RESEARCH INCENTIVE AWARD PROGRAM  
(RIA)  
Office of the Vice Provost for Research  
GUIDELINES  

SUMMARY:  
The Research Incentive Award (RIA) program provides institutional support for faculty who are seeking external support for their programs. It is the Office of the Vice Provost for Research (OVPR) intent to enable investigators to more quickly initiate research programs and to help maintain ongoing programs. Eligibility, within the guidelines below, is gained by submitting a proposal to an external sponsor. A summary of the guidelines for the program follows.  

A. Total of $16,000 ($8,000 VPR, $8,000 match) possible. Funds must support needs requested in proposal. There are limits on faculty salary support.  

B. To be eligible for the RIA the faculty must first make a personal visit to the target sponsor. Purpose of this visit will be to discuss the project or program for which a proposal will be submitted. The Travel of Research Investigators to Potential Sponsors (TRIPS) program will be available to provide support for such trips.  

C. Proposed expenditures must be allowed by sponsoring agency.  

D. Only full-time faculty and professional staff who do not currently have external support for research staff and operations are eligible for RIA awards.  

E. Only one award per faculty member per year (year begins on date of first RIA award).  

F. For multi-authored proposals, a total of $20,000 ($10,000 VPR, $10,000 match) is available, with $16,000 maximum to any one author. Very large proposals, i.e., center or program types, are not eligible for RIAs.  

G. Total funds available are limited by the set maximum or the amount of the indirect cost in the proposal's first year budget, whichever is less.  

H. University's maximum indirect cost rate or the maximum rate allowed by the sponsor must be applied.  

I. RIA requests must be approved and signed by department chair(s) or center director and dean, and verified by the Office of Research and Creative Activities (ORCA) before being awarded by the Office of Associate Vice Provost for Research (OAVPR).  

J. RIA requests must be submitted within 30 days of proposal submission.  

K. Special conditions are imposed for and for proposals to the private sector (see detailed description, item #11).
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OBJECTIVE:

The RIA program provides institutional support for faculty who are seeking external support for their programs. It is intended to enable investigators to more quickly initiate research programs and to help maintain ongoing programs. Eligibility, within the guidelines below, is gained by submitting a proposal to an external sponsor.

GUIDELINES:

Funds will be distributed to faculty in accordance with their needs as expressed in grant or contract proposals submitted to federal, state, local, private or industrial sponsors, and according to the following guidelines:

1. Funds, up to $8,000 from the OAVPR, provided on a dollar for dollar matching basis with college, department, center, or other unit funds, may be awarded to a faculty member. RIA funds may be used for graduate student stipends, technical assistants (technicians, graduate or undergraduate students on hourly wage) salaries, faculty and professional staff salaries, equipment and supplies or other costs required to actively conduct the proposed research, up to the amounts requested and justified in the proposal to the external agency.

LIMITATIONS: No more than one person-month's time, distributed among all faculty and professional staff listed, may be requested. No salary support may be for supplemental pay. Travel and publication costs will not be allowed unless necessary to conduct the research.

2. To be eligible for the RIA the faculty must first make a personal visit to the target sponsor. Purpose of this visit will be to discuss the project or program for which a proposal will be submitted. The Travel of Research Investigators to Potential Sponsors (TRIPS) program will be available to provide support for such trips.

3. All proposed expenditures must be allowed and typically supported by the sponsor to whom the proposal is submitted. Also, all other sponsor guidelines must be followed, including meeting any applicable agency deadlines. Any proposal that is rejected on a technicality will lead to forfeiture of RIA funds.

4. Full-time tenured and tenure-track faculty, faculty research associates, and professional staff who do not currently have external support for research staff and operations are RIA eligible.

5. Each eligible faculty member may receive only one RIA award over a twelve month period, such period beginning with the date of his/her first RIA award.

6. For multi-authored proposals, a total of up to $10,000 is available from the OAVPR, with a maximum of $8,000 to any one author. As in #1 above, RIA funds must be matched, dollar for dollar, by college, department or other unit funds. Very large proposals, i.e., center or program types, are not eligible for a RIA.
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7. RIA's are limited to $16,000 (or $20,000 for multi-authored proposals) or the amount of recoverable indirect cost listed in the budget for the first year of the external proposal, whichever is less, regardless of the indirect cost rate used.

8. Eligible proposals must have requested the indirect cost at the University's full rate or at the maximum rate allowed by the sponsor.

