

Research Grants Committee Proposal Instruction Manual FY 2016 Call



Office of the Vice President for
Research & Economic Development

I. General Information about the Research Grants Committee (RGC) Awards Program

Purpose

RGC funds are intended to support scholarly activities for tenured, tenure track, clinical and clinical track faculty at the University of Alabama. Depending on the award level, it is expected that the funding will produce a scholarly or creative product to heighten visibility and prominence of that program and/or lead to enhanced competitiveness for extramural funding.

Research Grants Committee Members

The Research Grants Committee is composed of faculty members, each appointed to a three-year term on a rotating basis from the ranks of full and associate professor and, in special circumstances, assistant professor. Membership also includes an appointed Faculty Senate Representative and liaison members from University administration. See <http://www.committees.ua.edu/research-grants-committee.html> for the list of current RGC members.

Research Grants Committee Office

The Office of the Vice President for Research and Economic Development (OVPRED) administers the RGC program through the Office for Sponsored Programs (OSP). Questions about the RGC program should be addressed to the RGC Coordinator (Angie Shotts, ashotts@research.ua.edu).

II. The RGC Application Process

Deadline for Filing Applications

The proposal submission window is **November 20 – December 21, 2015** for 2016 funding. All proposals must be submitted by **4:30 p.m. December 21, 2015**.

An RGC Application Form must be completed and submitted electronically. The Electronic application is available on http://osp.ua.edu/rgc_grants.html. Applications must indicate the RGC Area for review and the Level of funding being requested. Information about the RGC Areas and funding Levels is provided in this manual and should be reviewed carefully prior to beginning the application process.

Specific proposal requirements are included in this manual and should be followed carefully. Guidelines are, however, subject to change.

Funding Level Quick Reference

	Level 1 - RGC Seed Project	Level 2 – RGC Collaborative Project	Level 3 – RGC Equipment Project
Award period	1 to 2 years (5/15/16 – 5/14/18)	1 to 3 years (5/15/16 - 5/14/19)	1 year (5/15/16 – 5/14/17)
Proposal Funding Range	Project maximum of \$6,000	The minimum project total is \$25,000. (\$12,500 to \$75,000 may be requested from the OVPRED with commensurate match, see below.)	The minimum project total is \$50,000. (\$25,000 to \$100,000 may be requested from the OVPRED with commensurate match, see below.)
Cost Share Match	Match is voluntary	Recommend 1:1 match (or greater) from the applicants' colleges, schools, and/or departments for a total budget at or above \$50,000.	Recommend 1:1 match (or greater) from the applicants' colleges, schools, and/or departments for a total budget at or above \$50,000.
Faculty	Limited to 1 PI and 2 co-PIs*	Limited to 1 PI and 3 co-PIs*	Limited to 1 PI and 3 co-PIs*
College Participation Requirements	Open	Faculty from at least two (2) UA colleges or schools (represented by 2 or more Academic Deans).	Faculty from at least two (2) UA colleges or schools (represented by 2 or more Academic Deans).
Jr. Faculty Participation	Open	Recommended	Recommended
Required Deliverables	<ol style="list-style-type: none"> Annual poster at Faculty Research Day or equivalent OVPRED sponsored event. Final report 90 days after the end of the award period. 	<ol style="list-style-type: none"> Annual poster at Faculty Research Day or equivalent OVPRED sponsored event. <ul style="list-style-type: none"> Annual report that addresses: At least one abstract submission annually. The submission of an extramural proposal in the second year of funding. A peer-reviewed publication within 2 years of award. Final report 90 days after the end of the award period. 	<ol style="list-style-type: none"> Poster at Faculty Research Day or equivalent OVPRED sponsored event. Final report 90 days after the end of the award period that addresses: <ul style="list-style-type: none"> A plan for the submission of an extramural proposal in the second year of equipment installation. The submission of 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. A plan for a minimum of two peer-reviewed publications within 2 years of the award.

* Additional faculty may be named as investigators or collaborators (without a leadership role in the project).

The following pages include requirements and additional details critical to each Funding Level.

III. Award Eligibility

Only one proposal, as PI or co-PI, will be considered for funding per investigator during any proposal submission period. An individual can have support for only one RGC project at a time (whether it is a single or joint application).

