THE UNIVERSITY OF
ALABAMA® | Office for
Research & Economic Development

SMALL GRANT PROGRAM
RESEARCH GRANTS COMMITTEE

APPLICATION MANUAL
FY 2021

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ORED Small Grant Program Overview

Description	• 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, 2021–December 31, 2022)
Proposal Funding Range	The ORED will fund two types of awards, up to $6000 or up to 12,000. Apply to either type. Only six to ten meritorious $12K applications will be awarded, the remaining available funds will support $6K awards.
Faculty	Limited to 1 PI and 1 co-PI.**
Expectations	The application 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.
Required Deliverables***	1. 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. 2. A poster presentation at Faculty Research Day in the final year of funding. 3. A final report is due 90 days after the end of the award period.

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

***Failure to comply with these requirements may result in the inability of the faculty member's Department and/or College from applying for this funding in the future.

General Program Information

ORED Small Grant Program (SGP) 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 Small Grant Program through the Office for Research Development (ORD). Questions about the ORED Small Grant Program should be addressed to the SGP Coordinator (Charlotte Nix, cnix@ua.edu, 348-7079).

Application Due Date

Proposals must be submitted by **1 p.m. on Thursday, October 1, 2020,** for FY 2021 funding. The start date for FY 2021 awards is **January 1, 2021**.

The ORED Small Grant Program applications are submitted via the UA Cayuse system. Additional information including a link to Cayuse is available at the end of this document and on the ORED Small Grant Program site.

Eligibility

• **Only one proposal, as PI or co-PI, will be considered per investigator during any proposal submission period.**

- **Former ORED Small Grant recipients are ineligible to receive new Small Grant Program (formerly RGC Level One) funding for 12 months (one year) following the end of the previous award period** for the same level of funding**.** For example, previous ORED SGP or RGC 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 (example RGC Level Two or Three). 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 ORED Small Grant Program project at a time, whether it is as 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 ORED award funds will be released. The compliance number, as well as the approval and expirations dates must be emailed to the ORED Small Grants Program 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 ORED 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-ORED as the funding source.

Go to the Office for Research Compliance website for additional information.

Office for Innovation and Commercialization

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 Innovation and Commercialization 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 ORED 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:

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.	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.	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.

Award Priorities

All University of Alabama full-time tenured, tenure track, clinical, and clinical track faculty working individually or jointly may apply for ORED Small Grant Program funding. The ORED Small Grant Program funds are limited. Therefore, tenure/clinical track and tenured faculty are considered 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 ORED 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.

Ineligible Applicants and Proposals

- Non-compliant applications that do not follow all of the guidelines described in this ORED Small Grant Program Application Manual will not be reviewed nor considered for funding.
- 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 Small Grant Program award, fund establishment date or compliance approval 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 includes a direct reference to the required Deliverables.

- When applicable, the plans to use the outcomes of the ORED 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 career and 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 at the end of this document and on the ORED Small Grant Program site.

The formatting for the PDF name must be:

- PIlastPIfirst2021AreaX
- Example: **JonesBob2021AreaA**

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

- OREDSGP2021AreaX:
- Example: "**OREDSGP2021AreaA:** 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). See specific requirements below.
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).
6. Internal Funding Support History for the PI and co-PI (no page limit, **always required**, see details in Support History of Internal Funding 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 a smaller font if necessary.

Previously funded applicants resubmitting a project may include an additional one (1) page response to the ORED 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, double-spaced 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 ORED 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. Applicants should indicate when they plan to submit approvals (when applicable) to the Office for Research Compliance. (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. Apply for up to $6,000 or $12,000.

Budget justification

The **budget justification** is limited to two (2) pages. The justification for the request 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) 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 ORED Small Grant Program funds will comply with the UA Supplemental Pay Policy.

- ORED 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).
- ORED Small Grant Program funds may not be used to add to or increase the salary of 12-month employees.

iii. <u>Summer Salary</u> 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 <u>Budget Procedures for Grants and Contracts</u> for additional policy guidance.

