# University of Arizona Research, Innovation & Impact (RII): Proposal Preparation Guide (PPG) for Awards in FY25

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# Introduction

Research, Innovation & Impact (RII) supports all levels of staged research development through Research Development Grants. Research Development Grants are intended to provide a pathway to success for research and scholarship with the goal of accelerating project competitiveness prior to extramural proposal submission. Applicants should use these grants to develop research, scholarly, or creative activity in preparation for extramural funding, and should prioritize submission to the single most relevant Research Development Grant competition in a funding cycle.

Research Development Grants should support multiple of the following initiatives or concepts:
1. Advancement of graduate and particularly undergraduate research opportunities (inclusion of undergraduates in research are prioritized)
2. Advancement of TRIF Initiative priority areas (see section A.2)
3. Inclusion and promotion of accessibility, equity, diversity, inclusion, belonging, and justice in research

Research Development Grants are not intended to provide bridge funding, rather to launch a new research program of inquiry. If you are interested in or require bridge funding, please consult first with your department head. All Research Development Grant awards are dependent upon review and availability of funds. Failure to meet the Award or Reporting expectations described below results in ineligibility for receipt of subsequent funding from RII.

This Proposal Preparation Guide (PPG) provides information and guidance on the full lifecycle of Research Development Grants. If an individual solicitation differs from the PPG, the guidelines provided in the solicitation (available on the Research website) supersede those of the PPG.

## A. Proposal Preparation

**PIs should write proposals that are jargon-free and understandable to an interdisciplinary audience.** 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 PI must wait until the next funding cycle to resubmit.

All documents, except the budget sheet, should be saved and uploaded as PDF or Word Doc files. Please avoid uploading any Zip Files, PDFs as Adobe Portfolios, other other file types as they are not accepted file types in Arizona Cultivate. The budget sheet should be uploaded as an editable Excel document using the budget template provided in the solicitation.

### 1. Full Proposal

Each of the Research Development Grants require the following sections: Cover Sheet, Proposal Narrative, and Required Supplemental Documents. As a reminder, should there be deviances between the PPG and the solicitation on the Research website, the Research website supersedes this PPG.

### Full Proposal Sections (including step-by-step upload into the submission system):
a) **Cover Sheet:** The following information will be copied into text boxes within the system. Special characters are discouraged.

    **i)** *Principal Investigator:* Name, NetID, ORCiD ID (if applicable), Department, College, Rank, Contact Information

    **ii)** *Co-Investigators (up to four Co-Is may be listed, unless otherwise noted):* Name, NetID (if internal), ORCiD ID, Department, College, Rank, Contact Information

    **iii)** *Fiscal Officer (the person who will be in charge of administering the award account if awarded): Name and Contact Information*

    **iv)** *Proposal Summary:* Include a 200-word summary of your proposal. A self-contained description of the proposed work and outcomes that would result if funded. Include the significance and potential impacts of the proposed work. This should be understandable to a scientifically or technically literate lay reader.

    **v)** **OPTIONAL:** *Connection to Land Grant and HSI Mission*: Include a 250-word statement that articulates how the proposed work and outcomes will support the federally designated land grant and/or Hispanic Serving Institution (HSI) mission of the university,

    **vi)** **OPTIONAL:** *Connection to Inclusive Principles and Practices*: Include a 150-word statement that describes how this project intentionally incorporates the principles and practices of accessibility, diversity, equity, and inclusion.

    **vii)** *Proposed External Funding:* 200-word limit. Include the targeted solicitation (including funding level and deadline) and/or sponsor. If you do not have a solicitation, discuss fit to the potential sponsor.

