The goal of the University of Arizona Foundation (UAF) Small Grants program is to jump start careers of junior faculty and staff, introduce them to philanthropy, and ultimately help UA recruit and retain the best and brightest.

The UAF Small Grants Program will award multiple grants to junior faculty and staff in five areas of the UA Strategic Plan:

- Pillar 1: The Wildcat Journey, Driving Student Success for a rapidly Changing World
- Pillar 2: Grand Challenges, Tackling Critical Problems at the Edges of Human Endeavors
- Pillar 3: The Arizona Advantage, Driving Social, Cultural, and Economic Impact
- Pillar 4: UA Global, Setting the Standard for a Global University in a Digital Age
- Pillar 5: Institutional Excellence: Ensuring UA Lives its Values and Innovative Culture to Enable an Efficient, High Performing Academic and Administrative Enterprise

One year awards of up to $20,000 will be granted. Number of awards per pillar focus is at the discretion of the UAF Board. Applicants can only apply in one pillar area. Grants can be programmatic or research focused. Awardees will be notified in October.

The UA Foundation is coordinating proposal submission and review with the RDI Research Development Services team. **All application materials must be submitted through the UA Competition Space by August 28th, 2019, 5pm MST.**

Proposal Preparation

All documents must have 1" margins, and no smaller than 11 pt. font. The following are acceptable fonts: Arial, Times New Roman, Calibri, or Tahoma. Reduced font sizes in figures and legends are acceptable although font sizes should be legible. Reducing margins or font size will result in administrative return without review. If a proposal is returned without review, the Principal Investigator (PI) must wait until the next funding cycle to resubmit. All documents, except the budget sheet, must be saved and uploaded as PDF files.

Proposal Sections (including step-by-step upload into the submission system):

- Proposal Abstract: Include a 200-word abstract of your proposal. Ensure that you include: what it is you are proposing, how it aligns with the goals of the strategic plan pillar and the specific initiative under the pillar, and the impact your proposal will have. This information will be copied into a text box in the system. Special characters are discouraged.
- Keywords/Key phrases: Include up to five keywords or key phrases. This information will be copied into a text box in the system.
- Cover Sheet: The following information will be copied into text boxes within the system.
  - Selecting a category of application (faculty or staff)
  - Identification of UA Strategic Plan Pillar area under which your proposal fits **and** specific initiative
  - Identification of relevant compliance areas including human subjects, animal research, inclusion of Native Americans or international indigenous groups in the proposal, etc.
  - Budget amount requested

- Proposal Narrative: The proposal narrative is limited to two-pages. The narrative should include the following sections:
  - Brief description of the specific aims, objectives, and hypotheses (if relevant), and how it is associated with the Strategic Plan pillar initiative goals
  - Statement of significance and 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 grant will increase competitiveness
- Required Supplemental Documents
  - References cited (no more than one-page) using the discipline-specific reference standard, i.e., the reference style you would use when submitting a journal article in your field
  - PI's CV or Resume (no more than two-pages)
  - Current & Pending Support, including internal UA support. If none, upload a document stating "No Current or Pending Support"
  - Budget using the budget template provided in the submission software
  - Budget Justification (no more than one-page) providing details from the budget
  - Budget Approval Form from the appropriate research administrator or business manager
- Supplemental Documents, if Applicable
  - Up to four Co-PIs CV(s) or resumes (no more than two pages per Co-PI)
  - Letters of Collaboration (from unfunded research collaborators or international collaborators)
  - Letters of Support, including in-kind support or match, i.e. letters committing financial resources.
    - Note: Dean's, Department Head, or Director's letters are only required if there is some form of institutional commitment associated with the proposal.
    - Note: If there is a collaborating institution, a letter of support indicating the institutional commitment of the collaborating institution must be provided. That is, collaborating institutions must provide support for their faculty, this letter should document that support (see Budget Preparation section for additional information on allowable costs)
  - If you have an existing protocol, upload a PDF of your current approval letter only (not the full protocol) related to human subjects or animal research. Any items proposed in the grant that do not fall under the approval will be submitted as an amendment upon award recommendation. Note that all funded proposals are expected to comply 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

Budget Preparation

UAF Small Grants are intended for UA-related research or program expenditures. No UAF Small Grant funds may be used to replace current sources of support for personnel. No UAF Small Grant funds may be used for salaries for personnel from other institutions. If there is a collaborating institution, the proposal must indicate, through letters of support (i.e., institutional commitment), a summary of the commitments that the collaborating institution is making toward the proposed effort. Consultants may be used in very limited, exceptional, and well-justified cases.

