

THE UNIVERSITY OF
ALABAMA

Office for
Research & Economic Development



**SMALL GRANT PROGRAM
RESEARCH GRANTS COMMITTEE**

**APPLICATION MANUAL
FY 2019**

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RGC Small Grant Program Overview

Description	<ul style="list-style-type: none"> Initial or seed funding for research/scholarship/creative scholarship grant for UA faculty. Designed for projects that are new research programs, scholarly initiatives, or creative scholarship.
Award Period	Two (2) years (January 1, 2019–December 31, 2021)
Proposal Funding Range	The ORED will fund a maximum of \$6,000.
Faculty	Limited to 1 PI and 1 co-PI.**
Expectations	<p>The application must describe how the award will (either):</p> <ul style="list-style-type: none"> Further the research/scholarship mission of The University of Alabama and the faculty member, <u>and/or</u> Result in additional extramural support.
Required Deliverables	<ol style="list-style-type: none"> The funded projects will produce at least one of the following outcomes: submission to an external agency or foundation, publication, exhibition, performance, or a conference presentation. A poster presentation at Faculty Research Day. A final report is due 90 days after the end of the award period.

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

General Program Information

RGC Small Grant Program funds are intended to support scholarly activities for faculty at the University of Alabama. Proposals are reviewed by the Research Grants Committee (RGC), a standing committee in the Office for Academic Affairs. The RGC is composed of faculty members, each appointed to a three-year term on a rotating basis from the ranks of full and associate professor. A list of current RGC members is available [here](#).

The Office for Research and Economic Development (ORED) administers the RGC Small Grant Program through the Office for Proposal Development (OPD). Questions about the RGC Small Grant Program should be addressed to the RGC Coordinator (Angie Shotts, acshotts@ua.edu, 348-8070).

Application Due Date

Proposals must be submitted by **1 p.m. on Friday, September 21, 2018**, for FY 2019 funding. The start date for FY 2019 awards is **January 1, 2019**.

The RGC Small Grant Program applications are submitted via the UA Cayuse system. Additional information including a link to Cayuse is available on the [RGC Small Grant Program site](#).

Eligibility

- Only one proposal, as PI or co-PI, will be considered per investigator during any proposal submission period.**
- Former RGC grant recipients are ineligible to receive new Small Grant Program funding for 12 months (one year) following the end of the previous award period** for the same level of funding. For example, previous RGC-Level 1 recipients must wait 12 months from the end date of their project to apply for Small Grant Program funding. The 12-month hiatus does not apply to other ORED internal funding programs that are for larger awards. The 12-month period begins at the end of the project period and includes ORED approved extensions if applicable.

- An individual can have support for only one RGC Small Grant Program project at a time, whether it is the PI or a co-PI.
- A final report for the previous award is required for new applications to be considered.

UA Research Policies

The Office for Research Compliance (ORC) Approvals

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 (IRB, IACUC, Hazardous Materials) from ORC before the RGC award funds will be released. The approval number and expiration date must be emailed to the RGC Coordinator before an award fund will be established.

To ensure timely processing and establishment of awards:

- Applicants are encouraged to submit their IRB and IACUC applications early, especially if they plan to begin the project at the start of the award period.
- Applicants should ensure the title of the RGC project and the project title submitted to the Office for Research Compliance are exactly the same.
- When completing the IRB and IACUC forms, list UA-RGC or UA-ORED as a funding source.

Go to the [Office for Research Compliance](#) website for additional information.

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.

Program 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 to submit your proposal, contact the RGC Small Grant Program Coordinator. The type of research proposed may fit within a traditional discipline or may be interdisciplinary. The review panel composition may also provide guidance on the most appropriate review Area. View the composition of the review panel [here](#). The following are examples of **some** of the disciplines and types of research that may fall 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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Award Priorities

All University of Alabama full-time tenured, tenure track, clinical, and clinical track faculty working individually or jointly may apply for RGC Small Grant Program funding. The RGC Small Grant Program funds are limited. Therefore, tenure/clinical track and tenured faculty are reviewed separately in the award process.

1. The highest priority is given to proposals submitted by tenure track or clinical track faculty who are not currently funded by external (non-UA) and internal (ORED, college level, etc.) awards.
2. The second highest priority is for proposals submitted by tenure track or clinical track faculty with significant research funding unrelated to the research proposed in the RGC Small Grant Program application.
3. Applications from tenured faculty are considered separately from tenured-track faculty. Tenured faculty are encouraged to submit applications. Tenured faculty should explain within the text of the proposal why the project for which they are requesting funds is needed to continue research or how the proposal represents a new direction for the faculty member. A portion of the total funds allocated for RGC Small Grant Program awards will be designated for tenured faculty.