Former grant recipients are ineligible (as either PI or co-PI) for the same or lower Level award for three (3) years following the expiration of either a Level 1, Level 2, or Level 3 award. RGC grants awarded prior to 2015 (i.e., 2014 and before) are the equivalent of a Level 1 award.

All faculty previously funded by the RGC must have submitted a final report and completed the deliverables required for the Level and year awarded.

IV. Award Priorities

All University of Alabama full-time tenured, tenure track, clinical, and clinical track faculty working individually or jointly may apply for RGC funding. The RGC funds are limited; therefore tenure/clinical track and tenured faculty are reviewed separately in the award process for Level 1 proposals.

Level 1 Priorities:

- Highest priority is given to Level 1 proposals with PIs who are tenure track or clinical track faculty and are not currently funded by external (non-UA) awards.
- The second highest priority is for tenure track or clinical track faculty with significant research funding unrelated to the research proposed in the RGC application.

Level 2 Priority:

- Tenure track or clinical track faculty with significant research funding unrelated to the submitted RGC proposal.

Level 3 Priority:

- The demonstrated need for the requested instrumentation and the proven track records of the faculty applicants.

V. Funding Levels

Level 1 – RGC Seed Project

- Initial or Seed Research/Scholarship/Creative Scholarship Grant for UA faculty.
- Designed for projects that are new research programs, scholarly initiatives, or creative scholarship.

Level 1 Expectations and Deliverables

- The applicant must describe how the award will (either):
 - Further the research/scholarship mission of The University of Alabama and the faculty member, and/or
 - Result in additional extramural support.
- Annual poster at Faculty Research Day or equivalent OVPRED sponsored event.

Level 1 Final Report

A brief report describing the outcome of the research conducted or scholarly or creative product is due to the RGC Coordinator for review by the VPRED no later than 90 days following the end of the grant period. Failure to submit this report will jeopardize future RGC funding.

Level 2 – RGC Collaborative Project

- Inter-College and Interdisciplinary Collaboration Project - Level 2 funding is intended to promote interdisciplinary research/projects at the university-wide level.
- If applicable, an Equipment Sharing Plan should be included in the proposal narrative.
- Funding for no more than one (1) month summer salary per UA faculty member per year will be allowed.
- If less than 1% of the PI's salary is included in the proposed budget, at the time of award Contract and Grant Accounting will work with the PI and the department to meet the UA minimum salary requirement through cost share of release time. The Minimum Allowable PI Effort policy is located on http://osp.ua.edu/policy_procedures.html.

Level 2 Expectations and Deliverables

Expectations: It should be clear how the project is related to principles in the applicants' fields, what hypothesis/hypotheses is/are being tested, how the resulting data will be analyzed and how the project will further the research/scholarship mission of UA and form a definitive foundation for extramural support prior to or during the final year of support.

Deliverables:

- 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.
- 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.
- 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.
- Applicants must have a poster or oral presentation at the OVPRED Research Day during each year of funding.
- Submission of an annual report that addresses the deliverables listed above within 90 days following each year of funding.

Level 2 Final Report

The final report should directly address the above referenced deliverables for a Level 2 – RGC Collaborative Project. A brief report describing the outcome of the research conducted using these funds is due to the RGC Coordinator for review by the VPRED no later than 90 days following the end of the project period. Failure to submit this report will jeopardize future RGC funding. Final report instructions are available on http://osp.ua.edu/rgc_grants.html.

Level 3 – RGC Equipment Project

- Promote interdisciplinary research/projects at the university-wide level.
- May be used to upgrade equipment, but not for equipment development.
- May be for interrelated equipment individually priced lower but the total budget for the project must be over \$50,000. The proposing team must have evidence that the requested equipment is interrelated and is needed for a base capability.
- Installation costs may be included in the request.
- Service agreements are an allowable expense. Proposals with agreements that extend beyond the 1 year RGC award period or are for multiple years will need to include a strong justification for an expense that is outside the award period.
- Price quotes: UA policy (<http://www.purchasing.ua.edu/>) should be observed unless there is a sole source justification. The proposal budget is considered the best possible estimate at the time of submission. Quotes from suppliers may be referenced in the budget justification if necessary.
- An Equipment Sharing Plan must be included in the proposal narrative and is part of the evaluation of the proposal.
- Support letters may be included in Level 3 applications.
- Salary expenses are not allowed which includes requests for faculty, technicians, and students.

