

UAS GM 02: Proposal Process at UAS

Determine Eligibility

A. Principal Investigator (PI) Eligibility:

Tenured and tenure-track faculty with an academic rank of assistant to full professor with the approval of the Dean/Campus Directors are allowed to serve as principal (or co-principal) investigators. In exceptional circumstances, a term faculty member may serve as principal (or co-principal) investigator when the Provost, with concurrence of the Vice-Chancellor for Administration, determines that this is in the best interests of the University. Such exceptions will be based on the specific situational circumstances including timing of the request and will not set precedence for any future requests.

B. Research Appointments:

Research assistants shall have earned a bachelor's or master's degree. The appointee's responsibility is to conduct research under direction. Appointment is recommended by the grant's principal investigator, with the approval of the appropriate department head, dean and provost.

Research associates shall have an earned doctoral degree (or the highest professional degree in the field plus appropriate experience). A research associate can be named as co-PI, and whose employment is dependent upon external funding. An appointee's responsibility is to carry on research independently. An appointment is made by the principal investigator, with approval by the appropriate dean and provost.

C. Professional Staff:

Professional staff may be appointed a principal investigator for non-research sponsored projects. The staff must be a regularly funded, exempt, budgeted position in a department that has an on-going, annual operating budget.

APPLICATION TYPES

The following definitions are provided to assist users in interpreting funding agency program guidelines and regulations, preparing the appropriate type of application, and referring to various sections throughout the manual which describe these terms in further detail.

Pre-proposal (preliminary proposal) - A brief presentation by the PI of ideas, methods, personnel and budget submitted as an unsolicited white paper or in response to the funding agency's request for a preliminary proposal to determine the eligibility of the applicant and the suitability of the proposed project for support. The pre-proposal is usually in letter form for private agencies and can be an abbreviated form of the standard proposal format for public agencies. Unsolicited pre-proposals must include a statement that it is not an official offer and UAS reserves the right to submit a full proposal prior to award.

New - A new application is for support of a project which is not currently receiving support from the agency to which the application will be submitted.

Continuation (non-competing continuation) - A non-competing application requests support for a second or subsequent budget period within a previously-approved project period.

Renewal (competing continuation) - A renewal proposal, called a competing continuation application by some federal agencies, requests support of a funded project beyond the current project period. Renewal proposals compete with other competing continuation, competing supplemental, and new applications for funds.

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Supplement - A supplement proposal requests an increase in support during a current budget period for expansion of the project's scope, to meet unforeseen costs at the time of the new or continuation application, or for special purposes which may enhance the progress of the research, such as purchasing a piece of equipment or to support undergraduate and minority students. Some agencies allow requests for supplemental funding by letter, while others require some type of application.

Revision - A revision may take one of two forms: a) It may be a complete, formal application to replace a prior unfunded version of a new, competing continuation, or supplemental application, with explicit reference made to the revisions in the proposal (usually reviewed as a new proposal by agencies); or b) It may be a revised budget and/or project narrative in response to the funding agency's request based on their intent to support the project in its revised form (usually reviewed at the program office or grants office level only).

Preparing the Proposal Narrative and Budget

A proposal is a formal request for financial support from an external funding agency, private or public. In general, it consists of three parts: a technical narrative, a budget, and significant supplementary materials. The technical narrative must be a concise and coherent explanation of a research or training plan which has specific and reasonable goals. It should establish the significance and objectives of the proposed work, its relation to the larger field of which it is a part, the rationale and suitability of the methods to be employed, the abilities and qualifications of the investigator(s) and institution, and a procedure for evaluating the progress and outcomes of the project. The budget is a best estimate of the funds required to carry out the statement of work. It should include a reasonable amount of detail showing how figures were derived and any established institutional rates, followed by a budget justification. Finally, a proposal may have relevant supporting materials, such as current vitae of principal participants, reprints of significant articles applicable to the proposed project, and letters of collaboration and support.

The budget should be aligned to and address the technical narrative. It is a monetary reflection of the proposed work and resources required to complete the work. The budget justification accompanying the budget figures should explain, by budget category, the calculations used in determining the total cost for each category, as well as any special or unusual circumstances. The proposal budget is the best estimate of project costs at the time of proposal submission. Current rates for salaries, services and supplies, equipment and maintenance, travel, and tuition should be used as a basis for developing the budget. A template for budget development can be found on the Budget and Grants website.

Current staff benefit rates and F&A rates can be found on the Administrative Services website. If you are unable to locate, please call this office for the most current rates.

Proposal Routing – Overview and Procedure

UAS has a standard and approved routing form. This form must be completed and all signatures obtained prior to submission, and must accompany the proposal to the office of Budget and Grants a **minimum of five working days prior to the funding agency's deadline for submission.** It is an important function of this office to assure that proposals do not commit UAS in any way that opposes the University's role and mission, or exceeds the department/schools debt capacity.

If you are working with another UA Campus, or an institution outside of this system on a proposal and that institution will actually submit the proposal, you must still obtain approval from UAS to be a part of the project. **BEFORE** the proposal is submitted, you should send a description of UAS' role in the

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project (scope of work) and a budget for UAS, along with a completed Proposal Submission Form (available online) to the Office of Budget, Grants and Contracts. If the application requires a signed coversheet or letter of commitment, it must be included with the proposal submission form.

After the proposal has been reviewed and signed by all required parties (PI, Dean or Campus Director, Vice Provost for Research and Sponsored Programs, and Director of Budget, Grants and Contracts), the UAS grant administrator will notify the PI that it is ready for inclusion in that specific project, and assist the PI in getting the information to the appropriate party.

While UAS may not be the prime award, these types of submissions will be treated as UAS proposals, and therefore are subject to the five working day requirement. That is the proposal must be received, with a completely signed Proposal Submission Form to the Grants Office five working days prior to the submission date. These proposals will be entered into the Proposal tracking system.

If a proposal project includes more than one UA campus the work completed by another campus is not a sub-award or subcontract. All costs incurred by the assisting campus should be included within the proposal budget. **However, there should be a clear indication of campus activities to ensure that budgets at each campus can be set up appropriately and be separately accounted for.** The collaborating campus must review and approve their portion of the proposal before submission to the agency can occur. A copy of a signed proposal routing form will serve as their approval.

What does the grants administrator look for upon review? The grant administrator reviewing your proposal will read the RFP to be certain that all requirements of the RFP have been met, all standard forms and assurances are attached, and that the proposal budget and narrative support the research or project. The grant administrator will review the budget to see that it aligns with the narrative, and to check for correct benefit rates and correct F&A calculation. The budget must include standard University fringe benefit rates and indirect cost rates. Both fringe benefit and indirect cost rates are subject to change. Always check current rates before completing your budget. The current rates can be found on the UAS Budget and Grants website.

After final review and upon the signature of the Director, the proposal will be submitted by this office. If it is mailed, it will be done so, via a registered tracking system such as DHL, Federal Express, or the USPS registered mail service. If a web based submission, such as Fastlane is used, the grant administrator will submit, and the Director as the university's AOR will sign the electronic submission.

The grant administrator will enter the proposal into the banner tracking system, and the submitting PI will receive an email notification of the date mailed, entered, and the banner grant proposal number.

A copy of the current proposal submission form is in the appendix to this manual, or can be found online as a pdf enterable form. Please do not alter this form. It contains information that will be entered into the system, and used for various reporting purposes.