Ineligible Applicants and Proposals

- Non-compliant applications that do not follow all of the guidelines described in this RGC Small Grant Program Manual will not be reviewed nor considered for funding. This includes, but is not limited to, instructions on the proposal title and naming of the PDF described in the Proposal Requirements section.
- Adding additional materials and supplementary documents not listed as a component of the application will be considered a non-compliant submission. Non-compliant materials include, but are not limited to, support letters, appendices, and other documents not specified as a proposal requirement.
- Applicants who do not properly disclose other funding sources, both current and pending, will have their award revoked if it is determined there is duplicate funding for the same project.
- Project expenses incurred prior to the notification of the RGC award and start date will be considered ineligible expenses.

Review Criteria

Need:

- Novelty, rationale, and/or significance of the project.

Response:

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

Evaluative Measures:

- Anticipated outcome(s), products, and dissemination that include a direct reference to the required Deliverables.
- When applicable, the plans to use the outcomes of the RGC Small Grant Program 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.

Proposal Requirements

The proposal must include the following components. All components listed below must be included and combined into a single PDF file. Proposals are submitted via Cayuse. Additional information including a link to Cayuse is available on the [RGC Small Grant Program site](#).

The formatting for the PDF name must be:

- PIIlastPIfirst2019AreaX
- Example: **JonesBob2019AreaA**

The project title entered into the Cayuse system must begin with:

- RGC Small Grant 2019 Area X:
- Example: **"RGC Small Grant 2019 Area A: project title"**

This is a requirement that ensures the submission will be considered for internal funding.

1. Proposal narrative with abstract (5-page limit) and references cited (unlimited pages), including applicant remarks to previous reviews if applicable (additional 1 page).
2. Budget (2-page limit).
3. Budget justification (2-page limit).
4. Curriculum Vitae (CV) for the PI and co-PI (2-page limit per CV).
5. Current and Pending Support (C&P) for the PI and co-PI (no page limit, **always required**, see details in Current and Pending section).

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 the [OSP Data Management Plan Guidance](#) site.

Proposal narrative and references cited

The proposal narrative must 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.

Formatting: five (5) pages, double-spaced with 12-point font and 1-inch margins. Additional pages (unlimited) are allowed for references cited. Charts and graphs may be single-spaced with smaller font if necessary.

Previous applicants may include an additional one (1) page response to the RGC Small Grant Program reviewer comments. This component of the proposal should follow the proposal narrative formatting guidelines and should be included before the proposal narrative.

Proposal Narrative components

The 5-page proposal narrative should include and sufficiently address the following elements while also sufficiently addressing the review criteria (indicated in red):

- 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.
- b) **Purpose/Objectives:** rationale for the proposed research. (Need)
- c) **Significance of the project:** both as the project applies to the applicant's particular field of study 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, how they envision the future development of this new direction, or why funding is needed to continue research for a previously funded area. (Impact)

- d) **Research methods/design/plan of work or creative production.** (Response, Resources/Capabilities, Support Requested)
- e) **Outcomes:** anticipated outcome(s), products, and dissemination that include a direct reference to the required Deliverables. If applicable, plans to use the outcomes of your RGC Small Grant Program award to apply for external funding should be included. (Evaluative measures)
- f) **Timeline:** a realistic timeline or incremental plan indicating when each portion of the research will be completed. (Resources/Capabilities)
- g) **References cited:** The reference pages may be single- or double-spaced. There is no page limit for references cited.

Budget

The budget is created by the applicant and is limited to two (2) pages. There are no margin limits for the budget pages. Margins may be adjusted to accommodate and improve the budget presentation to the review committee.

The budget should reflect, by line item, the funds being requested from the ORED. [Excel templates are available here.](#)

Cost share match provided by the college, department, etc. is not allowable in the Small Grant Program budgets. The proposal budget should reflect the funds requested from the ORED only. The maximum request is \$6,000.

Budget justification

The **budget justification** is limited to two (2) pages. The justification for the requested 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 (by line item and year) the funds being requested.

