

**ORED Small Grant Program  
Internal Funding FY 2019  
Award Conditions**

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

1. The Grantee will submit a final report by April 1, 2021. These reports will be reviewed by the Office for Research and Economic Development (ORED). 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 ORED 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 ORED Small Grants Program 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 ORED funds when the equipment is no longer needed or upon completion of the project (see Section 7 in the Award Recipient Conditions).
6. The Grantee will report the condition and location of any approved electronic devices purchased with RGC funds upon completion of the project (see Section 8 in the Award Recipient Conditions).
7. The Grantee will submit a request to the ORED before changing anything in the project that differs from the objectives set forth in the original application.
8. The Grantee will use the same bookkeeping procedures for this project as his/her department uses for administration of externally funded grants. Any funds remaining upon completion of the project OR grant termination date shall be returned to the ORED.
9. The Grantee will regularly review and monitor the award fund to ensure expenses are aligned with the project timeline. The Grantee will ensure the supplies, equipment, etc. necessary to conduct the project are purchased in a timely manner and are utilized during the RGC award period.
10. If the Grantee leaves the University before completing this research project, the Grantee will file a report of work to date and funding balance with the ORED, and as to any work subsequently completed thereon will give full or partial credit for all aid received from the RGC award. The Grantee shall inform the ORED as soon as the Grantee knows the date of resignation. If a faculty member resigns or is terminated from the University, the ORED has the discretion to review, freeze or close an RGC funded award. The faculty member should notify the ORED of any change in employment status during the RGC grant period. If the PI

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

- a. Statement of resignation with its effective date.
- b. Contact information upon resignation from the University, including address, phone number and email address.
- c. Full and complete report of progress to date is required.
- d. A report of the condition and location of any equipment and any approved electronic devices purchased with RGC funds. Disposition of equipment and office supplies will follow the instructions outlined in Sections 7 and of the Award Recipient Conditions.
- e. If a faculty member receives an award and then leaves The University of Alabama (UA) before the award's start date, s/he will not receive the funds. If the recipient leaves UA after expending a portion of the funds, any unspent funds must be returned to the ORED. Funds spent after that date, including funds spent for expenses that will occur after the last day of UA employment, will not be paid by the grant.
- f. Projects with co-PIs may submit a request to have the co-PI designated as the PI for the project. Requests to have a co-PI made the PI of the award should be submitted to the RGC Coordinator for approval from the ORED.

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

**12.** The Grantee agrees their name and the title of their research submission can be used in ORED publications.

Awardee Signature: \_\_\_\_\_

Date: \_\_\_\_\_

**This page must be submitted to Charlotte Nix, [cnix@ua.edu](mailto:cnix@ua.edu), before you begin your project.**

**\*\*Keep the following pages for your records.**

## 2018 ORED AWARD RECIPIENT CONDITIONS

The Grantee must complete and sign the ORED Award Conditions Agreement below prior to starting the project. **Funds will not be released until this form has been returned.** If the application indicated that approvals from the Office for Research Compliance are necessary, the funds will not be released until the approval number and expiration date have been sent to Charlotte Nix ([cnix@ua.edu](mailto:cnix@ua.edu)). **The start date for all FY 2019 proposals is January 1, 2019.**

### **The Grantee is obligated as follows:**

- 1) All Awardees must submit an annual poster at the Faculty Research Day or equivalent ORED sponsored event for faculty during each year of funding.
- 2) Final Report: The Results of The Project (for all levels)
  - a. The Project must be completed within the award period. Within ninety (90) days of the project completion (April 1 of the year the project ends) **the Grantee must submit a final report**. The final report will be reviewed by the Office for Research and Economic Development (ORED) and is evidence of the quality of research and projects from Research Grants Committee funds.
    - i. A Grantee will not be eligible for subsequent ORED funding if a final report is not submitted within 90 days of project completion date.
- 3) Monitor Budget and Spending Rates
  - a. The Grantee (Principal Investigator) has the primary responsibility for award budget management. The PI and co-PIs will regularly review and monitor the award fund to ensure expenses are aligned with the project timeline.
  - b. Grantees will ensure the supplies, equipment, etc. necessary to conduct the project are purchased in a timely manner and are utilized during the award period.
- 4) Acknowledgment of Support in Publications:
  - a. The Grantee must give full credit in any manuscript, material, or artistic creation to the ORED Small Grant Program for support received from the RGC.
- 5) Patentable Processes, Inventions, or Designs:
  - a. The Grantee will abide by the regulations concerning any patentable invention, process, design, or improvement set forth in the University Patent Policy. Please see the Office for Technology Transfer website (<http://ott.ua.edu/>) for further information.
- 6) Equipment Purchased:
  - a. ORED 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 ORED funds with his/her department.
- 7) Approved Office Supplies Purchased:

- a. In special circumstances, ORED funds may be used to purchase electronic equipment such as general purpose computers, computer accessories, and smart devices when the use of the item(s) is justified and the items will be dedicated to the project. This includes laptops, tablets, etc.
  - b. General purpose electronic equipment required for the project must have been included in the proposal budget and approved by the RGC Review Panel and the ORED before purchase and in accordance with all procedures.
  - c. Upon leaving the University, the Grantee must return approved electronic equipment purchased with RGC funds to the ORED.
- 8) Change in Project Plan:
- a. Grantees must report, in writing, 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 ORED.
- 9) Protection of Human Subjects: IRB Approval
- a. Any Grantee working with human subjects must obtain IRB approval before they will receive access to RGC funds.
- 10) Laboratory Animals: IACUC
- a. Any Grantee using animals must have approval from the IACUC before they will receive RGC funds.
- 11) Resignation from the University:
- a. If a Grantee resigns or is terminated from the University, the ORED has the discretion to review, freeze or close a funded award. The faculty member should notify the ORED of any change in employment status during the RGC grant period. If the PI or a co-PI leaves the University before completing the project, the following must be filed with the ORED:
    - i) Statement of resignation with its effective date.
    - ii) Contact information upon resignation from the University, including address, phone number and email address.
    - iii) Full and complete report of progress to date is required.
    - iv) A report of the condition and location of any equipment purchased with RGC funds (see Section 7).
    - v) Upon leaving the University, the Grantee must return approved electronic devices purchased with RGC funds to the Office for Research and Economic Development (see Section 8).
    - vi) If a faculty member receives an award and then leaves The University of Alabama (UA) before the award's start date, s/he will not receive the funds. If the recipient leaves UA after expending a portion of the funds, any unspent funds must be returned to the ORED. 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.
    - vii) Projects with co-PIs may submit a request to have the co-PI designated as the PI for the project. Requests to have a co-PI made the PI of the award should be submitted to the RGC Coordinator for approval from the ORED.

12) Other:

- a. A grant may be canceled 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 Charlotte Nix along with an accounting of funds expended and remaining funds.
- c. While it is normally expected that the research will be completed during award period, under exceptional circumstances, a request for a no-cost extension can be presented to the Vice President for Research and Economic Development. A justification and time period for completion of the project must be included in the request. Extension of the award is at the discretion of the Office of the Vice President for Research.

13) Remaining Funds:

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