Level 3 Expectations and Deliverables

Expectations:

- There must be a demonstrated need for the equipment.
- The research should form a definitive foundation for future collaboration and pursuit of extramural support within the three-year period following equipment installation.
- Equipment is expected to be shared or made available to the University community on an equitable basis to be defined by the applicants.

Deliverables:

- 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.
- 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.
- 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 award.
- Applicants must have a poster or oral presentation at the OVPRED Research Day during the year of funding.
- Final report (see below).

Level 3 Final Report

The final report should directly address the above referenced deliverables for a Level 3 – RGC Equipment Project. A brief report describing the outcome of the research conducted using these funds is due to the RGC Coordinator for review by the VPRED no later than 90 days following the end of the project period.

VI. Review Criteria

For all Funding Levels:

Need:

- Novelty, rationale, and/or significance of the project including a needs assessment when appropriate.

Response:

- Project’s research methods, design, and plan of work or the creative production.
- Feasibility of the proposed timeline.

Evaluative Measures:

- Anticipated outcome(s), products, and dissemination that include a direct reference to the required Deliverables for the requested Level of funding.
- When applicable, the plans to use the outcomes of the RGC award to apply for external funding.

Impact:

- Outline for further development of applicant’s research, scholarship, or creative endeavor.
- Significance of the project to the applicant’s particular field.

Resources/Capabilities:

- Appropriateness of the resources utilized and capacity of the applicant(s) to effectively implement the proposed activities.
- Acknowledgement of potential obstacles and the strategy to effectively resolve potential challenges.

Support Requested:

- Appropriateness of the budget and budget justification.

Match:

- Availability of school, college, or departmental matching support.

<u>Level 2 Additional Review Criteria:</u>	<u>Level 3 Additional Review Criteria:</u>
<ol style="list-style-type: none"> 1) Is the project likely to foster a further interdisciplinary collaboration? 2) Could the work continue without this funding? 3) (If applicable) is the equipment sharing plan adequate? 	<ol style="list-style-type: none"> 1) Is there a demonstrated need for equipment and relationship to novelty of the work? 2) Interdisciplinary component—will purchasing the equipment facilitate interdisciplinary research? 3) Does the requested equipment enhance the capabilities and capacities of the University to conduct and support research? 4) Could the proposed work continue without this equipment? 5) Is the equipment sharing plan adequate?

VII. Proposal Requirements

The submitted proposal package must include the following required attachments. All components must be combined into a single pdf file.

- Proposal Narrative and References Cited, including applicant remarks to RGC previous reviews if applicable (page limitation is determined by the Level of the application) - **1**
- Budget (2 page limit) - **2**
- Budget Justification (2 page limit) - **3**
- Cost share form (if applicable) - **4**
- Curriculum Vitae (CV) for the PI and co-PIs (limit of 3 pages per CV) - **5**
- Current and Pending for the PI and co-PIs (no page limit, always required, see details in Current and Pending section) - **6**

The name of the single pdf for all documents should be structured like

“PIIlastnamePIfirstnameRGCyearLevelx” (Example: **SmithRobertRGC2016Level3**).

While you are not required to submit a Data Management Plan, if applicable, you may want to include a brief description of your plan within the Proposal Narrative. For more information and assistance in development of data management plans, please go to <http://www.lib.ua.edu/e-sci>.

1. Proposal Narrative and References Cited

The proposal narrative and references cited should be the first document in your combined pdf for the RGC application. Applicants submitting a response to previous RGC reviewer comments should attach the 1 page document before the proposal narrative.

Level 1 proposals: The proposal narrative must be no more than five (5), double-spaced pages in a 12-point font with 1 inch margins. Additional pages (unlimited) are allowed to list references cited.

Level 2 and 3 proposals: The proposal narrative must be no more than ten (10), double-spaced pages in a 12-point font with 1 inch margins. Additional pages (unlimited) are allowed to list references.

The Proposal Narrative should:

- **Be written in clear, non-technical language that may be understood by a layperson.** The reviewers come from varied backgrounds and disciplines and may not be familiar with technical language or terminology specific to your discipline.
- Include an abstract, which is a one-fourth to one-half page overview of the project.
- Be double spaced using 12 point font with one (1) inch margins. Proposals that do not adhere to the formatting requirements will not be considered for funding.

