**California State University, Fullerton**

**Office of Research and Sponsored Projects**

**Limited Submission Policy and Procedure**

PURPOSE and DEFINITION

Various funding agencies place limits to the number of letters of intent (LOI), pre-proposals or full proposals that an institution can submit in response to *Request for Proposals* (RFP), *Funding Opportunity Announcement* (FOA), *Broad Agency Announcement* (BAA), etc. in a given funding cycle. Submissions that limit the number of proposals that an institution can submit are those we refer to as “**Limited Submission”** opportunities.

This policy has been established in order to prevent any potential disqualification of submissions by the CSU Fullerton Auxiliary Services Corporation (ASC) or California State University, Fullerton (CSUF). This policy applies to all grants and contracts including awards made directly to faculty members, with the exception of the National Endowment for the Humanities Summer Stipend Program, which will continue to be coordinated through the Office of the Dean of Humanities and Social Sciences (HSS).

POLICY

Due to the large number of available programs, it is not possible for the Office Research and Sponsored Projects (ORSP), Research Development (ORD), or Grants and Contracts (OGC) to provide a regular, exhaustive, list of announcements with limited submission restrictions, or to send advanced notification of *every* limited submission opportunity. Therefore, it is the responsibility of the principal investigator (PI) to notify ORD or OGC if s/he intends to make an application to a limited submission opportunity. Upon notice, OGC will distribute the funding opportunity announcement to campus to solicit any potential interests from faculty members. In order to be considered for limited submission opportunities, a PI must coordinate with OGC as provided in the procedures outlined below.

PROCEDURE

**A. Federal, State and other Public Funding Agencies**

1. A Principal Investigator (PI) interested in submitting a proposal in response to a limited submission opportunity from a federal, state or other public entity must provide notification to the ORSP (via ORD or OGC) *at least 90 calendar days* prior to full proposal submission deadline. Upon receipt of notification and review of submission guideline, the OGC Director or Assistant Director will send an email to college deans and identified unit administrators to alert campus of such interest, to request the College Deans and Unit heads to disseminate information, or to inquire if there are other interests from faculty within their respective units. An internal deadline for responses will be specified in the notice.

If ORSP receives faculty interest for a limited submission opportunity *within 60 calendar days of sponsor’s full proposal deadline*, then the faculty who first expressed interest in such limited submission will have priority.

2. The Dean or Unit head and/or designee shall notify the OGC by the deadline provided in (1) if s/he receives any interest from his/her faculty or staff within his/her unit. No response is necessary if there are no interests received within his/her unit.

3. Immediately following the deadline set, OGC Director or Asst. Director will send a follow up notification to alert all concerned about the resulting inquiry.

1. If the number of interest(s) is less than the limit of number of proposals allowed, then no further action is necessary. Proposals will be processed following the university’s standard process.
2. If there are more interests than the limit of number of proposals allowed, a selection of the project(s) that will move forward will be necessary.

4. Selection of Project(s)

a. A PI interested in submitting to a limited submission opportunity must submit a summary of the proposed project (no more than 2 pages), a list of his/her current and pending support, and biographical sketch to the Associate Vice President, ORSP (AVP-ORSP).

b. The AVP-ORSP will discuss the projects with the Dean(s) of the college(s) involved. After consulting with the Dean(s) and other university officials (as applicable), the AVP-ORSP will make the final decision on selection of the project(s) to be put forth on behalf of the university. Evaluation criteria will include, but not limited to: quality of the proposal and work described therein, probability of successful funding, and support of the mission of the university.

4. Proposal Submission

Project(s) selected will result in LOIs, pre-proposals or proposals submitted by the OGC, following standard university submission process and in accordance with sponsor guidelines.

5. Resubmission

a. If a proposal is submitted for a limited submission opportunity and is not funded, that proposal will have no preference over other projects in any subsequent limited submission opportunities. However, preference will be provided for a proposal that received favorable reviews and was invited for resubmission.

b. If a special arrangement among interested PIs, deans and AVP-ORSP is agreed upon in the decision of which proposal to put forth during the selection process, that arrangement will be honored.

**B. Private Funding Agencies**

1. A PI interested in submitting a proposal in response to a limited submission opportunity from a private foundation, non-profit organization or other private entity will need *prior clearance* from University Advancement (UA). The PI must notify OGC or the college/unit’s Director of Development (DoD) *at least 90 calendar days*prior to full proposal deadline.

2. Upon receipt of notice from the PI, the DoD or OGC will secure clearance from UA. The clearance process takes into account a proposed project’s chance of success and its alignment with the University’s strategic goals.

3. When clearance is received, the proposal(s) will be processed and submitted in accordance with sponsor guidelines following university’s standard submission procedures.