

RGC AWARD RECIPIENT CONDITIONS

The Grantee must complete and sign the RGC Award Conditions Agreement below prior to starting the project. NO FUNDS FOR THE PROJECT WILL BE RELEASED WITHOUT THE COMPLETED FORM SUBMITTED. The project period for the RGC Award is May 15, 2014 through May 14, 2016.

Please return the last page of this document, with all required signatures, to The Office for Sponsored Programs, Box 870104 or Angie Shotts (ashotts@research.ua.edu) **before you begin your project or by September 1, 2014.**

The Grantee is obligated as follows:

- 1) Final Report: The Results of The Project
 - a. The Project must be completed by May 14, 2016. Within ninety (90) days of the project completion, August 12, 2016, **the Grantee must send a summary report to the Office for Sponsored Programs**. The summary report will be reviewed by the Vice President for Research and is evidence of the quality of research that comes from Research Grants 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.
 - b. The Grantee will submit with the final report a copy of one or more of the following: a publication either submitted for consideration or published which resulted from RGC funding, a proposal submission, an exhibit, a performance, or a presentation.
- 2) 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.
- 3) 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.
<http://teaching.ua.edu/policies/handbook/appendixpdfs/g.pdf>
- 4) 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.
- 5) 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 Vice President for Research.
- 6) 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. Any Grantee working with human subjects must obtain **IRB approval before they will receive RGC funds.**

7) 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>).

8) Resignation from the University:

- a. If the Grantee leaves the University before completing the project, the following must be filed with the Office of the Vice President for Research:
 - i. Statement of resignation with its effective date and future address.
 - ii. Full and complete report of progress to date.
 - iii. Report of condition and location of any equipment purchased with RGC funds.
 - iv. Accounting of funds expended on the project, and amount remaining. (Unused funds are automatically cancelled as of the effective date of departure from the university.)
 - v. Upon completion of the project, a summary report must be submitted, and credit for RGC support should be given in the publication of any work based on the project.

9) 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 the two-year term of the project, 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 Vice President for Research.

RGC Award Recipient Financial and Recordkeeping Procedures

**** If your budget was adjusted after submission of your proposal, you will need to resubmit the adjusted budget 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.
- b. Time Limit: Summer salary must be used in the summer period(s) for which the grant has been approved.
- 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>.

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.

**Research Grants Committee
Award Conditions
(To be completed when an award is made)**

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 a summary report (1 page) to the Office for Sponsored Programs within ninety (90) days after termination of the project (May 14, 2016). The report will be reviewed by the Vice President for Research. Within the summary report, 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 the Office for Sponsored Programs for approval from the Vice President for Research 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 shall be returned to the Office of the Vice President for Research.
8. If the Grantee leaves the University before completing this research project, the Grantee will file with the Office of the Vice President for Research a report of work to date, and as to any work subsequently completed thereon will give full or partial credit for all aid received from the Research Grants Committee. The Grantee shall inform the Office for the Vice President for Research as soon as the Grantee knows the date of resignation.
 - a. The Grantee will report the conditions and location of any equipment purchased with RGC funds and will leave it in the custody of the Grantee's department.
9. The Grantee will use this grant money for the Grantee's project and for no other purpose.
10. The Grantee agrees their name and the title of their research submission can be used in Office for Research publications.

Applicant's Signature: _____ Date: _____

Department Head's Signature: _____ Date: _____

Dean of Division 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 September 1, 2014**. If the award budget was adjusted from the proposal budget, you will also need to submit an adjusted budget.