

UNIVERSITY OF
ALABAMA

RESEARCH GRANTS COMMITTEE
MANUAL/APPLICATION PACKAGE
JANUARY 2010

General Information about the Research Grants Committee (RGC)

History:

A Research Fund Committee was established in 1938 by President Foster and continued until 1943. The University Research Committee was organized in 1943 when the State Legislature set up a fund for "Research" and "Extension" programs. In the fall of 1969, the name was changed to the Research Grants Committee. In the fall of 1996, the name was changed to the Research Advisory Committee (RAC) and, in 2006; it was changed back to the Research Grants Committee.

Purpose:

RGC funds are intended to support scholarly activities for tenured and tenure-track faculty. It is expected that the funding will produce a scholarly product and that this product will allow the researcher to seek additional funding from external sources to support future scholarly activity. Priority in the award of RGC funds will be given to non-tenured faculty members. However, tenured faculty members may request RGC funding to support a change in the area of focus of their research/scholarly activities.

Research Grants Committee:

The RGC committee is composed of faculty members appointed to a three-year term on a rotating basis from the ranks of professor or associate professor and, in special circumstances, assistant professor in non-administrative capacities. There is an appointed Faculty Senate Representative and four RGC liaison members. See Appendix A for the list of current RGC members. The RGC Committee is divided into three separate discipline areas: Area A, Physical and Biological Sciences, Mathematics, and Engineering, Area B, Social and Behavioral Sciences, and Area C, Arts and Humanities. Each year the Office of the Vice President for Research in consultation with the Provost appoints a chairperson for each discipline area.

Research Grants Committee Office:

The Office of the Vice President for Research administers the RGC program. RGC application forms are on-line and can be accessed through the RGC link on the Research website at: www.ua.edu/research.html. Completed RGC applications must be electronically submitted to the RGC and the applicant must select an Area (A, B, or C in Appendix A) that the applicant's discipline falls under. For a listing of current Research Grants Committee members, please go to: http://committees.ua.edu/?page_id=199

Frequently Asked Questions: (See FAQ)

THE RGC APPLICATION PROCESS

Deadline for Filing Applications: **January 31** of each calendar year. **If the deadline falls on a weekend, the applications and proposals will be due by close of business on the following Monday.**

An RGC Application Form must be completed and submitted electronically via the Research RGC website in Area A, B, or C. If unsure about which area should receive your application package, please contact Richard MocarSKI at rmocarSKI@fa.ua.edu, or Lauren Wilson at lawilson@fa.ua.edu. All applications must be signed by the applicant, a notice of the submission must also be sent to the appropriate department head. All applications must be received on or before the deadline date. No application will be accepted after the deadline. Staff from the Office for Research will be available to answer questions or help with submissions until 5:00 p.m. on the deadline date.

Awards will be announced the first week of April, 2010. Funding will be available on May 15, 2010.

Amount of Available Funding:

An applicant may apply for funding in an amount up to \$5,000. The appropriateness of the budget to the research proposed is one of the criteria for evaluation of the proposal. ***Budgets that are over \$5,000 will not be considered by the committees.***

Eligible Applicants/Conditions:

a. All full-time tenured and tenure track faculty of the University campus, working individually or jointly may apply for RGC funding. However, since research funds are limited, the RGC has found it necessary and desirable to define and apply the following priority categories during the process of proposal evaluation:

1. In a spirit of support and collegiality, the RGC will give highest priority to proposals from non-tenured tenure-track faculty and will award funding to those proposals deemed meritorious.
2. The second highest priority is for non-tenured faculty with significant research funding unrelated to the research proposed in the RGC application.
3. More experienced faculty with established records of productivity, ***who are currently unfunded and exploring a new direction in their research area***, will be given the third highest priority. Tenured faculty should explain within the text of the proposal why the project for which they are requesting funds represents a new direction within the overall theme of their research area, and how they envision future development of this new direction.

b. Only one proposal 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). RGC grants are for a two-year (24 month) funding cycle. Applicants are allowed to receive only one RGC award during the two-year funding cycle. (Ex. If the applicant received a RGC award in 2007, they would not be eligible to submit to the RGC until 2009).

i. All faculty previously funded by the RGC must have completed a final report detailing the results of their previous RGC funded project. **The final report must be on file with the Office for Research prior to submission of a new RGC application** and it must include a copy of a publication, grant application, exhibit, presentation or performance that resulted from previous RGC funding. (Ex. If an award was received in 2007, the final report must be submitted to the Office for Research prior to submitting a proposal for 2009).

