

2017 RGC AWARD RECIPIENT CONDITIONS

The Grantee must complete and sign the RGC Award Conditions Agreement below prior to starting the project. **Funds will not be released until this form has been returned to the Office for Sponsored Programs.** If the RGC application indicated that approvals from the Office for Research Compliance are necessary, the RGC funds will not be released until the approval number and expiration date have been received by the Office for Sponsored Programs. The project period for the RGC Award depends on the Level of funding:

Level 1 - Standard RGC Project award: May 15, 2017 - May 14, 2019

Level 2 - RGC Collaborative Project award: May 15, 2017 – May 14, 2020

Level 3 - RGC Equipment Grant award: May 15, 2017 – May 14, 2018

Please return the last page of this document, with all required signatures, to the RGC Coordinator in The Office for Sponsored Programs, Box 870104 or by email to Angie Shotts (ashotts@research.ua.edu) **before you begin your project or by May 31, 2017.**

The Grantee is obligated as follows:

- 1) Level 1 awardees must submit an annual poster at the Faculty Research Day or equivalent OVPRED sponsored event during each year of funding. Level 2 and Level 3 awardees must have a poster or oral presentation at the OVPRED Research Day or equivalent OVPRED sponsored event during each year of funding.
- 2) Final Report: The Results of The Project (for all levels)
 - a. The Project must be completed within the award period. Within ninety (90) days of the project completion (August 12th of the year the project ends) **the Grantee must submit a final report to the Office for Sponsored Programs.** The final report will be reviewed by the Office of the Vice President for Research and Economic Development (OVPRED) and is evidence of the quality of research and projects from Research Grants Committee funds.
 - i. A Grantee will not be eligible for subsequent RGC funding if a final report is not submitted within 90 days of project completion date.
- 3) Annual Report: Level 2 awardees must submit an annual report by **August 12** each year that addresses the Deliverables listed the 2017 RGC Instructional Manual and below:
 - a. **Level 2 Deliverables**
 - i. Applicants must submit an acceptable plan for the submission of an extramural proposal in the second year of funding and describe how the proposed funding will support the research objectives of the project.
 - ii. Applicants must submit at least one research, scholarly, or conference abstract to an appropriate journal/library or conference each year for the duration of confirmed funding.
 - iii. An initial peer-reviewed publication that is directly related and associated with the funded project must be prepared and submitted for publication within two years of the receipt of funds. Peer-reviewed publications include journals, book chapters and books.
 - iv. Applicants must have a poster or oral presentation at the OVPRED Research Day or equivalent OVPRED sponsored event during each year of funding.
 - v. Submission of an annual report that addresses the deliverables listed above within 90 days following each year of funding.
 - b. **Level 3 Deliverables**
 - i. Applicants must submit an acceptable plan for the submission of an extramural proposal in the second year of equipment installation and describe how the equipment will support the research objectives in the extramural proposal.

- ii. Applicants must submit two or more research or conference abstracts identifying the use of the purchased equipment to an appropriate conference/journal/library within one year of equipment installation.
 - iii. A minimum of two peer-reviewed publications identifying the use of the funded equipment should be prepared and submitted for publication within two years of the grant award.
 - iv. Applicants must have a poster or oral presentation at the OVPRED Research Day or equivalent OVPRED sponsored event during the year of funding.
 - v. Submission of final report due that addresses the deliverables listed above.
- 4) Monitor Budget and Spending Rates
 - a. The Grantee (Principal Investigator) has the primary responsibility for award budget management. The PI and co-PIs will regularly review and monitor the RGC award fund to ensure expenses are aligned with the project timeline.
 - b. Grantees will ensure the supplies, equipment, etc. necessary to conduct the project are purchased in a timely manner and are utilized during the RGC award period.
- 5) Acknowledgment of Support in Publications:
 - a. The Grantee must give full credit in any manuscript, material, or artistic creation to the RGC for support received from the RGC.
- 6) Patentable Processes, Inventions, or Designs:
 - a. The Grantee will abide by the regulations concerning any patentable invention, process, design, or improvement set forth in the University Patent Policy. Please see the Office for Technology Transfer website (<http://ott.ua.edu/>) for further information.
- 7) Equipment Purchased:
 - a. RGC funds should not be used to acquire equipment that would normally be purchased by the applicant's Department or College.
 - b. Equipment requisitioned by the Grantee may be kept in his/her custody or for use in the department or unit as long as they are members of the University faculty or staff. All equipment must be inventoried through University procedures.
 - c. Upon leaving the University, the Grantee must leave equipment purchased with RGC funds with his/her department.
- 8) Change in Project Plan:
 - a. Grantees must report, in writing, to the Office for Sponsored Programs any change in the project, which differs, materially from the objectives set forth in the original application. The request to change the project plan is at the discretion of the Office of the Vice President for Research and Economic Development.
- 9) Protection of Human Subjects: IRB Approval
 - a. The University of Alabama has established two Institutional Review Boards for the Protection of Human Subjects (IRB): one medical and one non-medical. Grantees who work with human subjects must protect the rights and welfare of their subjects. **University and federal regulations require that all research projects involving human subjects be reviewed and approved by the University's Institutional Review Board for the Protection of Human Subjects before any research may begin.** The IRB's mission is to ensure that research involving humans is conducted in an ethical manner consistent with University and Federal Policy (Please see the IRB application process at: <http://osp.ua.edu/site/irb.html>). This includes studies that require interviews and questionnaires.
 - i) **Any Grantee working with human subjects must obtain IRB approval before they will receive RGC funds.**