The following provides a list of generally allowable costs:

- Faculty or staff summer salary
- Short-term hourly student wages and associated ERE
- Research technical staff, including graduate students, and associated ERE and tuition and fees (when applicable)
- Honoraria (if not for a UA employee) or participant stipends
- Meeting costs, e.g., room rentals, meals/breaks, etc.
- Supplies, including research supplies and/or items such as musical scores and art supplies
- Fees for UA Core facility use
- Travel
- Specialized equipment (capital and other) pertaining specifically to the project
- Proposal support limited to graphic design, speaking coaches (for reverse site visits), and technical editing and reference formatting

Eligibility

Each of the UAF Small Grants are open to junior staff or faculty. **'Junior' faculty** for this grant program is defined as: faculty within 5 years of their first academic appointment at a university. '**Junior staff'** is defined as: staff within the first 5 years of professional employment at a university. If you are unsure of your eligibility, please consult your unit's HR or business manager.

For UAF Small Grants promoting interdisciplinary and transdisciplinary research, successful applicants will include PI/Co-PI teams from multiple departments and generally, multiple colleges.

PI's are limited to one submission per pillar area per cycle (there is currently one cycle). In addition, an individual may participate as Co-PI on one additional proposal.

Pillar Owners and Managers are not eligible to apply as PI or Co-PI.

Proposal Submission

Proposals must be submitted through UA Competition Space by no later than 5:00 pm August 28th. It is strongly suggested that applicants complete and submit their application much earlier than 5:00pm as the system will not accept applications after the deadline. To ensure successful submission, we recommend submitting your proposal no later than noon on the deadline date. Applications that do not meet the submission deadline will not be accepted.

Proposals must be linked to the PI's name and official UA email address. UAF Small Grants do not require UAccess Research routing or UA Sponsored Projects & Contracting Services approval prior to

submission. However, all proposals require a signed Budget Approval Form by the appropriate unit administrator (see Required Supplemental Documents).

Proposal Processing & Review

Proposers should allow up to two months for proposal processing and review. Submitted proposals will first undergo a compliance check that includes: confirmation of all required documents, page-limit and formatting 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.

Review is conducted by UA Strategic Plan Pillar Chair Owners, a committee of faculty and/or qualified staff, and UAF Board members. PIs should write proposals that are jargon-free and understandable to an interdisciplinary audience. The following criteria will be considered:

- Overall Impact: Evidence the project will initiate new programs or research and scholarly activity as it applies to the pillar of the Strategic Plan.
- Premise and Broader Impact: Evidence the project will address identified gaps in the field and how the outcomes of the proposed work will benefit society and the UA
- Significance and Intellectual Merit: Evidence the project will incorporate and explore novel, creative, or potentially transformative concepts
- Investigator/Research Team: Qualifications and expertise of the investigator or research team to conduct the proposed research, creative, or scholarly activity. If applicable, the history of successful collaborations by the proposing team.

Selection will be based first on the outcome of the merit review. Number of awards per pillar focus is at the discretion of the UAF Board.

Conflict of Interest (COI) and Confidentiality: All information contained in a grant application and associated supplemental documents are considered highly confidential and all efforts will be made to ensure the fair, objective, and confidential review of each proposal. Reviewers will be required to sign a COI statement prior to proposal assignment and review and to adhere to strict guidelines to ensure the confidentiality of the content of all grant applications as well as any information conferred during the ensuing panel discussions. Generally, any prior collaborations, mentorship roles, and/or departmental, financial, and familial conflicts are considered COIs. During panel discussion, conflicted reviewers will be recused and released during the dialogue regarding the proposal with which s/he has an apparent or perceived COI.

Award

The PIs of all proposals, whether awarded or declined, will receive a notification. Award notification will be sent to PIs, heads/directors, deans, and business offices. Reviewer comments will be sent only to the PI (or designated proxy in the system). After funding decisions have been made (approximately two months after the submission deadline), please note that it can often take up to one week to send all notifications.

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

Awards will typically be provided a one-year award period from date of notification.

While UAF 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. A request merely for the purpose of using unliquidated balances is not considered sufficient justification. Changes to the budget must be well justified; contact RDI Finance and Administration for additional information.

Reporting

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

Final reports are due within one month of the award's end date. PIs must submit final reports via UA Competition Space. Final reports are submitted via textbox, and therefore, special characters are discouraged. If you require the use of special characters, please contact us. Reporting requirements include the following:

- Start and End Dates of Funding
- Project Title
- Outcomes: 750 words. A statement on the research findings, creative or scholarly activity completed.
- Partnerships & Collaborations Developed: 500 words. Describe and identify new partnerships that have been developed due to this funding. These may include new research/scholarly partnerships, institutional or community collaborations, etc.
- Changes or Problems: 500 words. Describe any changes to your initial plan, including any problems that you encountered, and how you addressed these issues.
- Products or Publications: 1000 words. Products include journals or juried conference papers, books, book chapters, other conference presentations/papers, other publications, technologies or techniques, patents, inventions, licenses, websites, other products.

Awardees will present the outcomes of the grant to the UAF Board at their October board meeting immediately following the award year. Awardees will work with a member of the UAF board to fine-tune their presentation prior to the event.

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

Financial reporting and account close-out is coordinated between RDI Business and Finance Manager and the investigator's unit business administrator.

Questions & Contacts

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