    **viii)** *Keywords/Key phrases:* Include up to five keywords or key phrases.

    **ix)** *Proposal Specific Sections*:
        **(1)** Select a Track, if applicable
        **(2)** Identification of relevant compliance areas including human subjects, animal research, RLSS, inclusion of Native Americans or international Indigenous groups in the proposal, etc.
        **(3)** Budget amount requested (round up to the nearest dollar)
        **(4)** Identification of primary TRIF initiative (see below for details) or select "none"
        **(5)** Identification of Co-Reviewed TRIF initiative
        **(6)** Review Panel Selection (select primary and secondary, if applicable): Arts, Biomedical Sciences, Clinical Sciences, Data Sciences, Earth Sciences, Engineering, Humanities, Life Sciences, Optical Sciences, Physical Sciences, Social Sciences, and Space Sciences

  **b)** **Proposal Narrative:** The proposal narrative is limited to two pages. The narrative should include the following sections:
    **i)** Brief description of the specific aims or objectives
    **ii)** Significance; expected outcomes; and relationship to priority areas 1 through 3 (as applicable) from the Introduction.
    **iii)** Approach
    **iv)** Brief description as to why the PI and/or team is uniquely positioned to be competitive and how the RII grant will increase competitiveness
    **v)** Proposals should incorporate SMART (Specific, Measurable, Achievable, Relevant and Time-Bound) Goals to provide specifics on the project goals in the period of performance to

  **c)** **Required Supplemental Documents**
    **i)** 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
    **ii)** PI's CV or agency-specific biographical sketch
        (1) NIH biographical sketches are exempt from the 1" margin requirements as detailed above and may be a maximum of five-pages per NIH guidance
        (2) CVs should be no longer than two-pages

     **iii)** Budget and budget justification using the budget template provided in the submission software

     **iv)** Applicant driven routing step for budget approval: Prior to submission, applicants will be prompted to input the email address of an appropriate business officer, award or research administrator to confirm that the submitted budget has been reviewed and approved.

**d) Supplemental Documents, if Applicable**

     (1) Up to four Co-Is CV(s) or agency-specific biographical sketch(es), proposal formatting and limitations described above in PI CV section apply.

     (2) Letters of Collaboration (from unfunded research collaborators, including all international collaborators).

     (3) Letters of Support, including in-kind support or match, i.e., letters committing financial resources.

          (a) Dean's, Department Head, or Director's letters **are only required** if there is some form of institutional commitment associated with the proposal. Commitment is defined as resources that would otherwise not be available to you, e.g., additional funds for travel, in-kind support from existing personnel, etc.

          (b) 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).

          (c) Career Track or Professor of Practice with a Teaching Emphasis (non-research focus as primary job duty) should include a letter from the Director or Assistant Dean of Research in their unit or college that confirms approval to conduct research as part of, or in addition to, job duties.

     (4) Resubmission Statement: If your Research Development Grant proposal requests funds to enhance the competitiveness of a recently declined extramural proposal, include a one-page (maximum) description of how you plan to address the reviewer comments. Attach this statement to the reviewer comments (e.g., NIH Summary Statement or NSF Panel Summary) and upload as one PDF document.

     (5) 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.

          (a) 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.

## Required Proposal Preparation Guide & Templates

The following required reference document and templates are provided:

- Proposal Preparation Guide – PDF
- Budget Template Form – Microsoft Excel

## 2. TRIF Initiative Alignment

In November 2000, Arizona voters made a 20-year commitment to stimulate innovation and research and to support Arizona's knowledge-based economy. The landmark passage of Proposition 301, a 0.6% sales tax to be used for education in Arizona, included a new University-directed funding source, the

Technology and Research Initiative Fund (TRIF), which has been used to catalyze research and technology transfer at Arizona's academic institutions. Additionally, TRIF seeks to expand access to baccalaureate or post baccalaureate education. 2021 marked the start of a reauthorized TRIF cycle. At this time, the TRIF cycle is annual and as such, proposals funded under the TRIF initiative typically must be completed by June 30 in the cycle awarded.

If the proposal aligns with a TRIF initiative, applicants must select the most applicable initiative during proposal submission. If proposals align with two TRIF initiatives, applicants will have the option to select two initiatives. If the proposal does not align with any of the TRIF initiatives, please select "none".

