RGC AWARD RECIPIENT CONDITIONS

The Grantee must complete and sign the RGC Award Conditions Agreement below prior to starting the project. NO FUNDS FOR THE PROJECT WILL BE RELEASED WITHOUT THE COMPLETED FORM SUBMITTED. The project period for the RGC Award is May 15, 2013 through May 14, 2015.

Please return the last page of this document, with all required signatures, to The Office for Sponsored Programs, Box 870104 before you begin your project or by September 1, 2013.

The Grantee is obligated as follows:

1. Final Report The Results of The Project
   a. The Project must be completed by May 14, 2015. Within ninety (90) days of the project completion, August 12, 2015, the Grantee must send a summary report to the Office for Sponsored Programs. The summary reports will be reviewed by the Vice President for Research and are evidence of the quality of research that comes from Research Grants funds, and can be used by the Vice President for Research to request continued yearly funding.
      i. A Grantee will not be eligible for subsequent RGC funding if a final report is not submitted within 90 days of project completion date – May 14.
   b. The Grantee will submit with the final report a copy of one or more of the following: a publication either submitted for consideration or published which resulted from RGC funding, a proposal submission, an exhibit, a performance, or a presentation.

2. Acknowledgment of Support in Publications:
   a. The Grantee must give full credit in any manuscript, material, or artistic creation to the RGC for support received from the RGC.

3. 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.

4. Equipment Purchased:
   a. RGC 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 RGC funds with his/her department.

5. Change in Project Plan:
   a. Grantees must report, in writing, to the Vice President for Research any change in the project, which differs, materially from the objectives set forth in the original application.
   a. The University of Alabama has established two Institutional Review Boards for the Protection of Human Subjects (IRB): one medical and one non-medical. Grantees who work with human subjects must protect the rights and welfare of their subjects. University and federal regulations require that all research projects involving human subjects be reviewed and approved by the University’s Institutional Review Board for the Protection of Human Subjects before any research may begin. The IRB’s mission is to ensure that research involving humans is conducted in an ethical manner consistent with University and Federal Policy (Please see the IRB application process at: http://osp.ua.edu/IRB.html). This includes studies that require interviews and questionnaires. Any Grantee working with human subjects must obtain IRB approval before they receive RGC funds.

7. Laboratory Animals: IACUC
   a. The University of Alabama has established an Institutional Animal Care and Use Committee (IACUC) for the protection of animals used in teaching, research, and exhibits. The IACUC requires that all users of animals on campus must be in compliance with the Department of Health and Human Services guidelines for Care and Use of Laboratory Animals. An Animal protocol must be completed and approved by the IACUC before an animal may be used on campus. Any Grantee using animals must have approval from the IACUC before they receive RGC funds. (Please see http://osp.ua.edu/animal_care.html).

8. Resignation from the University:
   a. If the Grantee leaves the University before completing the project, the following must be filed with the Office of the Vice President for Research:
      i. Statement of resignation with its effective date. Future address
      ii. Full and complete report of progress to date.
      iii. Report of condition and location of any equipment purchased with RGC funds.
      iv. Accounting of funds expended on the project, and amount remaining. (Unused funds are automatically cancelled as of the effective date of retirement.)
      v. Upon completion of the project, a summary report must be submitted, and credit for RGC support should be given in the publication of any work based on the project.

9. Other:
   a. A grant may be cancelled 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 the RGC Administrative Office, along with an accounting of funds expended and remaining.
   c. While it is normally expected that the research will be completed during the two-year term of the project, under exceptional circumstances, a request for a no-cost extension can be presented to the Office of the Vice President for Research. 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 Vice President for Research.

**RGC Award Recipient Financial and Recordkeeping Procedures**

**If your budget was reduced after submission of your proposal, you will need to resubmit an adjusted budget with the Award Conditions Form.**

1. **Accounting Forms:**
   a. The accounting forms are those used by all University offices. The budget person in the Grantee’s department who is responsible for completing the forms using the procedures followed for administering other externally funded grants. No signatures are needed from the Office for Sponsored Programs except for air travel vouchers for out-of-country travel and budget changes once the initial account has been set-up.