- **To assist the review panel, requests for faculty summer salary must have a clear and strong justification explaining why the work cannot be completed during the academic year and why additional salary is necessary to complete the project.**

iv. <u>UA faculty serving as consultants</u> - 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 <u>Proposal Fringe Benefits Rate</u> site. The funds requested should be for summer activity and, therefore, summer salary.

b) **Conference expenses:** ORED 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 ORED Small Grant Program project and must be directly related to the ORED Small Grant Program deliverables.

c) **Other travel expenses:** If using ORED Internal funding for travel, the University's policies for in-state, out-of-state, or foreign travel must be used. For more information go to <u>UA Accounts Payable</u> website. If foreign travel is requested, a justification must be included that clearly describes how the foreign travel will benefit the research project.

d) **Students:** Students supported by an ORED funded project must be enrolled at the University. Hourly student workers, both undergraduate and graduate, are allowable expenses.

e) **Operating/Materials/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:** <u>Any item having a unit cost of $5,000 or more</u> and a useful life of one year or more is considered an equipment purchase. See the Budget Procedures for Grants and Contracts on the <u>OSP Proposal Preparation</u> site for additional information. ORED funds should not be used to purchase equipment that would normally be purchased by the applicant's department, school, or college. Equipment purchased for ORED 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 <u>University Property and Inventory Management Policy and Procedures</u>. 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-PI, 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. (NIH bio-sketch with ½" margins accepted)

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 <u>external pending submissions and awards</u> from the past three years. Pre-proposal submissions should also be included. **Departmental start-up funds should <u>not</u> be listed.** The C&P document should reflect <u>all</u> research projects, including those not related to the proposed ORED 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.

Internal Funding Support History

A document with the support history of internal awards for the PI and co-PI is required. The document may be single - or double-spaced with a 12-point font and 1-inch margins. There is no page limit.

If there is not a history of receiving an internal award from UA (ORED, A&S CARSCA, one of the UA Institutes) in the past 5 years, a page with the heading "Internal Funding Support History" and "N/A" is required.

In this section, faculty will list internal awards received at UA for the past 5 years. Funding sources include, but are not limited to:

a) RGC awards, including Levels 1, 2, and 3.
b) ORED Small Grant Program awards.
c) CARSCA awards (Arts & Sciences faculty only).
d) Awards from the Alabama Life Research Institute (ALRI), the Alabama Water Institute (AWI), the Alabama Transportation Institute (ATI), or the Alabama Cyber Initiative (UACI).
e) College or department awards that required the submission of a proposal.

Internal awards <u>do not include</u>:

f) Start-up funds.
g) Cost-share match provided for an award from an external agency.
h) Internal awards received while at another institution.
i) Internal funds (ORED or College) provided to use equipment in Central Analytical Facility (CAF).

The document should contain the following details:

j) Award source (ORED, RGC, ALRI, A&S, etc.).
k) Award period (months and years).
l) Title of the award.
m) PI and co-PI as listed in the proposal.
n) Total amount of the award.
o) A brief description of outcomes that were a direct result of the funding. Outcomes include submissions, awards, publications, presentations, book or chapter publications, exhibitions, etc. If the project is on-going, provide an explanation of how it differs from the proposed project.

Application Instructions

Applications are submitted via the Cayuse Research Suite. The link to Cayuse, ORED budget templates, and additional information is available on the [ORED Internal Funding](#) website. Applicants will use their myBama credentials to sign into [Cayuse](#).

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 "OREDSGP2021AreaX:".**

    - Example: "**OREDSGP2021AreaA:** 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 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**: PIlastPIfirst2021AreaX.**

    - Example: **JonesBob2021AreaA**.

        1. Proposal narrative including the abstract (5-page limit, double spaced) 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. ORED Small Grant Program budget (2-page limit). Budget Templates are available [here](#).
        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).
        6. Internal Funding Support History for the PI and co-PI (no page limit, **always required**, see details in Support History of Internal Funding section).

Cayuse Information

Cayuse is a web-based system for submission of applications to external funding agencies. Cayuse SP is designed to allow the electronic creation, tracking, and management of proposals and awards along with other aspects of research operations. Proposals for internal funding are now submitted via the Cayuse SP system.

Faculty who have not submitted an internal or external grant at UA before are encouraged to obtain access to Cayuse early in the proposal submission process. Contact **Jennifer Mills** in the Office for Sponsored Programs at jsmills@research.ua.edu or 348-7163 with your myBama ID. A myBama login is required to create a Cayuse account.

The instructions below are intended for submissions to <u>UA internal funding programs only</u>. The responses below may not be applicable when preparing a proposal for an external agency.

The Office for Research Development (ORD) administers the Internal Funding Programs for the Office for Research and Economic Development (ORED). The Cayuse SP sites directs applicants to contact their OSP Grant Specialist. **However, faculty should contact** [Charlotte Nix](#) **when preparing a proposal for an internal funding program instead of contacting their Grant Specialist.**

Instructions:

Step 1:

Go to http://ovpred.ua.edu/cayuse/, click on "Log in to Cayuse", and log in using your myBama credentials. If you have issues, try changing the browser or enabling cookies.