## TRIF Initiative Priority Funding Areas:

1. Improving Health
   a. Technology for Health
   b. Aging & Resilience
   c. Infectious Disease & Microbiome Sciences
   d. Precision Medicine & Omics
   e. KEYS & Engaged Training
2. Water, Environmental and Energy Solutions
   a. Building Resilience from Environmental to Human Health
   b. Future-Proofing Arizona Water
   c. Observation Systems for Resilience Monitoring & Modeling
   d. Resilient Systems Integration
   e. Adaptable Desert Communities, Culture & Ecosystems
   f. Fostering Leaders in Resilience
3. National Security Systems
   a. Advanced Communications Systems
   b. Cyber Defense
   c. Cyber Exploitation
   d. Advanced Energy Systems
   e. Human-Computer Interactions
   f. Novel Materials
4. Space Exploration and Optical Sciences
   a. Frontiers in Space Exploration & Optical Sciences
   b. Optical Sensing & Display for Human-Centered Intelligent & Autonomous Systems
   c. Quantum Technology & Systems Engineering
5. Access and Workforce Development
   a. Expanding Undergraduate Research Opportunities
   b. Supporting Diverse Graduate Student Researchers
   c. Inclusive Mentoring for a Diverse Research Workforce
   d. Building Pre-College Interest in Research & Technical Careers
   e. The Community College to Four-Year University Transition
6. Innovative Technology for the 4th Industrial Revolution
   a. Advanced Manufacturing
   b. Artificial Intelligence
   c. Cyber-Physical Systems
   d. Internet of Things (IoT)
   e. Data Sciences
   f. 4th Industrial Revolution Workforce Development

For the most recent Arizona Board of Regents (ABOR) TRIF Annual Report visit the ABOR site.

## B. Budget Preparation

Research Development Grants are intended for UArizona-related research expenditures. Awards may not be used to replace current sources of support for personnel, including salary and supplemental compensation. Please refer to Appendix A, Guidance for Expenditure of TRIF Funds to Campus, for more details on TRIF-related allowables. **No Research Development 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.

### Generally Allowable Costs

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 and tuition and fees (when applicable)
- Honoraria 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
- Domestic travel (international travel funding is only available in very well justified cases or as part of the International Research Grant program)
- Specialized equipment (capital and other) pertaining specifically to the project
- Proposal support e.g., graphic design, speaking coaches (for site visits), etc. above and beyond what is currently offered by RII
- Consultants may be used in very limited, exceptional, and well-justified cases.
- Extremely well-justified release for faculty with a greater than 2:2 teaching load OR faculty pursuing large/complex research efforts (this requires a letter of support from your department head and should be used judiciously). However, these discussions should begin in the home department/unit/college. Please note that we cannot utilize TRIF funds for teaching release, as such releases are provided through alternative funding sources. Hence the criteria for extremely well-justified cases.
- F&A does not need to be included

In addition to direct cost items mentioned above, RII Core Facilities use credits may be requested.

### Publication Costs

Please do not include publication costs in the budget unless the funds will be expended during the period of performance. A separate Publication Grant is available for recipients of Research Development Grants or other TRIF-related funding.

RII may request that proposal budgets are revised prior to award. This includes potential revisions to the total award amount. Generally, if a budget amount is reduced a reduction in scope will also occur.

In general, Research Development Grants should not be used to supplement existing faculty start-up. Applicants with significant start up may apply in very well justified cases and must explain how access to Research Development Grants will enable new, interdisciplinary discovery or a proposal with significant return on investment.

## C.  Eligibility

Research Development Grants are open to University of Arizona eligible Principal Investigators/Project Directors/Co-Principal Investigators (hereafter called "PI designation"). For more information on whether you meet the PI designation, please visit the Research site. Please note that in general**, Research Development Grants are designed for Tenured/Tenure Eligible Faculty; Continuing/Continuing Eligible; Career Track; and Research Scientists (only these four categories of eligible investigators can apply for TRIF funds)**.

Postdoctoral Fellows are advised to seek funding through the Postdoctoral Research & Development Grants sponsored by the Office of Postdoctoral Affairs.