Compliance:

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. Grantees must obtain approval before RGC funds are released. Please see the Research Compliance website for further information: http://osp.ua.edu/Research_compliance.htm.

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

Ineligible Applicants/Conditions:

a. Applications cannot be accepted from visiting, acting, temporary, or emeritus faculty; organized research bureaus, committees, outside agencies or employees thereof.

b. RGC awards may not be used to support applicant thesis or dissertation research.

c. Applicants who have an active RGC project are ineligible.

d. RGC committee members may not submit an RGC application.

e. If a faculty member receives an award and then leaves The University of Alabama (UA) before the award's start date, he/she 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 Office for Research. The PI is responsible for notifying the Office for Research that he/she is leaving UA, and must provide an approximate date of termination. Funds spent after that date will not be paid by the grant. Funds are not transferable to

another university or a new project director. Funds will not pay for charges occurring prior to the project start date.

Awards will be given based on the following evaluation criteria:

- a.** The objectives and merits of the proposal including the quality of the proposal presentation; how clearly the conceptual framework, design, methods, and analyses are developed well reasoned and appropriate to the aims of the project.
- b.** Outcomes: will the project result in a publication, exhibit, artistic performance, or grant application?
- c.** Budget: Is the proposed budget reasonable for the objectives of the project? Has there been a well documented and clear budget justification submitted?
- d.** Priorities: RGC will give highest priority to proposals from non-tenured tenure track faculty. The second highest priority is for non-tenured faculty with significant research funding unrelated to the research proposed in the RGC application. The third highest priority is for experienced faculty with established records of productivity, **who are currently unfunded and exploring a new direction in their research area.**
- e.** Prior Review: Prior review of the proposals and application packages are not required. However, to improve grantsmanship and overall quality of RGC applications, the RGC committee strongly recommends and encourages applicants to have their complete application package reviewed by a faculty mentor or department chairperson.

Project Completion/Termination:

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

- a.** The project may continue for a period of 24 months, however funds not used within 24 months of the approval date will automatically be returned to the RGC fund.
- b.** Unused funds are automatically canceled upon termination of the project or resignation of the Project Director and must be returned to the Office of the Vice President for Research
- c.** No-cost extensions for extraordinary circumstances and exceptional situations may be considered on a case-by case basis. Any request for a no-cost extension must be submitted to the Office of the Vice President for Research, and must include a justification and time period for completion of the project.
- d.** If there is a change in the project which differs materially from the objectives as stated in the original application, all such changes must be reported, in writing, to the Vice President for Research.

e. Should a recipient abandon the project, the Grantee must inform and send a summary report to the Office of the Vice President for Research, along with an accounting of funds expended and remaining.

Resignation from the University:

If the Grantee leaves the University before completing the project, the following must be filed with the Office of the Vice President for Research:

1. Statement of resignation with its effective date.
2. Contact information upon resignation from the University, including address, phone number and email address.
3. Full and complete report of progress to date.
4. Report of condition and location of any equipment purchased with RGC funds.
5. Accounting of funds expended on the project and amount remaining. (Unused funds are automatically cancelled as of the effective date of resignation or release).

Proposal Requirements:

The total package to be submitted for review includes the following components: (1) Proposal Narrative, (2) Budget, (3) List of Selected Publications and/or Exhibits, (4) List of external grant support, current and pending (5) List of external grant support applied for within the last two years, but not awarded. All components are required to be submitted to ensure review by the appropriate committee.

1. Proposal Narrative: Should be written in clear, non-technical language. The reviewers come from varied backgrounds and disciplines and may not be familiar with technically specialized language or terminology. The narrative is limited to (5) pages, double spaced using 12 point font with one (1) inch margins. Adherence to font and margin requirements is necessary for several reasons. No applicant should have an advantage over other applicants by providing more content in his/her application by using smaller, denser type. Proposals that exceed the five page limit ***will not*** be considered for funding.

A. Proposal Narrative Elements:

- i. Abstract: one-fourth to one-half page overview of the project.
- ii. Purpose/Objectives: rationale for the proposed research.
- iii. 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.**
- iv. Research methods/design/plan of work.

v. Outcomes: anticipated outcome(s), products, dissemination; relationship to subsequent efforts to obtain external funding.

vi. Timeline: a realistic timeline or incremental plan indicating when each portion of the research will be completed.

2. Budget: Limited to one (1) page. Budget justification is part of the review criteria, and should be carefully articulated. After committee review, budgets may be adjusted, which upon award may require re-submission of a budget by the PI for the amount actually awarded (this is typically a lower amount than requested). Applicants will be notified prior to the award announcement if a budget has been adjusted for the submitted project.