Click on Cayuse SP. This is the only portion of the Cayuse Suite you will use when submitting a proposal for an internal funding program.

* Indicates a required field in Cayuse. Fields without a red asterisk may be left blank.

After going into Cayuse SP, start the process of completing your Internal Processing Form (IPF) by clicking on "My Dashboard" (upper left part of page), then select "Start New Proposal".

Below are responses to common questions when preparing a submission for internal funding. This document does not address every question in Cayuse SP. Responses to fields not listed below will vary to reflect the proposed project.

Sponsor Information
> **Sponsor:** click magnifying glass, enter "ORED Internal Funding", Search, click "ORED Internal Funding" to fill.

> Continue filling sections with a red asterisk.

General Proposal Information
> **Admin Unit:** enter the PI's department. This section is used to determine the electronic routing process for college and department approvals.
> **Primary Admin. Contact:** usually the PI. This is the person who will answer questions about the application.
> **Project Short Name:** OREDSGP2021AreaX: *project title*. Indicate if you are submitting to Area A, B, or C.
> **Project Start Date:** 01/01/2021
> **Project End Date:** 12/31/2022
> **Activity Code:** click to see choices. Research Basic and Research Applied will be the most common responses.
> **Proposal Type:** New
> **Instrument Type:** (not required by Cayuse but is required for submissions to ORED funding programs), select Internal UA Funding
> **Sponsor Deadline:** 10/1/20 1:00 p.m. Central
> **Title of Project:** same as Project Short Name listed above

Ignore questions related to pairing this internal proposal. There is not a red asterisk for this question.

Click "Save". A green check ✅ will appear next to General Information. Your proposal number is now available in the left column above the list of items that must be completed before you can submit your proposal.

You must click "Save" at the bottom of each section after completing the required fields. In some instances you will answer a question to complete the section. Example: you will click "No Subcontractors" for the Subcontractors section if applicable to your project.

Investigators/Research Team
    Role: select Lead Principal Investigator, then Principal Investigator for co-PIs (if applicable) to ensure the internal routing and departmental approvals are correct.
    Person Months: 0
    Sponsored Effort %: 0
    Allocation of Credit: Allocation of credit **must total 100% for all proposals**. This is the number that will determine the percentage of a proposal that will be reflected on the faculty members' FAR and Digital Measures reports.

Budget
    Budget Form: Summary
    Budget Periods: 1 (1 - two year period)
    Current Period: 01/01/2021 – 12/31/2022
    Entire Project: 01/01/2021 – 12/31/2022
    Cost Share: No
    F&A Rate: 0%

    The total amount requested is all that is required in the Cayuse system. Enter the total requested amount in the **Sponsored Direct Cost** field, this will populate other required fields for you.

    Under "Additional Resources and Supplemental Compensation", select "No." Cost share match is not currently associated with the ORED Small Grant Program.

Continue completing each Item List (on left of page). Remember required fields are indicated by an asterisk (*).

Other Project Information
    Skip the first question (no asterisk). The second question is required. If your project is related to one of the four UA research institutes (Cyber, Life, Transportation or Water) make the appropriate selection, otherwise select "None of the Above".

Location of Sponsored Projects
    Indicate which Center (if any) with which your research is affiliated and the percentage. Click Add to get a green check mark.

Proposal Abstract
    An abstract is not required. You may skip questions 1 and 2.

    Field of Science code: select from the drop down menu the code that best describes the research or creative activity of the project.

Proposal Attachments
    You will upload a single document for your ORED proposal. The document name must be formatted as: **PIlastPIfirst2021AreaX**. Example: JonesBob2021AreaA. Browse for your saved file and Add to upload into Cayuse.

Approving Units
    Verify the approving units, contacts and approval order. Select "Authorize Unit Listing" to save.

Submission Notes
This section is not required.

When all sections are complete (you will see a ✓ next to each section), you will click on "Submit for Routing" (left column). You will be asked to verify this change. Once you select "yes", you will be taken to the Proposal Routing Status screen.

Step 2:
The PI must certify all proposals in Cayuse before the electronic IPF will be routed for college and departmental approvals.

PI Certification (hidden until the PI has completed the IPF, click the "Submit for Routing" step.)
On the left side of screen, select **PI Certification Inbox**. Under the "to be certified" tab, click the proposal number and then certify proposal. Then select submit certification.