportcontrol.html>

**Significant Financial Interest:** Significant financial conflicts of interest as defined by PHS/NSF is anything of monetary value over \$10,000 or equity interest exceeding \$10,000 in current value or 1% ownership interests that would reasonably appear to be affected by the activities to be funded by this project. For the purpose of conflict of interest disclosure, an “**Investigator**” means the principal investigator/project director, co-principal investigator; co-project director, (or their spouse or dependent children) and any other person who is responsible for the design, conduct, or reporting of research, educational, or service activities funded, or

proposed for funding, by an external sponsor. Such disclosures must be made prior to the submission of a proposal for funding project. For more information on Significant Financial Interest, please see the NIH Frequently Asked Questions: <http://grants.nih.gov/grants/policy/coifaq.htm>

**Radiation Safety:** If radioactive material or ionizing radiation producing devices, including x-ray units, electron microscopes, and particle accelerators, will be used or the research involves lasers, including Class 1M, Class 2M, Class 3R, Class 3B, and Class 4 lasers, please contact the Radiation Safety office at 460-7063 for assistance.

**Safety & Environmental Compliance:**

**Highly Toxic Gases:** If the proposed research will involve highly toxic and/or reactive gases (ex. Phosgene, hydrogen cyanide, fluorine, etc.), please contact the Safety and Environmental Compliance Office, 460-7070.

**Chemicals:** If the proposed research will require the use of highly toxic or extremely flammable materials, please contact the Safety & Environmental Compliance Office, 460-7070. If the proposed research will require the use of chemicals, is there a current chemical inventory on file?

**General Safety:** All projects involving facility modifications and/or new construction activities must be reviewed by the University's Engineering Design and Construction department. Other conditions that may pose a potential hazard for faculty, staff, students and/or visitors not specifically mentioned within the body of this document must be submitted to the Safety & Environmental Compliance Office, 460-7070.

**Environmental Compliance:** If the proposed research will pose a real or potential impact on the environment requiring permits, contact the Safety & Environmental Compliance Office, 460-7070. Fuel tanks over 50 gallons will require Mobile Fire Department permitting, contact the University Fire Marshal for guidance, 460-7070.