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

The purpose of these awards is to encourage developing research projects for extramural grant funding. As such, applicants are only eligible to receive one award per cycle as PI and one award per cycle as Co-I. Choose judiciously and prioritize submission to the most applicable competition for a given funding need. Prospective Applicants who have not fulfilled Final Progress Report and Review Service Commitments (per the RII Project Funding Agreement) are at a competitive disadvantage until these requirements are complete.

## D. Proposal Submission

Proposals must be submitted through Arizona Cultivate by no later than 5:00 pm MST on the date of the deadline listed 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 not accept applications after the deadline.** There have been instances of application failure when submitting minutes prior to the 5:00 pm deadline. To ensure successful submission, RII recommends submitting your proposal no later than noon on the deadline date.

**Applications that do not meet the submission deadline will not be accepted. There are no exceptions, please plan accordingly.**

Proposals must be linked to the PI's name and official UArizona email address. 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. Please do not simply have the proxy submit in your name. Instead, follow the steps to give proxy. Failure to do so can cause Arizona Cultivate to not accept your submission. If you have questions, email resdev@arizona.edu.

RII Research Development Grants do not require UAccess Research routing or UArizona Sponsored Projects & Contracting Services approval prior to submission. However, all proposals require

documentation from the appropriate review and approval from relevant research administrator, fiscal officer, or business manager.

# E. Proposal Processing & Review

==Proposers should allow up to three months for proposal processing, review, and notification==. 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. At this stage, applicants will only be notified if their proposal will be returned without review.

## Review

Review is conducted by UArizona faculty and qualified staff. The following criteria will be considered:

- Overall Impact & Significance: Evidence of the project to address identified gaps in knowledge, initiate new research or scholarly activity, and how the project will explore novel, creative, or potentially transformative concepts
- Fit to FY Research Priorities: see the Introduction, items 1-4
- Budget & Return on Investment: Fit and reasonableness of the budget to the scope as well as the feasibility of the plan to pursue external funding and the likelihood of a competitive proposal and/or technology transfer (patents, licenses, startups, etc.)
- 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, including alignment with institutional priorities. Where applicable, alignment of proposals with UArizona's TRIF plan will be considered.

## 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.

# F. Award & Post-Award Processes

## Notifications

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. Note that it can often take up to one week to send all notifications after funding decisions have been made. The review and funding decision process can take anywhere from two weeks to three months, pending the award.

## Funding Agreement

Once notifications are sent, the Internal Grants Administrator will route a Project Funding Agreement to PIs and their business officer or equivalent via **Adobe Sign**. If the business officer differs from the application, please reply to the notification to indicate the updated contact information. The filled and signed form are required to initiate the account setup and transfer of funds.

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.

## Award Deliverables

RII Research Development 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, and
- Serve as a reviewer on at least two RII competitions over a three-year period.

## Award Period of Performance

Awards span the fiscal year and run from July 1 through June 30, unless otherwise noted. Workshop grants have a nine-month award cycle, equipment grants must be expended in the Fiscal Year in which they are awarded. Multi-year projects are unavailable.

## Financial Account Creation

The RII Business Center creates the financial account after the funding agreement is signed by the PI and the business office. The full amount of the budget is transferred into the cash style account.

## Account Management

Financial Services Manual **6.10 Account Management** identifies account roles and responsibilities. For internal awards, the principal investigator assumes full responsibility for all activity on the account.

**The principal investigator and fiscal officers are responsible for ensuring that all expenditures from the account are:**
- For the benefit and purpose of the account
- Authorized in accordance with university policies, state and federal laws and regulations
- Charged to the appropriate object code
- Fall within the available balance of the account
- Fall within the period of performance of the account
- Documented and approved according to UA business practice

**The principal investigator and fiscal officers are responsible for ensuring that:**
- The account is reconciled in a timely manner, i.e., within 30 days of receiving the month-end report. See the **UA Financial Services Office Manual** for account management requirements.
- Immediate action is taken to resolve any errors or discrepancies noted during report reconciliation and to follow up to ensure that errors are corrected
- The account is updated for changes in authorized signers and other account information
- Copies of supporting documentation for all activity processed on the account are maintained according to **UA record retention guidelines.**

