

## Policy and Procedure for Applying for Limited Submission Funding Opportunities

Effective Date: 9/15/2017

### GUIDELINE OBJECTIVE

Due to the large number of programs that prescribe institutional submission limits, it is not possible for the Office of Research and Sponsored Programs (ORSP) to provide notification of every limited submission opportunity. Therefore, **it is the responsibility of the principal investigators to notify the Office of Research and Sponsored Programs of their intent to submit an application to a limited submission opportunity.** Upon notification, ORSP will distribute the limited submission opportunity announcement to appropriate members of the University Research Advisory Committee (URAC), College research leadership, and/or Department Chairs to solicit any potential interest on the part of other faculty members. In order to be considered for limited submission opportunities, Principal Investigators must coordinate with ORSP following the procedures outlined below. Failure to comply with these procedures may result in a denial of approval for submission.

### GUIDELINE STATEMENT

#### A. Notification of Intent to Apply for a Limited Opportunity Submission

- Principal Investigators (PI) interested in a limited submission opportunity must indicate as such in writing to their assigned Pre-Award Specialist or the Grant Development Specialist in ORSP and receive written confirmation from ORSP of their interest in the limited opportunity.
- ORSP will be notified by the PI at least 4 weeks prior the submission deadline.
- Upon notification, ORSP will distribute the funding opportunity announcement to appropriate members of the University Research Advisory Committee (URAC), College Leadership and/or Department Chairs to solicit any potential interest on the part of other faculty members.
- In order to be considered for limited submission opportunities, Principal Investigators must coordinate with ORSP following the procedures outlined below. Failure to comply with these procedures may result in a denial of approval for submission.
- ORSP will ascertain interest in the solicitation/opportunity from other parties and establish parameters and deadlines for an internal competition to select PIs for submission approval.

#### B. Selection of Projects

- If the number of interested applicants is fewer than the number allowed by the sponsor, then the normal process for submission will be followed.
- If there are more prospective applicants than the numbers of submissions allowed, then ORSP will request that all interested PIs forward a 3-page summary of their proposal and a current CV for the PI, co-PI and Senior Personnel.
- An ad hoc advisory committee will be convened to review and evaluate the documentation.
- Evaluation criteria will include, but not be limited to, quality of the proposal and the work described therein, probability of successful funding, and support of the mission of the University. Other selection criteria utilized will include the published guidelines for the appropriate funding opportunity announcement.

- The AVP of Research and Sponsored Programs will have final decision making authority for the selection of PIs approved for application submission to all limited submission opportunities.

### **C. Full Proposal Submission**

- PIs selected for approval will submit proposals or pre-proposals in accordance with the funding opportunity announcement through ORSP following normal submission procedures.

### **D. Competitive Renewal/Continuation Request**

- Priority will be given to competitive renewals or continuation requests providing that evidence is presented that the past reviews, reports, productivity, performance and accomplishments of the prior award indicate enhanced likelihood for award success.
- A decision not to give priority to a competitive renewal can be based upon poor performance and reviews suggesting diminished likelihood for success and/or highly compelling arguments for a highly competitive new proposal.

### **E. Resubmission**

- If a proposal is submitted for a limited submission opportunity and is not funded, that proposal will have no *de facto* preference over other projects in any subsequent limited submission opportunities.
- In order to be considered for a resubmission, the requester must provide the reviews and a statement of how the reviewers concerns and criticisms will be addressed. This documentation is required in addition to the 3-page summary and CVs as described above in section B. The resubmitted proposal will be evaluated against competing projects.

### **F. Penalty Clause – Failure to Submit upon Approval**

- PIs or academic units (departments/Colleges) who are selected via the competitive process but who fail to submit a proposal may forfeit the right to compete or submit future proposals to a limited submission funding opportunity. The AVP for Research and Sponsored Programs will ascertain the circumstances resulting in delinquency and will make the determination of the severity of the penalty on a case by case basis.

### **Guideline Contact**

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