Proposal Narrative Elements:

The items listed below should be included in the 5 page (Level 1) or 10 page (Levels 2 and 3) proposal narrative.

- a) **Abstract:** one-fourth to one-half page overview of the project. The Abstract, also written in layperson's terms, should briefly address the significance and purpose of the proposal for the reviewers.
- b) **Purpose/Objectives:** rationale for the proposed research.
- c) **Significance of the Project:** both as the project applies to the applicant's particular field of study/inquiry and to the applicant's career. Tenured faculty should explain within the text of the proposal why the project represents a new direction within the overall theme of their research area and how they envision future development of this new direction or why funding is needed to continue research for a previously funded area.
- d) **Research methods/design/plan of work or creative production.**
- e) **Outcomes:** anticipated outcome(s), products, and dissemination that include a direct reference to the required deliverables for the requested Level of funding. If applicable, plans to use the outcomes of your RGC award to apply for external funding should be included.
- f) **Timeline:** a realistic timeline or incremental plan indicating when each portion of the research will be completed.
- g) **Equipment sharing plan:** required for all Level 3 (RGC Equipment Project) proposals and for Level 2 (RGC Collaborative Project) proposals when applicable.

The items listed below are separate attachments and not included in proposal narrative page limitations.

- h) **References Cited:** The reference pages may be single or double spaced. There is not a page limit for references cited.

2. Budget

The RGC Budget, budget justification and the Cost Sharing Authorization form (if applicable) are the next documents in the combined pdf for the application.

The **RGC Budget** is created by the applicant and has a two (2) page limit. The budget should reflect (by line item and year) the funds being requested from the OVPRED and the match that is being provided by the applicable Colleges/Schools/Departments.

Faculty are encouraged to contact Carol Hollyhand, Office for Sponsored Programs Associate Director, at chollyhand@research.ua.edu for individual assistance with their RGC budget.

Example budgets that applicants may edit are available on the RGC website (http://osp.ua.edu/rgc_grants.html).

The **RGC Cost Sharing Authorization Form** (located on http://osp.ua.edu/rgc_grants.html) will indicate the individual Colleges/Schools/Departments contributions to the match. Before submitting the proposal, the RGC Cost Sharing Authorization form must have:

- The FOAP number
- All required authorizing signatures

3. Budget Justification

The **budget justification** document (limited to two (2) pages) is part of the review criteria and should be carefully articulated. The budget justification may be single or double spaced with a 12-point font and 1-inch margins.

The budget justification should reflect the funds being requested from the OVPRED and the matching funds. Clear delineation between the different school/college/department matching funds is required in this document.

Budget Information

- a) **Salary Policy:** To comply with UA policy, a minimum of 1% of the PI's salary (and related fringe) must be charged to any Level 2 awarded projects. If less than 1% of the PI's salary is included in the proposed budget, at the time of award Contract and Grant Accounting will work with the PI and department to meet the requirement through cost share of release time. The Minimum Allowable PI Effort policy is located on http://osp.ua.edu/policy_procedures.html.
- i. Faculty salary requests may not be for salary during the academic year or for 12 month salary.
 - ii. Supplemental Pay –
 - RGC funds may not be used for supplemental pay other than one month of summer salary for 9 month faculty (see iii., below). To view the supplemental pay policy, please go to: http://osp.ua.edu/policy_procedures.html.
 - RGC funds may not be used to add to or increase the salary of 12-month employees.
 - iii. **Summer Salary** is compensation; therefore tax and other payroll withholdings will be applied to any payments. Salary requested cannot be higher than the current monthly salary rate of the faculty member. Requests for years 2 and 3 of an award may reflect a cost of living increase estimate. See Budget Procedures for Grants and Contracts on http://osp.ua.edu/policy_procedures.html.
 - To assist the review panel, requests for faculty summer salary must have a clear and strong justification explaining the why the work cannot be completed during the academic year and additional salary is necessary to complete the project.
 - iv. For Level 2 (RGC Collaborative Project) proposals, funding for no more than one month summer salary per UA faculty member per year will be allowed.
 - v. Level 3 (RGC Equipment Project) proposals may not include requests for salary (faculty, technician, student, etc.).
 - vi. UA Faculty Serving as Consultants - If requesting funding for a consultant who is a UA faculty member, the funds requested should be reflected in the "Salary" section of the budget. A related amount must also be budgeted for fringe benefits. For the current fringe benefit rate and how to calculate, go to: <http://osp.ua.edu/fringe.html>. The funds requested should be for summer activity and, therefore, summer salary.

