Research, Discovery & Innovation (RDI) supports all levels of staged research development through Research Advancement Grants. Research Advancement Grants are intended to provide a pathway to success for interdisciplinary research with the goal of accelerating project competitiveness prior to extramural proposal submission.

RDI seeks grant submissions with clearly envisioned ideas involving interdisciplinary team building. There is an expectation that funding provided will be strategically leveraged to result in proposal submission that realizes additional external funding awards for the proposed idea. As such, these awards are focused on the feasibility of the concept; assembly of compelling, qualified interdisciplinary investigator teams; identification of appropriate extramural funding targets; the quality of the proposal development plan; and concrete activities that have high likelihood to result in future external funding success. Proposals must align with university strategic priorities, RDI strategic planning sessions, and when applicable, TRIF Research Initiatives.

This Proposal Preparation Guide (PPG) provides information and guidance on the full lifecycle of Research Advancement Grants. If an individual solicitation differs from the PPG, the guidelines provided in the solicitation must be followed.

Funding Opportunities
For calendar year 2018, the following opportunities are available:
- **Spring 2018** – submission deadline of March 15, 2018
  - Faculty Seed Grants
  - International Research & Program Development Grants
  - Student Team Awards: Interdisciplinary Link and Industry Engagement
  - Postdoctoral Research Development Grants
  - Accelerate for Success
- **Fall 2018** – submission deadline of October 15, 2018
  - George H. Davis Travel Fellowship
  - Equipment Enhancement Fund
- **Open Year Round**
  - Start for Success
  - Invited Proposals

Proposal Preparation
All documents must use 1” margins, and no smaller than 11 pt. font. The following are acceptable fonts: Arial, Times New Roman, Calibri, or Tahoma. Reducing margins or font size may result in administrative return without review. If a proposal is returned, the PI must wait until the next cycle to resubmit. All documents, except the budget sheet, should be saved and uploaded as PDF documents.

Each of the Research Advancement Grants require Sections a. through c. below:
- **a. Proposal Abstract**: Include a 200 word abstract of your proposal, ensure that you include: what it is you are proposing and what the external funding opportunity(ies) is you are targeting. This information will be copied into a text box in the system. Special characters are discouraged.
- **b. Keywords**: Include up to five keywords. This information will be copied into a text box in the system.
c. **Proposal Narrative:** The proposal narrative is limited to two-pages unless otherwise specified in the solicitation. The narrative should include the following sections:

- Brief description of the significance and specific aims or objectives
- Statement of expected outcomes
- Description of the methodologies
- Statement as to why the PI and/or team is uniquely positioned to be competitive in this area, and how the RDI grant will increase competitiveness
- At least one extramural funding opportunity identified: Include a link to the solicitation (or program if the solicitation is not yet available). Give the grant/program title, agency or foundation name, and submission deadline

d. **Required Supplemental Documents**

- References cited (no more than one-page) using the field-specific reference standard
- PI’s CV (no more than five-pages) or agency-specific biographical sketch
- Budget using the budget template provided in the submission software. In-kind or matching funds (see section d.) are required for the following proposal types (see full solicitations for detail):
  - Faculty Seed Grants: Track 3 – International
- Budget Justification (no more than one-page) providing details from the budget
- Budget approval form from the appropriate research administrator or business manager

e. **Supplemental Documents, If Applicable**

- Up to four Co-PI’s CV (no more than five pages) or agency-specific biographical sketch(es)
- Letters of Collaboration or Support, including Dean’s or Director’s letters
- Letters of In-Kind support or Match
- Statement of Resubmission: If your Research Advancement Grant proposal requests funds to enhance the competitiveness of a recently declined proposal include no more than one-page on how you plan to address reviewer comments. Attach this statement to the reviewer comments and upload as one PDF document.
- Statement on compliance with applicable institutional research policies, including but not limited to, human subjects, animal research, conflict of interest, HIPAA, export control, and laboratory safety

The following document templates are provided:

- Budget Form – Microsoft Excel
- Budget Approval Form – PDF Form

TRIF Initiative Alignment: If the proposal aligns with a TRIF initiative, applicants must select the most applicable initiative during proposal submission. TRIF initiative options include: Improving Health; Water, Environment & Energy Solutions; Space Exploration & Optical Solutions; or Defense & Security Systems. The TRIF Initiative, or Technology and Research Initiative Fund, increased the state’s sales tax per proposition 301 to promote university research, development, and technology transfer related to the knowledge-based global economy and expand access to baccalaureate or post-baccalaureate education, among other priorities. For the most recent Arizona Board of Regents TRIF Annual Report visit the [ABOR site](http://www.abor.org).
Budget Preparation

No Research Advancement Grant funds may be used for faculty or administrator salaries; neither may awards be used to replace current sources of support for personnel. No Research Advancement Grant funds may be used for personnel salaries from other institutions.

The following provides a list of generally allowable costs:
- Short-term hourly student wages and associated ERE
- Research technical staff, including graduate students, and associated ERE
- Consultant fees, honoraria, or participant stipends
- Meeting costs, e.g. room rentals, meals/breaks
- Supplies, including research supplies and/or items such as musical scores and art supplies
- Core facility use
- Research related travel
- Specialized equipment (capital & other) pertaining specifically to the project
- Proposal preparation, e.g. graphic design

A justification of each of the named costs must be provided. Proposed budgets may be revised upon award.