## Expenditures

Properly charging expenses to internal award is a critical aspect of staying on budget.
Expenditures must be:

- **Reasonable:** A cost is reasonable if, in its nature and amount, does not exceed that which would be incurred by a prudent under the circumstances prevailing at the time the decision was made to incur the cost.
- **Allocable** to the internal award: A cost is allocable to an internal award if (1) it is incurred solely to advance the work under the internal award; or (2) it benefits both the internal award and other work of the institution in proportions that can be approximated through use of reasonable methods.
- **Given consistent treatment** throughout the institution.

## Overexpenditures

Responsibility for clearing overexpenditures on internal award accounts belongs to the principal investigator and department head.

## Budget Deviations

The budget is an estimate of the spending plan for the project. Often, actual spending varies from the categorical budget breakout. However, budget deviations that change the scope of the project are unallowable. A greater than **25% budget deviation (for Development funded awards)** and **10% budget deviation (for TRIF funded awards)** is not allowed and **must** receive approval via the appropriate contacts under section H.

## Extensions

While RII 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 the appropriate budget administrator (**listed below**) for additional information.

## Financial Reporting and Account Close-Out

The appropriate Post-Award Administrator (see Section H) will initiate account closeout after the project's termination date in coordination with the unit's business administrator. A review of expenses will be performed to ensure all expenses that posted after the end date were incurred prior to the termination date of the award. Any expense initiated after the project award termination date are unallowable and should be removed from the financial account.

# G. Reporting

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

## Internal Final Reports

Final reports are due within one month of the award's end date. PIs must submit final reports via Arizona Cultivate. Final reports are submitted via textbox, and therefore, special characters are discouraged. If you require the use of special characters, please contact us. Multi-year projects are

required to submit annual progress reports with similar information. Reporting requirements include the following:

- Start & End Dates of Funding
- Project Title
- Outcomes: 750 words. A statement on the research findings, creative or scholarly activity completed, and their impact (who will use or benefit from these outcomes, and how?)
- List of Submitted Proposals: 500 words. Include the following information: proposal title, funder, program name, solicitation number, UAccess Research document number (if applicable), requested amount, and status. If you have not completed a proposal, enter "N/A" and you must complete the Proposal Development Plan section.
- Proposal Development Plan (applicable only if you have entered "N/A" above): 500 words. If you have not submitted a proposal, enter proposal development plan including targets and dates.
- Partnerships & Collaborations Developed: 500 words. Describe an identify the new partnerships that have been developed due to this funding. These may include new research/scholarly partnerships, institutional 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 (Completed or In Progress): 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.
- Optional upload including quotes (from students, participants, etc.), images, links to video or other media, etc.

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

## TRIF Final Reports

For TRIF funded awards – as indicated in the notification email and in the "Funding Initiative" selection in the Funding Agreement form – recipients will be required to respond to the ABOR TRIF report survey in addition to submitting an annual internal report. Research, Innovation & Impact will contact recipients about the TRIF reporting survey, which typically must be completed by June 30.

## Acknowledgment of Award

Investigators, and any others, benefiting from this funding must credit the University of Arizona Research Development Grant program, Research, Innovation & Impact, and where applicable, the respective TRIF initiative, in any applicable papers, products, or presentations. Please indicate the year of award in your acknowledgment.

## Acknowledgment Templates

Please use the following acknowledgment templates.

### *Development Funded Projects* (non-TRIF funded):

Support was provided by the [YEAR OF AWARD FUNDING] University of Arizona Office for Research, Innovation and Impact [AWARD NAME].

*TRIF-Funded Projects* (Access & Workforce Development, Improving Health, Innovative Technology for the 4th Industrial Revolution, National Security Systems, Space Exploration & Optical Solutions, and Water, Environmental and Energy Solutions):

> Support was provided by the [YEAR OF AWARD FUNDING] Technology Research Initiative Fund/ [INITIATIVE NAME] Initiative administered by the University of Arizona Office for Research, Innovation and Impact, funded under Proposition 301, the Arizona Sales Tax for Education Act, in 2000.