- b) **Conference Expenses:** RGC funds may be used for conference expenses for one (1) person to attend one (1) conference during the award period. Conference attendance is for presenting the outcomes of the RGC project and must be directly related to the RGC funding level Deliverables.
- c) **Other Travel Expenses:** If using RGC funding for travel, the University's policies for in-state, out-of-state, or foreign travel must be used. For more information go to <http://accountspayable.ua.edu/policies-references/>. Transportation costs are based on the most economical means of travel for one person. If foreign travel is requested, a justification must be included that clearly describes how the foreign travel will benefit the research project.
- d) **Research Assistants:** Students hired to work on an RGC project must be enrolled as a student at the University. The RGC budget may include salary, in-state tuition and the appropriate fringe/health insurance (if applicable) for undergraduate, graduate and post-doc students. GRA funding should reflect the appropriate expenses for the time the student is involved in the project: in-state tuition, health insurance and salary. The cost difference between in-state and out of state tuition will be the responsibility of the school or college and may not be reflected in the required match in the RGC budget. Current GRA rates for in-state tuition, minimum salary, etc. are available on <http://osp.ua.edu/proposal-preparation.html>. Hourly enrolled student workers, both undergraduate and graduate, are also allowable line items in the RGC budget.
- e) **Equipment:** Any item having a unit cost of \$5,000 or more and a useful life of one year or more is considered Equipment. See the Budget Procedures for Grants and Contracts on <http://osp.ua.edu/proposal-preparation.html> for additional information. RGC funds should not be used to purchase equipment that would normally be purchased by the applicant's Department, School, or College. Equipment purchased for Level 1 (RGC Seed Project) and Level 2 (RGC Collaborative Project) awards may be kept in the department or unit as long as the PI/co-PI is a member of the University faculty. All equipment must be inventoried through University Property and Inventory Management policy and procedures (<http://fawp.ua.edu/surplus/surplus-property-2/>). Proposals that include the purchase of equipment should include an Equipment Sharing Plan as a component of the proposal narrative.
- f) **Consultants:** If a consultant is not an employee of UA, consultant fees should be reflected in "Operating Expenses." See a) vi., above, for UA faculty serving as consultants.

Matching Funds

The RGC is an internally funded program. In order to ensure the best use of and highest impact from the University's resources, it is important for the recipient Colleges/Schools/Departments to be invested in the RGC supported projects. A match of at least 1:1 is recommended though not required for all RGC funding Levels and should be in the form of "cash" such as a new GRA's salary and in-state tuition, equipment and travel. Faculty salary will not be accepted as match. Faculty salary of up to one month total, per individual, per year may be charged to a Level 1 or 2 project. Availability of matching funds will be taken into consideration during the review process.

Matching may be funded from college, school, departmental, gift, or research overhead funds.

Matching funds may not come from:

- Existing internal or external grants
- Faculty salary
- Staff permanently budgeted salary
- Faculty start-up funds
- Outside entities or collaborators

For Level 2 projects, University policy is in place to comply with federal costing consistency rules, requiring a minimum of 1% effort of any faculty or other senior researcher be allocated in the accounting system as a salary charge to the project. If this requirement is not met through summer salary, the 1% will be accounted for as cost share but will not count toward the 1:1 match recommendation. If less than 1% of the PI's salary is included in the proposed budget, at the time of award, Contract and Grant Accounting will work with the PI and the department to meet the requirement through cost share of release time. The Minimum Allowable PI Effort policy is located on http://osp.ua.edu/policy_procedures.html.

Unlike externally funded projects, there is no internal funding mechanism to cover the difference between in-state and out-of-state tuition. Should an out-of-state resident GRA be included on the project, only the in-state tuition is allowable as a grant charge and/or match and the out-of-state portion must be funded from other School/College or Department resources.

4. RGC Cost Sharing Authorization Form

A completed RGC Cost Sharing Authorization Form is required for all RGC applications with cost-share match and will be the fourth document (when applicable) in the single pdf for the electronic application. The submitted form must have all the appropriate signatures and the Banner FOAP for each fund that is providing match. Go to http://osp.ua.edu/rgc_grants.html to access the form.

