

LARGE PROPOSAL POLICY

Rationale

“Large” proposals at the University of Arizona often involve complex budget structures, compliance issues, and increased demands on institutional infrastructure, personnel and capital assets. These proposals are of great value to the Institution but present potential risks. The policy/procedure for preparation and management of “Large” proposals is designed to optimize the University’s ability to compete and manage projects from inception to closeout, and to reduce risk to the institution and investigators.

Policy

Applicability/Procedure

This policy applies to new proposals, including preliminary proposals, with total costs greater than \$15 million. NIH Program Projects and NIH Center Grants are exempted from this policy. The Office of the Vice President for Research may exempt other types of proposals on a case-by-case basis. The Office of the Vice President for Research may request Large Proposal meetings at their discretion.

The department or investigators initiating the large proposal should contact the Office of the Vice President for Research to arrange a “Preliminary Meeting” of the investigators, Sponsored Projects, ORCA, College/Department business staff and compliance units (IRB, IACUC, Radiation Safety, etc.), as appropriate. This “Preliminary Meeting” should take place well in advance of the proposal deadline, preceded by providing the participants with a written overview of the project to facilitate discussion. The meeting will cover policy topics and common issues on large projects, including but not restricted to: budget, facilities/space, project deliverables, direct/indirect cost distribution, institutional matches/cost sharing, on- vs. off-campus issues, subcontracting, conflict of interest, potential compliance issues if relevant, and other institutional policies that may impact the proposed project. .

Sponsored Projects will assign a single proposal specialist to be the point person for the University on the proposal. This individual will attend all necessary meetings, and will work with the PI/Department on budget review, and assure that all issues identified in the “Preliminary Meeting” are addressed. The SPS proposal specialist will keep documentation from all meetings and proposal checks in the SPS proposal file.

Time Line

Notify Sponsored Projects of your intent to submit a proposal as soon as possible. A preliminary proposal meeting should be scheduled 6 weeks prior to the proposal deadline.

For RFPs with less than 6 weeks lead time, notify Sponsored Projects of your intent to submit the proposal, and we will plan the meeting based on the RFP and the size of the proposal.

For large space missions:

4-6 months prior to deadline: preliminary review meeting

2-3 months prior to deadline: initial budget reviews (draft stages)

4-6 weeks prior to deadline: final budget review/corrections

Participants

Proposing Team: PI, Co-PIs, Technical and Business Project Management Staff, Department and College representatives

Compliance: SPS, ORCA, VPR, specific compliance representatives (as needed), and central administration representative as appropriate.

Training

Key participants will undergo training as appropriate in their areas of responsibility for proposals that meet the applicability threshold, but training can also be conducted at the request of any department or college if requested.

Management of Funded Proposals

When large proposals are funded, the Office of the Vice President for Research will initiate an award kick-off meeting to review the award documents, changes/reduction in funding or scope and plans to move forward. This meeting will include relevant participants from the "Preliminary meeting(s)", and the SPS post award fund accountant(s) that will oversee the award. To effectively manage the project, SPS will provide an annual e-mail questionnaire to the PI and/or their business staff, and an informal interim financial report (budget vs. actual). The e-questionnaire will address topics such as:

- Change in Scope
- Effort Reporting
- Progress of Subcontracts
- Off-campus space/renovations
- Budget forecasting issues to date
- Anticipated overruns
- If account(s) are in deficit, plan to remedy

-Responsiveness of business office – are the FRS account reports timely, PELs, etc?
-How can the University help with the goals/objectives of the award?
Meetings/review sessions will be conducted, as needed, through the life of the award.

Senate Research Policy Committee, May 11, 2007

Tommy Bruce, ASUA
Michael Cusanovich, Biochemistry (Chair)
Boris Glebov, GPSC
Stanley Pau, Optical Sciences
Paul St. John, Cell Biology and Anatomy
Charles Sterling, Veterinary Sciences
Cynthia Thomson, Nutritional Science