10) Laboratory Animals: IACUC

- a. The University of Alabama has established an Institutional Animal Care and Use Committee (IACUC) for the protection of animals used in teaching, research, and exhibits. The IACUC requires that all users of animals on campus must be in compliance with the Department of Health and Human Services guidelines for Care and Use of Laboratory Animals. An animal protocol must be completed and approved by the IACUC before an animal may be used on campus. **Any Grantee using animals must have approval from the IACUC before they will receive RGC funds.** (Please see <http://osp.ua.edu/site/iacuc.html>).

11) Resignation from the University:

- a. If a Grantee resigns or is terminated from the University, the OVPRED has the discretion to review, freeze or close an RGC funded award. The faculty member should notify the OVPRED of any change in employment status during the RGC grant period. If the PI or a co-PI leaves the University before completing the project, the following must be filed with the OVPRED:
 - i) Statement of resignation with its effective date.
 - ii) Contact information upon resignation from the University, including address, phone number and email address.
 - iii) Full and complete report of progress to date is required.
 - iv) A report of the condition and location of any equipment purchased with RGC funds.
 - v) If a faculty member receives an award and then leaves The University of Alabama (UA) before the award's start date, s/he will not receive the funds. If the recipient leaves UA after expending a portion of the funds, any unspent funds must be returned to the OVPRED. Funds spent after that date, including funds spent for expenses that will occur after the last day of UA employment, will not be paid by the grant.
 - vi) Projects with co-PIs may submit a request to have the co-PI designated as the PI for the project. Requests to have a co-PI made the PI of the award should be submitted to the RGC Coordinator for approval from the OVPRED.

12) Other:

- a. A grant may be cancelled in whole or in part if the Grantee makes material changes such as changes in employment status other than resignation, changes in project plans as to location or time available for the project, or receipt of other grant support for the same project.
- b. When projects are abandoned, the Grantee should inform and send a summary report to the Office for Sponsored Programs, along with an accounting of funds expended and remaining funds.
- c. While it is normally expected that the research will be completed during award period for the funding Level, under exceptional circumstances, a request for a no-cost extension can be presented to the Office for Sponsored Programs. A justification and time period for completion of the project must be included in the request. Extension of the award is at the discretion of the Office of the Vice President for Research.

RGC Award Recipient Financial and Recordkeeping Procedures

**** If the award budget was adjusted after the submission of your proposal by the RGC Review Committee, a new budget and budget justification must be submitted with the Award Conditions Form.**

1) Accounting Forms:

- a. The accounting forms are those used by all University offices. The budget person in the Grantee's department who is responsible for completing the forms using the procedures followed for administering other externally funded grants. No signatures are needed from the Office for Sponsored Programs except for air travel vouchers for out-of-country travel and budget changes once the initial account has been set-up.

2) Account and Sub code Numbers:

- a. The account number and the sub codes are assigned by the Office of Sponsored Programs Contract and Grant Accounting office and will be shared with the Grantee and the departmental administrator. This number, plus appropriate sub code numbers, will be used as the accounting number on all RGC accounting forms.
- b. Budget set-up can include the following categories.
 - i. Summer Salary
 - ii. Graduate Assistant
 - iii. Fringe Benefits
 - iv. Postage
 - v. Travel
 - vi. Supplies
 - vii. Equipment

3) Summer Salary:

- a. Summer salary support is available for any Grantee who wishes to devote time to research during the summer for Level 1 and 2 awards.
- b. Time Limit: Summer salary must be used in the summer period(s) for which the grant has been approved for Level 1 and 2 awards.
- c. Personnel Forms: When summer salary support is approved, the University's Personnel Action Form will be completed by the Grantee's department for monthly payment.
- d. Payment Dates: Summer salary will be paid May 16 through August 15 of any calendar year.

4) Fringe Benefits:

- a. The amount of RGC funding dedicated to salary must include fringe benefits. For the current fringe benefit rate go to: <http://osp.ua.edu/proposal-preparation.html>.