The budget form is located on page two (2) of the electronic application/cover page form. *The Office for Sponsored Programs Grant Specialists can provide guidance and assistance in the development of the budget.* To contact the correct Specialist please see their college/division assignments at the following website:

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

A. Budget Information:

i. Summer Salary: Summer salary support is available for recipients who wish to devote time to research during the summer. Funds can be used for both summer sessions, fractions of each summer session, or one summer session.

ii. The amount of funding dedicated to salary must include fringe benefits. For the current fringe benefit rate and how to calculate, go to: <http://osp.ua.edu/Award%20Life%20Cycle%20-%20Budget%20Resources-%20Instructions.doc>

iii. Travel Allowance: If using RGC funding for travel, the University's per diem allowance for in-state, out-of-state or foreign travel must be used. Transportation costs are based on the most economical means of travel for one person. If foreign travel is requested, a justification must be included clearly articulating how the foreign travel benefits the research project.

iv. Research Assistants: There are no restrictions on the expenditures for research assistants; however, an award recipient may not hire a student to work on their project who is not enrolled as a student at the University.

v. Equipment: RGC funds should not be used to purchase equipment that would normally be purchased by the applicant's Department or College. 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. All equipment must be inventoried through University

procedures. Upon leaving the University, the grantee must leave equipment purchased with RGC funds with his/her department.

vi. Funds that are not spent during the grant period (two years) must be returned to the Office of the Vice President for Research.

3. List of Selected Publications and/or Exhibits: Limited to one (1) page. This requirement includes literature citations that are relevant to the proposed research. The list of selected publications and/or exhibits is not part of the 5 page narrative, but rather an attachment to the proposal. If published research is in a language other than English, please list the items along with an English translation for thorough evaluation.

4. List of external grant support within the past two years, with the following details (including pending):

1. Funding agency.
2. Title of award.
3. PI and Co-PI as listed in proposal.
4. Total period of the award.
5. Total amount of the award.
6. Amount of the award for the current award year if a multi-year award.
7. For multi-year awards with competing renewals, date of initial funding.

5. List of external grant support applied for during the last two years including current year (but not awarded) with the following details:

1. Funding agency.
2. Title of Award.
3. PI and Co-PI as listed in the proposal.
4. Total period of the award (since last competing renewal).
5. Total amount of award (since last competing renewal).

Electronic Application (Cover Page) Form Requirements:

The Research Grants Committee (RGC) electronic application (cover page) contain seven sections that must be filled out completely.

1. Personal Data, please be specific on office addresses, phone numbers and email addresses so any questions or correspondence regarding your submission will be received by you in a prompt manner.
2. Area of Application: Area A, Area B, or Area C. If there is a question as to which area to submit the proposal, please contact Richard MocarSKI at rmocarSKI@fa.ua.edu or Lauren Wilson at lawilson@fa.ua.edu.

3. List of selected publications and/or exhibits: books, articles, abstracts, papers presented, and reviews (Not to exceed 1 page), which must be attached and uploaded.
4. A concise project narrative including statement of The University of Alabama proposed project in non-technical terms to ensure better understanding by the committee members unfamiliar with the field. This must be attached and uploaded. (Not to exceed 5 pages)
5. Budget: The budget form is located on page two (2) of the electronic application/cover page form. *The Office for Sponsored Programs Grant Specialists can provide guidance and assistance in the development of the budget.* To contact the correct Specialist please see their college/division assignments at the following website:
http://osp.ua.edu/grant_specialist_responsibilities.html.
6. A list of current and pending grant support within the past two years which 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.
 - f. Amount of the award for the current award year if it is a multi-year award.
7. A list of external grant support applied for during the last 2 years including the current year (but not awarded) with the following details:
 - a. Funding agency.
 - b. Title of award.
 - c. PI and Co-PI as listed in the proposal.
 - d. Total period of the award (since last competing renewal).
 - e. Total amount of the award (since last competing renewal).

To complete the RGC electronic application (cover page), open Internet Explorer and go to <http://www.extremeform.com/survey/278232/293b/>

. This link is also available on the [RGC Website](#).

Instructions for Submitting the Electronic Application (cover page) Form and Required Documents:

Open the [form](#) and make sure that all sections are completely filled out including uploading all attachments. Once complete, click the "Submit" button.