Budget preparation information

- a) **Salaries:**
 - i. Faculty salary requests may not be for time during the academic year nor for salary for someone with a 12-month position.
 - ii. Supplemental Pay—The RGC Small Grant Program funds will comply with the [UA Supplemental Pay Policy](#).
 - RGC Small Grant Program funds may not be used for supplemental pay other than one month of summer salary for 9-month faculty (see iii., below).
 - RGC Small Grant Program 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. See [Budget Procedures for Grants and Contracts](#) for additional policy guidance.
 - **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 why additional salary is necessary to complete the project.**
 - iv. 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 guidance on how to calculate, go to the OSP [Proposal Fringe](#)

[Benefits Rate](#) site. The funds requested should be for summer activity and, therefore, summer salary.

- b) **Conference expenses:** RGC Small Grant Program 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 outcomes of the RGC Small Grant Program project and must be directly related to the RGC Small Grant Program 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 [UA Accounts Payable](#) website. 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:** Hourly students hired to work on an RGC project must be enrolled as a student at the University. Hourly student workers, both undergraduate and graduate, are allowable expenses.
- e) **Materials and supplies:** Supplies include expendable items with a useful life of less than one year or a unit cost under \$5,000. Include a description of each category (e.g. glassware) and an estimate of the cost for items directly related to the project that are to be expended or consumed during the course of the project. Office supplies are generally not allowed as they are items that should be provided by the home department.
- f) **Equipment:** Any item having a unit cost of \$5,000 or more and a useful life of one year or more is considered an equipment purchase. See the Budget Procedures for Grants and Contracts on the [OSP Proposal Preparation](#) site 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 RGC Small Grant 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](#). Proposals that include the purchase of equipment should include an equipment sharing plan as a component of the proposal narrative.
- g) **Consultants:** If a consultant is not an employee of UA, consultant fees should be reflected in "Operating Expenses." See a) iv., above, for UA faculty serving as consultants.

Curriculum Vitae (CV)

A current CV for the PI and the co-PIs, if applicable, is required. There is a **two (2) page limit** for each CV. The CV(s) may be single- or double-spaced in a 12-point font and 1-inch margins. The NSF and NIH bio-sketch formats are acceptable, but not required.

Current and Pending (C&P) support

A C&P document for the PI and co-PI is required. The C&Ps may be single- or double-spaced but must be in 12-point font with 1-inch margin. There is no page limit for the C&Ps.

If there are no current and pending submissions or awards to report, a page with the heading "Current and Pending" that indicates "N/A" is required.

The C&P must include both internal and external pending submissions and awards from the past three years. Pre-proposal submissions should also be included. Competitive internal (UA) awards, including department awards to which you submitted an application, should be included in the C&P.

Departmental start-up funds should not be listed. The C&P 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 but are not required. The C&P document 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 proposed project.

Application Instructions

Applications will be submitted via the Cayuse Research Suite. The link to Cayuse, RGC budget templates, and additional resources are available on the RGC website. Applicants will sign into Cayuse with their myBama credits. **Access the RGC site and the link to submit your proposal [here](#).**

Required information

- a) Area of application: Area A, Area B, or Area C. The submission Area must be indicated in the title of the proposal to ensure the proposal will be considered. **The project title entered into the Cayuse system must begin with "RGC Small Grant 2019 Area X:"**.

- Example: "RGC Small Grant 2019 Area A: project title"

- b) Allocation of credit: The PI and co-PIs determine how the shared credit for the proposal will be divided and reflected in internal reports (FAR, Digital Measures). Allocation of credit distribution is used to determine the amount of the total award that is credited to each faculty member. **Allocation of credit must equal 100%.**

- c) Documents must be uploaded as **a single PDF** and with the title formatted as: **PIlastPIfirst2019AreaX.**

- Example: **JonesBob2019AreaA.**

1. Proposal narrative including the abstract (5-page limit) and references cited (no page limit). When applicable, the one (1) page response to previous reviewer comments is included as the first page of this section.
2. RGC Small Grant Program budget (2-page limit).
3. Budget justification document (2-page limit).
4. Curriculum Vitae document(s) for PI and co-PI(s) (2-page limit per CV).
5. Current and Pending document(s) for PI and co-PI(s) (no page limit).

Cayuse Information

The Cayuse website includes links to "Getting Started with Cayuse" and "Cayuse FAQs." Answers to fields specific to the Small Grant Program are:

Sponsor: ORED Internal Funding

Prime Funding Agency: leave blank

Proposal Type: New

Instrument Type: Internal UA Funding

How will this be submitted: leave blank