2. **Account and Sub code Numbers:**
   a. The account number and the sub codes are assigned by Office of Sponsored Program Financial Accounting Analysts and will be given to the Grantee. This number, plus appropriate sub code numbers, will be used as the accounting number on all RGC accounting forms.
   b. Budget set-up can include the following categories.
      i. Summer Salary
      ii. Graduate Assistant
      iii. Fringe Benefits
      iv. Postage
      v. Travel
      vi. Supplies
      vii. Equipment

3. **Summer Salary:**
   a. Summer salary support is available for any Grantee who wishes to devote time to research during the summer. RGC funding may be used for both summer sessions, fractions of each summer session, or one summer session.
   b. Time Limit: Summer salary must be used in the summer period(s) for which the grant has been approved.
   c. Personnel Forms: When summer salary support is approved, the University’s Personnel Action Form will be completed by the Grantee’s department for monthly payment.
   d. Payment Dates: Summer salary will be paid May 16 through August 15 of any calendar year.

4. **Fringe Benefits:**
The amount of RGC funding dedicated to salary must include fringe benefits. For the current fringe benefit rate go to: http://osp.ua.edu/Award%20Life%20Cycle%20-%20Budget%20Resources-%20Instructions.pdf

5. Travel Allowance and Regulations:
   a. If using RGC funding to travel the University’s per diem allowance for in-state travel must be used. If traveling out of state or country University per diem rates must also be used.
   b. Transportation based on the most economical means of travel for one person. Travel will be tourist class except where space is unavailable in this class in which case first class will be paid.

6. Research Assistants:
   a. There are no restrictions on the expenditures for research assistants.
   b. Personnel Action forms for the research assistants need to be completed by the Grantee’s department and signed by the Grantee. These forms should be used to appoint, change status or salary, or remove from payroll any technical assistants paid on an hourly basis.
   c. A Grantee may not hire a student to work on their project who is not enrolled as a student at the University.

7. Remaining Funds:

Funds that were not spent during the grant period shall be returned to the Office of the Vice President for Research.
Research Grants Committee
Award Conditions
(To be completed when an award is made)

I, ________________________________, CWID #___________________ (hereinafter “Grantee”), in acceptance of an RGC award, agree to be bound by the following terms and conditions:

1. The Grantee will send a summary report (1 page) to the Office of the Vice President for Research within ninety (90) days after termination of the project (May 14, 2015). Within the summary report, 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 give full or partial credit in any manuscripts, materials, or literary or artistic creations to the Research Grants Committee for the aid received.

3. 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.

4. The Grantee will report the condition and location of any equipment purchased with RGC funds when the equipment is no longer needed or upon completion of the project.

5. The Grantee will request permission from the Vice President for Research before changing anything in the project that differs from the objectives set forth in the original application.

6. 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 shall be returned to the Office of the Vice President for Research.

7. If the Grantee leaves the University before completing this research project, he/she will file with the Office of the Vice President for Research a report of work to date, and as to any work subsequently completed thereon will give full or partial credit for all aid received from the Research Grants Committee. The Grantee shall inform the Office for the Vice President for Research as soon as he/she knows the date of resignation.
   a. The Grantee will report the conditions and location of any equipment purchased with RGC funds and will leave it in the custody of his/her department.
   b. The Grantee may deposit any books or library materials purchased with RGC funds in the Office of the Vice President for Research for later deposit in the library.

8. The Grantee will use this grant money for his/her project and for no other purpose.

The Grantee agrees their name and the title of their research submission can be used in Office for Research publications.

Applicant’s Signature: __________________________________________ Date: _____________

Department Head’s Signature: _________________________________ Date: ___________

Dean of Division Signature: ________________________________ Date: ____________

Please return this page, with all required signatures, to The Office for Sponsored Programs, Box 870104 before you begin your project or by September 1, 2013. If the award budget was reduced from the proposal budget, you will need to submit an adjusted budget also.