Once you've clicked "Submit", a Thank You page will appear. This ensures your submission has been delivered to the appropriate committee. At this time, ***you will also need to email your department head, letting them know that you've submitted your RGC application.***

If you have any problems with any step of the RGC application process, please contact Richard MocarSKI, rmocarSKI@fa.ua.edu, (ext. 7163) or Lauren Wilson (ext. 7812, lawilson@fa.ua.edu).

***RESEARCH GRANTS COMMITTEE**

DUTIES: Provide advice to the Vice President for Research on the use of University funds available for individual faculty research, with specific responsibility for policy relating to the application and grants award process. The committee will receive and evaluate grant applications, make recommendations concerning RGC grant awards, and administer such grants and any intellectual property associated with them.

COMPOSITION: The Research Grants Committee will include three subcommittees: Physical and Biological Sciences, Mathematics and Engineering; Social and Behavioral Sciences; and Arts and Humanities. Faculty from the ranks of professor or associate professor and, in special circumstances, assistant professor are appointed by the Provost/Executive Vice President for Academic Affairs to serve three-year terms. The Provost/Executive Vice President for Academic Affairs appoints a committee chairperson from the faculty group and chairpersons for the three area sub--committees. The committee chair and the subcommittee chairpersons will serve as a steering committee. Provision is made for the following representation:

Area A: Physical and Biological Sciences, Mathematics and Engineering

Arts and Sciences	4
Engineering	3
Human Environmental Sciences	1
Education	1
College of Community Health Sciences	1

Area B: Social and Behavioral Sciences

Arts and Sciences	2
Commerce and Business Administration	2
Education	2
Communication	1
Human Environmental Sciences	1
Community Health Sciences	1
Nursing	1
Social Work	1

Area C: Arts and Humanities

Arts and Sciences	5
Law	1
Communication	1
Library	1

In addition, the Library will have one member. The subcommittee appointment will vary, depending on the representative.

A Faculty Senate Representative will be included in the membership.

The following shall serve as liaisons: The Vice President for Research; the Assistant Academic Vice President and Dean of the Graduate School; the Director of Sponsored Programs; a representative from the Office of University Counsel.

Reporting Channel: Executive Vice President and Provost

Research Grants Committee (con't)

Area A Members: Physical and Biological Sciences, Mathematics, and Engineering (10)

Chairperson: Ed Back, Engineering

Arts and Sciences (4)

Bobby Wilson Geography 2010
Hobson Bryan, Geography 2012
Martin Bakker Chemistry 2011
Fred Andrus, Geological Sciences 2012

Engineering (3)

Ed Back, Chair - Civil, Construction & Environmental Engineering 2010
Samit Roy, Aerospace Engineering & Mechanics 2012
Tonya Klein Chemical & Biological Engineering 2011

Human Environmental Sciences (1)

Yasmin Negggers, Human Nutrition & Hospitality Management, 2011

Education (1)

Cynthia Sunal, Elementary Education 2012

College of Community Health Sciences (1)

Melissa Kuhajda, Community & Rural Medicine, 2010

Area B Members: Social and Behavioral Sciences (11)

Chairperson: Lisa Scherff, Education

Arts and Sciences (2)

Jim Knight Anthropology 2010
Doug Gibler, Political Science 2012

Commerce and Business Administration (2)

James Cover, Economics, Finance & Legal Studies 2012
Subha Chakraborti Information Systems, Statistics & Management Science 2011

Education (2)

Lisa Scherff, Chair - Curriculum & Instruction 2011
Daisy Arredondo-Rucinski, Technology & Policy Studies 2012

Communication (1)

Kimberly Bissell, Journalism, 2010

Human Environmental Sciences (1)

Lori Turner, Health Sciences, 2011

Nursing

Ruby Morrison, Nursing 2012

Social Work (1)

Wesley Church, Social Work, 2011

Area C Members: Arts and Humanities (7)

Chairperson: Millie Jackson, University Libraries

Arts and Sciences (5)

Ted Trost, Religious Studies 2011

Faythe Freese, Music 2010

Wendy Rawlings, English 2010

Amalia Amaki, Art 2011

Barbara Fischer, Modern Languages & Classics 2012

Law (1)

Tony Freyer, School of Law 2012

Communication (1)

Janis Edwards Communication Studies 2011

Library (1)

Millie Jackson – Chair - University Libraries 2012

Faculty Senate Representative

Vicki Peeples Assistant Professor, HDFS

Liaison Members

David Francko Dean, Graduate School

Samory Pruitt VP for Community Affairs

George B. "Sandy" Gordon University Council