5) Travel Allowance and Regulations:

- a. If using RGC funding to travel the University's per diem allowance for in-state travel must be used. If traveling out of state or country University per diem rates must also be used. The current travel policy is available on <http://accountspayable.ua.edu/pages/travel-policies.html>.
- b. Transportation should be the most economical means of travel for one person. Travel will be tourist class except where space is unavailable in this class in which case first class will be paid. The current travel policy is available on <http://accountspayable.ua.edu/pages/travel-policies.html>.
- c. RGC funding is not intended to support travel to professional meetings to present the results of scholarly activities.

6) Research Assistants:

- a. There are no restrictions on the expenditures for research assistants.
- b. Personnel Action forms for the research assistants need to be completed by the Grantee's department and signed by the Grantee. These forms should be used to appoint, change status or salary, or remove from payroll any technical assistants paid on an hourly basis.
- c. A Grantee may not hire a student to work on their project who is not enrolled as a student at the University.

7) Remaining Funds:

- a. Funds that were not spent during the grant period shall be returned to the Office of the Vice President for Research and Economic Development.

**Research Grants Committee
2017
Award Conditions**

I, _____, CWID # _____ (hereinafter "Grantee"), in acceptance of an RGC award, agree to be bound by the following terms and conditions:

1. The Grantee will send an annual and final report to the Office for Sponsored Programs by August 12 of each year the award is active. These reports will be reviewed by the Vice President for Research and Economic Development (VPRED). The Grantee will list any manuscripts, materials, or literary or artistic creations resulting from work on this project and will attach a copy of the submitted or published manuscript, grant proposal, pictures or program from an exhibit, performance or presentation.
2. The Grantee will ensure all appropriate approvals from the Office for Research Compliance have been received for Human Subjects/IRB, IACUC, hazardous materials, etc. Required approvals will be shared with the Office for Sponsored Programs prior to the start of the project.
3. The Grantee will give full or partial credit in any manuscripts, materials, or literary or artistic creations to the Research Grants Committee for the aid received.
4. The Grantee will abide by the regulations concerning any patentable inventions, process, design, or improvement as set forth in The University of Alabama Patent Policy.
5. The Grantee will report the condition and location of any equipment purchased with RGC funds when the equipment is no longer needed or upon completion of the project.
6. The Grantee will submit a request for permission to OSP for approval from the OVPRED before changing anything in the project that differs from the objectives set forth in the original application.
7. The Grantee will use the same bookkeeping procedures for this project as his/her department uses for administration of externally funded grants. **Any funds remaining upon completion of the project OR grant termination date shall be returned to the OVPRED.**
8. The Grantee will regularly review and monitor the RGC award fund to ensure expenses are aligned with the project timeline. The Grantee will ensure the supplies, equipment, etc. necessary to conduct the project are purchased in a timely manner and are utilized during the RGC award period.
9. If the Grantee leaves the University before completing this research project, the Grantee will file a report of work to date and funding balance with the OVPRED, and as to any work subsequently completed thereon will give full or partial credit for all aid received from the RGC award. The Grantee shall inform the OVPRED as soon as the Grantee knows the date of resignation. If a faculty member resigns or is terminated from the University, the OVPRED has the discretion to review, freeze or close an RGC funded award. The faculty member should notify the OVPRED of any change in employment status during the RGC grant period. If the PI or a co-PI leaves the University before completing the project, the following must be filed with the OVPRED:
 - a. Statement of resignation with its effective date.
 - b. Contact information upon resignation from the University, including address, phone number and email address.
 - c. Full and complete report of progress to date is required.
 - d. A report of the condition and location of any equipment purchased with RGC funds.
 - e. If a faculty member receives an award and then leaves The University of Alabama (UA) before the award's start date, s/he will not receive the funds. If the recipient leaves UA after expending a portion of the funds, any unspent funds must be returned to the OVPRED. Funds spent after that date, including funds spent for expenses that will occur after the last day of UA employment, will not be paid by the grant.

- f. Projects with co-PIs may submit a request to have the co-PI designated as the PI for the project. Requests to have a co-PI made the PI of the award should be submitted to the RGC Coordinator for approval from the OVPRED.

10. The Grantee will use this grant money for the Grantee's project and for no other purpose.

11. The Grantee agrees their name and the title of their research submission can be used in OVPRED publications.

Awardee Signature: _____ Date: _____

Department Head Signature: _____ Date: _____

Assoc. Dean for Research Signature: _____ Date: _____

Dean Signature: _____ Date: _____

This page, with all required signatures, must be submitted to The Office for Sponsored Programs, Box 870104 or Angie Shotts (ashotts@research.ua.edu) **before you begin your project or by May 31, 2017.**

*****Keep pages 1 - 4 for your records.**