## H. Questions & Contacts

Proposal Submission & Annual Technical Reporting:

> Danielle Barefoot, Program Administrator, Internal Grants
> Research Development Services
> ResDev@arizona.edu
> (520) 621-8585

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

> RII Commitments Team
> RII-Funding@arizona.edu
> (520) 621-6060
>
>> *General Inquires, Water, Environmental and Energy Solutions, National Security Systems, Space Exploration and Optical Sciences, Access & Workforce Development, and Innovative Tech for the 4th Industrial Revolution

Improving Health TRIF Initiative Post-Award: Award Processing & Budget Questions (including no-cost extensions and budget revisions)

> Kate Riley, Director, Finance-Operations
> BIO5 Institute
> ksriley@arizona.edu
> (520) 626-3967

# Appendix A: Guidance for Expenditure of TRIF Funds to Campus

Updated July 2023, Prepared by the RII Commitments Team, rii-funding@arizona.edu

1. Funds allocated through TRIF funds may NOT be used to support business/administrative positions.
2. TRIF dollars may not be spent simply to cover activities that are already part of our daily business—we must be able to point to discreet, new activities funded by TRIF.
3. TRIF funds should not be used to pay salary and ERE costs of individuals whose work was previously paid for by appropriated funds. More specifically, we can't use TRIF funds to replace funds lost to budget cuts. Prior audit findings demonstrate that ABOR intends for TRIF money to be put toward new activities, not to the functions they view as already in place. Thus, the administrative/business functions of the initiative are subsidized by the university.
4. Partial funding of faculty salaries or supplemental compensation (as allowed by UA policy), using TRIF dollars, may be allowable if such expenditures relate to new TRIF activities. Keep in mind that ABOR is expecting us to use TRIF dollars to bring in new people, or bring together new teams of people who would not otherwise be working together, to work on specific NEW projects. TRIF monies must **NOT** be used to pay an existing faculty member to do something close to what they'd already be doing in the absence of a TRIF project.
5. Individuals who were previously paid from externally funded research grants and contracts may be paid from TRIF funds if they undertake new activities. Make sure you document the TRIF work people are doing, through their job description or some other mechanism.
6. We report our budgets and expenditures to ABOR in the following broad categories: (1) Personnel services for faculty, staff (as defined above) and students (including ERE); (2) Operations (including travel and capital equipment); (3) Student support (scholarships and fellowships); and (4) Capital projects (construction / debt service / major renovation & remodeling exceeding $100,000).
7. Budget reallocation is allowable if the revision is 10% or less of the total budget amount with unchanged scoped of work. Exception will need to be reviewed further by TRIF leads.
8. Using TRIF funds for capital projects requires VP Research Office approval, because ABOR has imposed a ceiling on such expenditures at the institutional level.  Any anticipated expenditures of this nature must be proposed ahead of time to allow for discussion among programmatic and financial leadership, and for submission of relevant information to ABOR for approval (via the business plan).
9. Carryover of funds from one fiscal year to the next is not permitted and needs additional review for exception requests.
10. The budget for TRIF funds is based on a projection of state sales tax revenue.  We are subject to mid-year budget reductions when sales tax revenues fall short of projections.
11. TRIF funds are Public Funds. The determination of the allowability of expenditures on TRIF funds should be guided by the following questions: (1) Are the expenditures related to the initiative? (2) Are the expenditures supported by the business plan? and (3) Would the expenditures stand up to public scrutiny?  The University encourages us to use the guidelines for expenditure of state funds as a general rule for TRIF funds, but certain types of expenditures not allowable on state funds (for example, food for conferences or workshops, employee relocation, student support expenses) can be allowed where they are clearly supported by the business plan and are clearly supporting the goals and objectives of the initiative.
12. Budgeting and accounting for the initiative are handled by RII Commitments Team (Khuyen Stroud & Lily Tomas). ALL budget loads, budget transfers, and new account requests, account extension, budget-reallocation must be approved by that office.