Eligibility

Each of the Research Advancement Grants are open to faculty, continuing-eligible academic professionals, and/or continuing status academic professionals across all disciplines and levels.

Due to the interdisciplinary expectation of Research Advancement Grants, successful applicants will include PI/Co-PI teams from multiple departments and generally, multiple colleges.

Applicants are limited to one submission to each program per cycle. While there is no limit on the number of awards an applicant may receive, RDI grants are expected to be leveraged to acquire external support. Thus, successful applicants should be judicious in submitting future applications immediately following a successful award that are not potentially high-risk, high-reward.

Proposal Submission

Proposals must be submitted through UA Competition Space by 5:00 pm no later than the deadlines listed above in Funding Opportunities or on the solicitation page. It is strongly suggested that applicants complete and submit their application much earlier than 5:00 pm as the system will no longer accept applications after the deadline. To ensure successful submission, RDI recommends submitting your proposal no later than noon on the day of the deadline.

Proposals must be linked to the PI’s name and official UA email. PIs may designate an individual, such as a research administrator, to proxy in the proposal materials. Information on submitting proposals by proxy is available in the “Help” section of the submission website. “How to” guides are also provided for download in the dark gray area on the right hand side of the competition submission homepage.

RDI Research Advancement Grants do not require UAccess Research routing or UA Sponsored Projects & Contracting Services approval prior to submission; however, unit research administration (or similar) must sign the budget approval form.
Proposal Processing & Review

Proposers should allow up to three months for processing and review. Submitted proposals first undergo a compliance check which includes: confirmation of all required documents, page-limit and text compliance, and confirmation that the budget is allowable and within the amount specified for the solicitation. Once the proposal is reviewed as compliant it enters merit review. Applicants are notified that their proposal has been accepted for merit review.

Review is conducted by UA faculty and qualified staff, generally as a solicitation-specific panel. This panel will be supplemented by ad hoc reviewers as needed. PIs should write proposals that are understandable to an interdisciplinary audience. The following criteria will be considered:

- Evidence of the project to initiate new research or scholarly activity (return on investment)
- Feasibility of the plan to pursue external funding and likelihood of a competitive proposal and fit with identified funder’s priorities
- Soundness of approach, including research questions and methods
- Significance of proposed research and potential impact
- Alignment of the budget to the proposed work

Selection will be based first on the outcome of the merit review. Where applicable, alignment of proposals with UA’s strategic plan, with RDI Strategic Planning Sessions, or with the UA’s TRIF plan will be considered. Also, some solicitations may require matching funds or collaborative efforts. When a proposal includes such a feature (e.g., in letters of support), this will also be considered.

Award

Award notification will be sent to PIs, heads/directors, deans, and business offices. Reviewer comments will be sent only to the PI.

Upon award, the PI must comply with all applicable institutional research policies, including but not limited to, those related to research with human subjects, animal research, conflict of interest, HIPAA, export control, and laboratory safety.

RDI Research Advancement Grant awards must be leveraged to acquire external support for the proposed research or scholarly activity. It is expected that:

- Recipients prepare at least one proposal for an external grant during the award period.
- Recipients are expected to serve as reviewers on at least two RDI competitions over a three-year period (this includes internal Research Advancement Grants and limited submissions).
- Recipients are encouraged, and in some cases required, to use RDI services/staff, including Research Development Services and Strategic Business Initiatives, to enhance the competitiveness of their external grant proposals.

Spring awards span the fiscal year (i.e., July 1 to June 30). Equipment Enhancement Fund awards are expected to be spent within the fiscal year awarded (i.e. by June 30). All other awards will typically be provided a one-year award period from date of notification. Accelerate for Success awards may span two fiscal years if well justified.
While RDI recognizes that the original project scope may change, in general, no-cost extensions are not permitted. If, under extenuating circumstances, a no-cost extension is required, the PI must provide sufficient documentation justifying the request.

**Reporting**

Final reports are due within one month of the award’s end date. PIs must submit final reports via UA Competition Space. Final reports should conform to the margins and text requirements described above in Proposal Preparation and are limited to four pages. The final report should include:

- Statement of the research findings or scholarly activity, i.e. the outcomes
- List of submitted proposals, including the following information: proposal title, funder (i.e. agency or foundation), program name, solicitation number, UAccess Research document number, requested amount, and status (i.e. pending, funded, declined)
- If a proposal has not been submitted, the PI is expected to provide a status update on proposal preparation including a timeline and milestones for proposal completion
- Publications or publications in progress

Multi-year projects are required to submit annual progress reports with similar information on current findings, list of submitted proposals, and publications.

Reports will be shared with RDI leadership and Communications. RDI Communications may opt to publicize the findings of an RDI funded award. Prior to any publicity RDI Communications will contact the PI for additional information.

In addition to the RDI reporting requirements, TRIF funded projects will be asked to complete an annual TRIF survey including information on the number and types of students supported, postdocs support, and tech transfer/knowledge transfer activities.

Failure to meet the Award or Reporting expectations described here results in ineligibility for receipt of subsequent funding from RDI.

**Questions & Contacts**

Proposal Submission & Annual Reporting:

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Award Processing & Budget Questions (including no-cost extensions and budget revisions):

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