

Research Support Grant (RSG) Guidelinesⁱ

AUC provides grant support for innovative research activities. Grants are competitively granted to support individual or group research projects and are administered by the Office of the Vice Provost (OVP)

The maximum allowed fund cannot exceed \$10,000 (or the equivalent in Egyptian Pounds) per faculty member per year. Proposals involving more than one faculty member must be submitted by the faculty member who will act as the lead faculty and/or Principal Investigator (PI). If two full-time faculty members submit a joint application, the maximum annual support is \$10,000 (or the equivalent in Egyptian Pounds) per faculty member, or \$20,000 (or the equivalent in Egyptian Pounds) total for the application. Three or more faculty may apply for joint annual funding of maximum \$25,000 (or the equivalent in Egyptian Pound). Grants may be lower than requested based on funding availability, expenditure eligibility and/or timeline. If a group application includes scholars from outside AUC, then AUC funds can only be used to support AUC faculty members' research. Applicant/s may apply for a longer term funding (up to 3 years), but funding is approved on a yearly basis.

The Principal Investigator (PI) may request additional funding for up to three **undergraduate students** to support the activities of the Research Support Grant. An extra US\$500 per student per year will be added to the maximum allowed fund.

Faculty members are encouraged to supplement AUC funding with additional funding from other sources. A single project cannot be funded by two sources (internal or external). Special emphasis could be given to the development of new research ideas (in which case, the grant may be viewed as support for a pilot study to allow submission to external funding sources) and to activities that may positively affect the development and growth of the applicant(s), department, faculty and/or university.

AUC funding may also be granted to help faculty members supplement funding (i.e. gap funding) for an on-going project, as well as for projects involving new technology development that are close to commercialization (i.e. close to proof of concept).

Principal Investigator (PI) Eligibility for Faculty Research Support Grant

1. AUC Research Grant funding is restricted to full time faculty members.
2. The applicant must have all final reports for any previously awarded internal grants on record as submitted and **approved**.
3. Priority is given to junior faculty submitting quality research proposals. Junior faculty members are identified as Assistant Professors within five years of their initial appointment at AUC or Associate Professors within the first two years of their initial appointment at AUC.
4. Faculty members on leave without pay shall not be funded for this grant type during their leave period. However, they may apply for funding prior to resuming their work at AUC. No funds will be dispersed until the faculty member resumes work at AUC.
5. Faculty members on paid medical leave are *ineligible* for Research Support Grants.

6. Deans and Associate Provosts are *ineligible* for any types of Faculty Support Grants, but shall request research funding from the Office of the Provost directly.

General Guidelines

- 1- Faculty member may be part of only one Research Support Grant at any point of time.
- 2- Faculty members may be the PI for only one proposal during a funding cycle.
- 3- Two faculty members applying for joint annual funding may be the PI and Co-PI for only one proposal during a funding cycle.
- 4- Duration of proposals can be approved for a maximum of three years, but funding is approved on a yearly basis.
- 5- Funds must be used as stated in the proposal.
- 6- Faculty must have submitted final reports for all previously awarded internal grants.
- 7- Projects that are proprietary in nature are subject to AUC's Intellectual Property Policy.
- 8- Proposals will not be considered from past recipients who failed to submit progress reports (for renewals) or final reports.
- 9- Teaching & Learning Enhancement projects are *ineligible* for funding as Research Grants.
- 10- Members of the University Research Board (URB) may submit their own proposals but must recuse themselves when the proposals are reviewed.
- 11- Faculty members who have received AUC support for a total of three (3) years, but who failed to submit research proposals for funding from external agencies, or who failed to receive funding from external sources, jeopardize their chances to receive any further AUC research funding.
- 12- After receiving three research grants, grantees must show evidence of publications resulting from AUC support, including acknowledgments of AUC funding.
- 13- All grant applications for Associate Deans and Chairs will be reviewed by the school Dean and the University Research Board (URB).
- 14- Retroactive applications will **NOT** be considered. The definition of retroactive funding is any expenditure prior to the start date of the grant stated in the counter-signed agreement by the grantee and the Vice Provost. This means that an applicant is not allowed to perform any activity before the Vice Provost Office informs him/her that his/her Support Grant has been approved.

Classification of Faculty Research Support Grants

AUC research grants normally fall into one or more of the following categories:

- 1- Humanities and Arts.
- 2- Engineering, Mathematical, Life, Health, Environmental, and Physical Sciences.
- 3- Public Policy.
- 4- Social and Political Sciences.
- 5- Media and Communication.
- 6- Education.