Different Cost Sharing Authorization forms may be used for different schools/colleges to reflect cost share matches for multidisciplinary proposals. However, the PI should ensure that the total match is accurate if multiple Cost Sharing Authorization forms are included in the RGC application.

5. Curriculum Vitae (CV)

The CV is the fifth document in the single pdf for the application. A current CV for the PI and the co-PIs, if applicable, is required. There is a **three (3) page limit** for each CV. The CV(s) may be single or double spaced in a 12-point font and 1-inch margins and uploaded to the application as a single document. The NSF and NIH Biosketch formats are acceptable, but not required.

6. Current and Pending Support

The Current and Pending (C&P) document is the sixth document in the single pdf for the electronic application. A Current and Pending document for the PI and co-PIs is required. The C&Ps may be single or double spaced but must be in 12-point font with 1-inch margin. There is not a page limit for the C&Ps. **If there are not any current and pending submissions or awards to report, a document with the heading "Current and Pending" that indicates "N/A" is required.**

The C&P must include both internal and external submissions and awards from the past three years. Pre-proposal submissions should also be included. Competitive internal (UA) awards, including department awards in which you submitted an application, should be included in the C&P. However, departmental start-up funds should not be listed. The Current and Pending document should reflect all research projects, including those not related to the proposed RGC project, **from the past three (3) years**. Awards that have ended during this time period may be included. The Current and Pending should contain the following details:

- a) Funding agency.
- b) Title of award.
- c) PI and co-PI as listed in the proposal.
- d) Total period of award.
- e) Total amount of the award. (May reflect the individual's and/or total amount.)
- f) Amount of the award for the current award year if it is a multi-year award.
- g) Status of the proposal: awarded or pending.
- h) For pending proposals, indicate if there is duplication of the project proposed to the RGC.

It is required that all other funding sources be disclosed. Failure to disclose all current and pending funding may result in the committee rejecting the application or a later withdrawal of the award by the VPRED. Start-up funds are not considered grant support and should not be included on the list of current and pending support. Previous RGC awards are considered internal grant support and should be listed.

VIII. Electronic Application Requirements/Instructions

The Research Grants Committee (RGC) electronic application must be filled out completely.

Do not use all caps to answer any fields in the electronic application.

The link to the RGC Application Form and example budgets are available on the RGC website:
http://osp.ua.edu/rgc_grants.html.

1. Required Information

Data entered into online form:

- a) Personal Data for all PIs and co-PIs: CWIDs, the UA campus box number, UA email address, phone number, departmental accounting contact (PI only), and past RGC funding history.
- b) Area of Application: Area A, Area B, or Area C.
- c) Level of Funding requested.
- d) Shared Credit: The PI and co-PIs should determine how the shared credit for the proposal will be divided. Shared Credit distribution is used to determine the amount of the total award that is credited to each faculty member. Shared Credit must equal 100%.
- e) Office for Research Compliance information: similar to the UA online Internal Coordination Sheet, this section includes questions concerning the project's need for Compliance approvals.
- f) Documents that must be uploaded as single pdf and titled in a format of "PIlastnamePIfirstnameRGCyearLevelx" (example: **SmithRobertRGC2016Level3**):
 - i. Proposal Narrative (page limit determined by funding Level request), References Cited (no page limit). When applicable, the one (1) page response to previous RGC reviewer comments is included as the first page of this section.
 - ii. RGC Budget (2 page limit)
 - iii. Budget Justification document (2 page limit)
 - iv. Cost Sharing Authorization form(s) if applicable
 - v. Curriculum Vitae document(s) for PI and co-PI(s) (3 page limit per CV)
 - vi. Current and Pending document(s) for PI and co-PI(s) (no page limit)

2. Instructions for Submitting the Application and Required Documents

Open the form and enter all the required information ensuring that all sections are completely filled out. This will include uploading the required attachment in the format described above. When the application is completed, click the "Submit" button. You will then be directed to a page that displays a summary of the information you entered into the application. **Please review your data and then click "Submit" for the second time.**

Once you have clicked "Submit" on the summary page, a Thank You page will appear. This ensures your submission has been delivered. You will also receive a confirmation email that has a link to the completed application and a copy of your attachments.