9. Each proposal must be reviewed and approved for support from RIA funds by the appropriate department chair or center director and college dean, by ORCA verifying the data, prior to approval by the OAVPR. The OAVPR will assign an account number and notify the P.I. of the award.

10. RIA requests must be received in OAVPR to the attention of Marie Fontes, (ADM-A212, Mail Code 2703), within 30 calendar days following the mailing date of the associated proposal to an external sponsor.

11. RIA eligibility on the basis of a proposal to the private sector (industry or foundation) is limited to a proposal submitted as a result of an encouragement (which must be documented) from the corporation or foundation following preliminary inquiry or a prospectus letter.

12. In cases where an external award is made, any unexpended RIA funds will revert to the OVPR central account. Overseers of RIA matching accounts will be so notified.

Questions? Call Marie Fontes 965-1225
RESEARCH INCENTIVE AWARD
APPLICATION AND APPROVAL FORM
(please type)

P.I. ___________________________ SSN ___________________________ Office Phone _________ Dept. Phone __________

Co-P.I. ________________________ SSN ___________________________ Office Phone _________ Dept. Phone __________

Tenured Faculty _______ Tenure Track _______ Faculty Associate _______ Professional Staff ______

Department ___________________________ Mail Code ___________ Name of Chair ____________

ASU West Coordinator _____________________________________________

College ________________________ Name of Dean __________________

ASU West Director _____________________________________________

Title of proposal submitted ________________________________________

Name of agency/sponsor __________________________ Date Submitted ______________

Is this a resubmission? _________ If yes, attach a copy of the ORCA Approval form for prior submission.

Total amount requested from agency/sponsor __________________________

Co-P.I.’s on outside proposal _____________________________________________

Please attach a completed and signed copy of the ORCA blue Proposal Approval Sheet, a copy of the Proposal Budget Sheet, and, if applicable, a copy of the green Matching or Cost Sharing Statement Form.

MATCHING SUPPORT

College $ ____________________ Department $ ____________________ Other $ __________

Account No. ________________ Account No. ________________ Account No. __________

SIGNATURE: (Required whether or not unit support is provided)

Signature of Dean/Unit Director ____________________ Signature of Chair ____________ Verified by ORCA ____________

OVPR APPROVAL: Amount $ ____________________ Account No. ________________

Office of Associate Vice Provost for Research _______ Date ________________

ALL EXPENDITURES MUST BE SPLIT-FUNDED BETWEEN THE ABOVE ACCOUNTS. REFERENCE THE RIA ACCOUNT CODE GIVEN BELOW ON ALL REQUISITIONS, PAFS, and TRAVEL AUTHORIZATIONS AND SUBMIT TO RICH FILL, BUSINESS MANAGER, ADM-B270-A1; MAIL CODE 3403; 5-4770.

This award is for a twelve-month period and is non-renewable. If your off-campus proposal is funded, any unexpended funds remaining in the RIA account will then revert to the OVPRSI central account. If you have any questions, please call Marie Fontes at 965-1225.

cc: P.I. ___________________________ I do not currently have external support for research staff and operations:

Dean/Unit Director _____________________________________________
Research Dean _____________________________________________
Chair _____________________________________________
ORCA _____________________________________________
OVPR Business Manager _____________________________________________

P.I. Signature __________________________________________________________________

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BUDGET SUMMARY

(ITEMS REQUESTED MUST ALSO BE REQUESTED IN THE BUDGET TO THE OUTSIDE AGENCY)

A. Personnel (use name and title)  
   Name: ___________________________  SSN: ______________________  _________
   Title: ______________________________

   Name: ___________________________  SSN: ______________________  _________
   Title: ______________________________

B. Fringe Benefits:  (30% staff; 3% student wages)- ___________________________
   (25% faculty)

C. Operations:__________________________

D. Capital:  (Equipment purchase of $500 or more- ___________________________
   and a life span of one year or more)

E. Travel:______________________________

TOTAL ___________________________

(Round to the nearest dollar)

EXPENDITURE PROCEDURES

All requisitions must be split-funded, indicating that one-half of the amount is from the department/college unit account and one-half is from the OVPR.

Include the assigned RIA log number on all requisitions. If you have any questions on expenditure procedures, please contact Rich Fill, Business Manager, ADM-B270-A1; Mail Code 3403; 5-4770.