- 7- Economics.
- 8- Business.

Elements of the Research Proposal and Grant Renewals

A. New Proposals

A new proposal must include the following elements:

- 1- **Title of the project.**
- 2- **Abstract** (not to exceed 1200 characters with spaces).
- 3- **Introduction**, including review of related research (not to exceed 3000 characters with spaces).
- 4- **Preliminary Data.**
- 5- **Specific Aims** (list the specific aims and relate them to the broad goals of the project).
- 6- **Design and Methods**, including how each specific aim will be investigated.
- 7- **Work Plan**, which indicates the duration and plan of action.
- 8- **Future Funding/Sustainability**, which includes a detailed explanation of how this project can be sustained.
- 9- **Budget Sheet:** an Excel sheet is provided online at the following link <http://www4.aucegypt.edu/grant/faculty/> to itemize expenditures.
- 10- **Time commitment and role of the PI(s) and, if applicable, CO-PI(s).**
- 11- **References**
- 12- **Compliance:** Applicants are reminded that all projects involving human subjects require approval by AUC's Institutional Review Board (IRB) before funds are granted and the research can begin. Please view the AUC Institutional Review Board (IRB) page: www.aucegypt.edu/research/research-administration/institutional-review-board The applicant will be required to provide a copy of the approval notification or protocol number for approved projects and must bear the responsibility of following all necessary health and safety procedures.
- 13- **Curriculum Vitae (CV) of the PI(s) and, if applicable, of the CO-PI(s).** The CV should include: a list of pending and/or current external and internal funding including the title of the projects, start and end dates, and the overlap with the present proposal if any; a list of previously awarded AUC grants; a list of publications identifying those that resulted from AUC grants received during the last three years; and evidence of seeking or receiving external funds during the last three years. (not more than 3 pages in pdf format)

B. Grant Renewals (for Multi-Year Projects)

A request for the renewal of a current Research Support Grant that was originally proposed as a multi-year project will normally be granted after submitting a detailed Progress Report to the online system on the project for which the grant was granted. The Report needs to be reviewed and approved by the Departmental Research Committee (DRC), the Dean, and the Office of the Vice Provost (OVP). Further funding from AUC is contingent upon receiving the approval of

these reports and funding availability. **Renewals will not be permitted for grants that were not originally proposed as multi-year projects.**

No-Cost Extensions

Office of the Vice Provost (OVP) may approve on a case-by-case basis No-Cost Extensions on current research grants. A request for No-Cost Extension must be submitted online by the PI *at least two months* prior to the end of the grant period, and must include a budget showing the remaining amount, and a justification including: the progress of the project and the reason behind requesting a no-cost extension. Requests for No-Cost Extensions can only be submitted online for 1-year projects or at the end of the final year in multi-year projects. For multi-year projects, a Progress Report needs to be submitted with the extension request. Researchers who are granted a no-cost extension for longer than 2 months on their current grant cannot receive a new grant during the same year.

Other Funding Sources

Principal Investigators (PIs) may apply to more than one funding source for the same research project and budget; however, the other requests for support must be disclosed at the time of applying for this funding. If the PI is granted by AUC's Research Support Grant prior to the release of the other funding source(s) results, AUC funds will not be dispersed until the results from the other funding source(s) are made available. If the PI is successful in receiving support from an external funding source, then the AUC Research Support Grant will be terminated and the allocated funds will be returned to the Office of the Vice Provost (OVP).

Budget

- 1- An adequate budget justification is required in each application. To avoid arbitrary decisions on the appropriate level of funding, detailed explanations of costs must be provided.
- 2- The budget justification must include a description of the duties of the personnel requested, the required qualifications, and an explanation as to why each position is necessary to the success of the project. Workload should be shown to justify the amount of time the person will be employed on the project.
- 3- For other items in the budget, the justification must clearly explain the need for requested expense. Whenever appropriate, numbers of units and unit costs should be explained.
- 4- The grant fund will be annually transferred to a special WBS number created under the department's cost center.
- 5- Research Support Grant cannot be used for conference travel-related expenditure (including registration fees for conferences, workshops, training courses and/or professional society membership fees).
- 6- Unless explicit authorization is given in the Grant Agreement, Research Support Grant cannot be used to purchase major or minor equipment (including computers and accessories), books, and/or publication costs.
- 7- All expenditures must follow AUC stated policies and procedures regarding personnel hire, purchases, and travel arrangements.
- 8- All items purchased using AUC funds remain the property of AUC.