- Keep this email for your records.
- Please forward the email to your Associate Dean for Research and your co-PIs

If you have any problems with any steps in the RGC application process, please contact the RGC Coordinator, Angie Shotts at ashotts@research.ua.edu.

IX. RGC Areas

The Area selected should be determined by the proposed research or project, which may be different than the faculty member's appointment. If you are unsure about which Area should receive your application package, please work with your [Associate Dean for Research](#) or the RGC Coordinator. The type of research proposed may fit within a traditional discipline or may be interdisciplinary. Each applicant should identify the Area most appropriate to evaluate the proposal. For disciplines such as history and linguistics in which the research methodology may be oriented either toward the humanities or toward social science, we ask that the applicant identify the Area most appropriate to evaluate the proposal. The following is a list of **some** of the disciplines and types of research within each of the three Areas.

<p>Area A- Physical and Biological Sciences, Mathematics, and Engineering: biology, chemistry, computer science, education, engineering, environmental science, geography, geology, human environmental sciences, marine science, nursing, physics, psychology, exercise science, human performance.</p>	<p>Area B- Social and Behavioral Sciences: advertising, American studies, anthropology, communicative disorders, communication, criminal justice, economics, education, finance, geography, history, human environmental sciences, information systems, international studies, journalism, law, management, marketing, nursing, philosophy, political science, public relations, psychology, social work, telecommunications/film.</p>	<p>Area C- Arts and Humanities: American studies, art, communication, dance, education, English, modern languages and classics, history, international studies, journalism, law, music, philosophy, political science, public relations, religious studies, telecommunications/film, theatre.</p>
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X. Additional Information

Ineligible Applicants/Conditions

- Applications that do not follow all of the guidelines described in the RGC Manual will not be reviewed or considered for funding.
- Applicants who do not properly disclose other funding sources, both current and pending, will have their RGC Award revoked if it is determined there is duplicate funding for the same project.
- RGC funds may not be used for expenses incurred prior to the notification of the RGC award.

Project Completion/Termination or Project Design/PI Change

An RGC award may be cancelled in whole or in part if the Awardee makes material changes such as changes in employment status, changes in project plans, location or time available for the project, or receipt of other grant support for the same project.

- Unused funds are automatically canceled upon termination of the project or resignation of the PI and must be returned to the OVPRED. Requests to change a co-PI to PI status must be submitted to the RGC Coordinator for approval from the VPRED.
- No-cost extensions for extraordinary circumstances will be considered on a case-by-case basis and must be approved by the VPRED. Any request for a no-cost extension must be submitted to the RGC Coordinator for approval from the VPRED.
- If there is a change in the project such that the project differs materially from the objectives as stated in the original application, such change must be reported, in writing, to the RGC Coordinator for approval from the VPRED.

- Should a recipient abandon the project, the recipient must inform and send a summary report to the RGC Coordinator which includes an accounting of all funds expended and remaining for approval from the VPRED.

Resignation from the University

If the PI or a co-PI leaves the University before completing the project, the following must be filed with the OVPRED:

- Statement of resignation with its effective date.
- Contact information upon resignation from the University, including address, phone number and email address.
- Full and complete report of progress to date is required.
- A report of the condition and location of any equipment purchased with RGC funds.
- If a faculty member receives an award and then leaves 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.
- Projects with co-PIs may submit a request to have a 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 VPRED.

Compliance Approvals (IRB, IACUC, Hazardous Materials, etc.)

All research proposals involving human subjects, animals, controlled substances, radioactive materials, or recombinant DNA must have approval by the appropriate University Committee in order to ensure compliance with existing regulations.

Awardees must obtain approval before RGC funds are released. The approval number and expiration date must be shared with the RGC Coordinator before an award fund will be established. Awardees are responsible for updating the RGC Coordinator annually when the approvals from the Office for Research Compliance expire.

To ensure timely processing and establishment of awards, awardees should ensure the title of the RGC project and the project title submitted to the Office for Research Compliance are exactly the same. **UA RGC** should also be listed as a potential source of funding in the submitted protocol/paperwork. Please see the Office for Research Compliance website for further information:

http://osp.ua.edu/Research_compliance.html.

Technology Transfer

All award recipients must abide by the requirements concerning any patentable invention, process, design, or improvement set forth in the University Patent Policy, please see the Office for Technology Transfer website for further information: <http://ott.ua.edu>.