8- Guidelines for hiring Research Assistants/Associates:

Research Assistants/Associates participate in the research effort at AUC and enrich it by providing expertise and/or time that complement and assist our full-time faculty in their research endeavors. The following guidelines may be used by AUC full-time faculty in preparing the budget for a university-funded research grant.

The levels of hourly compensation of research Assistants/Associates are as follows:

- Research Trainee (undergraduate student): Up to LE 16/hour (same as work study rate)
- Research Assistant (B.A. or B.S.): Up to LE 25/hour (same as Graduate Assistant rate)
- Research Associate (M.A. or M.S.): Up to LE 30/hour (same as Graduate Assistant rate)
- Assistant Professor (Ph.D.): Up to LE 65/hour
- Associate Professor (Ph.D.): Up to LE 85/hour
- Professor (Ph.D.): Up to LE 120/hour

9- Projects focusing on attending archive repositories should provide an explanation as to why it is necessary to visit the site directly, rather than utilize current technology (internet searches, digital archives, databases, or interlibrary loans)

10- Per Diem towards expenses for travel abroad:

- Duration of 1-10 days: Up to US \$ 225 per day
- Duration of 11-15 days: Up to US \$ 175 per day
- Duration of 16-30 days: Up to US \$ 120 per day

Per Diem may not be requested for summer travel coinciding with home leave if the location of the proposed activity is at the home leave destination (city) on record with the school Dean's Office.

11- For domestic travel within Egypt, the following rates may be used as a guide for per diem rates:

- Travel not requiring overnight stay:
Up to LE 150
- Travel requiring overnight stay but hotel accommodation isn't needed:
Up to LE 250
- Travel requiring overnight stay and hotel accommodation is needed:
Up to LE 600 (receipts required).

The allowable expenditure items using AUC funds are:

1- Personnel (*shall not exceed 60% of the maximum allowed fund*):

Graduate Research Assistant (GRA), Research Assistant (RA), casual labor, or field worker. AUC full time faculty members cannot be hired as a part of personnel in this type of grant.

2- Travel: (*shall not exceed 40% of the maximum allowed fund*):

Travel may be allowed to:

- Special archival libraries, including per diem and access fees (restricted to Humanities, Social Sciences and Arts).
- Access to special equipment at other universities that is not available at AUC, to population samples or to special sites.

- Short term visits for international collaborators
 - Travel and stay budget line includes: (air ticket, per diem, visa fees, etc...). Air Tickets shall be booked by the AUC Travel Office and only Economy class is allowed. Exceptionally, the Travel Office may approve purchase of a ticket for Business Travel other than through the Travel Office, if it is satisfied that the traveler can procure the ticket at a price cheaper than that available to the Travel Office after all discounts. Because the overall level of discounts obtained by the Travel Office is heavily dependent upon the annual volume of its business, minor improvements in ticket price will not be taken into account in determining whether it can be procured elsewhere.
 - If the faculty is on home leave, the grant will cover the roundtrip ticket cost from the home leave destination to the research destination and back, **or** from Cairo to the research destination and back, **whichever is cheaper.**
- Expenses listed in points 3, 4, 5, 6, 7 and 8 *shall not exceed 40% of the maximum allowed fund.*
 - 3- On-line access to specialized archives.
 - 4- Microfilm / microfiche orders.
 - 5- Testing services at AUC and outside laboratories.
 - 6- Software that is justified and for which AUC does not have a license (IT hardware may be approved only in specialized projects and on exceptional basis).
 - 7- Equipment with prior special approval from the **OVP.**
 - 8- Laboratory supplies and materials.
 - 9- Printing (*shall not exceed 10% of the maximum allowed fund*).
 - 10- Office supplies and postage (*shall not exceed \$100*).
- All payments shall be processed through the responsible offices at AUC including, but not limited to: Travel Office, Supply Chain, Controller's Office, Print shop, etc., and shall abide by AUC policies and procedures.

Ineligible Expenses:

- 1- Conference registration, travel to conferences or other conference fees;
- 2- AUC faculty salaries;
- 3- Research Time Stipends (for AUC Faculty);
- 4- Honoraria;
- 5- Cost of preparing a paper for presentation;
- 6- Travel to collaborative meetings, workshops, learned societies or other association meetings;
- 7- Dissemination of research;
- 8- Hospitality; and
- 9- Editing and binding.

Procedures for Applicants

Faculty members must adhere to the following procedures when preparing their grant applications:

- 1. Faculty shall use the online grant submission system at:
<http://www4.aucegypt.edu/grant/faculty/>
- 2. Upon the submission of the application, the DRC shall receive it for review. If the proposal involves human subjects/participants, the faculty member shall

apply to the Institutional Research Board (IRB) for project approval before or concurrent with the submission of the proposal to the OVP. The IRB requires all researchers using human subjects/participants to take a web-based course entitled: "Human Participant Protections Education for Research Teams." This requirement is part of an AUC's initiative to enhance compliance with international standards and regulations for the conduct of clinical and other research involving human participants. If the proposal is approved by AUC, the grant will not be released until the IRB also gives its approval. Please check the IRB website: irb.aucegypt.edu

3. The school Dean subsequent to DRC recommendations will review the application
4. The school Dean has the freedom to review the application him/herself, or to delegate a committee or his/her Associate Dean to do the review.
5. If the Dean's recommendation does not match that of the DRC, the application will be routed to the URB for a final recommendation.
6. The final decision will be then determined by the OVP.

Deadlines for Submission and Notifications*

The University has established two cycles for Research Support Grant for academic year 2016-2017. Applications for this grant should be submitted online and they will be automatically directed to the appropriate Departmental Research Committee (DRC) and Dean for review as per the below schedule.

Faculty Online Submission	DRC's Recommendation	Dean's Recommendation	URB's Recommendation	OVP's Notification
10 th of November	25 th of November	10 th of December	18 th of December	31 st of December
10 th of February	25 th of February	10 th of March	18 th of March	31 st of March

** If the deadline happens to be a holiday or a weekend, the deadline will shift to the following working day.*

Grant Management and Oversight

The OVP is responsible for administering AUC grants. The OVP will monitor the project for administrative and financial compliance with the grant conditions. The OVP will also scrutinize research accounts to ensure timely use. Failure to expend funds in a timely manner may jeopardize eligibility for future AUC intermural grants.

Reporting

1. Annual Progress Reports: (For Multi-Year Projects)
 - a. Technical Report: Grantee shall submit all Evaluation/Data/Reports using the online grants system. Annual technical reports are due on the last day of each budget period (June 30th), unless otherwise specified.

- b. Financial Report: Annual detailed expenditure reports are due on the last day of each budget period (June 30th) and shall demonstrate use of grant funds as outlined in the annual project budget. Any uncommitted grant funds remaining shall be returned to AUC at the time the final report is submitted online.
2. Final Report: (For One-Year and Multi-Year Projects)
 - a. Technical Report: Grantee shall submit Final Evaluation/Data/Reports using the online grants' system. The final technical report is due within (60) days of the end of the Grant period, unless otherwise specified.
 - b. Financial Report: The final detailed expenditure report is due within (60) days of the end of the Grant period and will demonstrate use of grant funds as outlined in the annual project budget. Expenditure report on the per diem is not requested. Any uncommitted grant funds remaining shall be returned to AUC at the time the final report is submitted online. The financial reports should include proof of payments such as (but not limited to):
 - Personnel:
 - i. Contract signed by the hired person, the PI and the area head
 - ii. Proof of payment (unless the payment is done through AUC system)
 - Travel:
 - i. Original boarding passes (is requested if the guarantee is provided Air Ticket and/or Per Diem)
 - ii. Air/Bus/Train tickets with receipts
 - Equipment, supplies, and services:
 - i. Copies of the invoices supporting the costs claimed
 - ii. Details of the physical location of the equipment items (Copy of the goods receipt)

For one-year projects, [Final Reports](#) must be submitted online maximum **two months** after the end date of the project.

For multi-year projects, an annual [Progress Report](#) must be submitted online by June 30th.

Under any circumstances, all [Final Reports](#) must be submitted online before a new application is considered.

The reports and their templates can be found at:

<http://www4.aucegypt.edu/grant/faculty/>

The offline templates are available at:

<http://www.aucegypt.edu/research/faculty-support-grants>

The grant recipient must make a presentation to the faculty members of his/her department with an extended invitation to the Dean and the Associate Deans of his/her school and other concerned faculty to attend such a presentation. Grant recipients will indicate when and where this presentation took place in their final report.

ⁱ All faculty support grants abide by AUC policies and procedures.