

University Policy: Limited/Restricted Proposal Submissions

Policy Category: Grants and Contracts Policies

Subject: Limited/restricted proposal submissions to sponsor agencies.

Office Responsible for Review of this Policy: Vice Provost for Graduate Studies and Research

Procedures: TBD

Related University Policies: OSP: [Principal Investigator's Handbook \(PDF\)](#)

I. SCOPE

This policy specifies the University's process to determine which proposal(s) will be submitted to a sponsor agency when the sponsor limits or restricts the number of proposals or applications it will accept from American University for sponsored funding consideration.

II. POLICY STATEMENT

The purpose of this policy is to ensure appropriate consideration of all proposals or applications intended to be submitted to a sponsor that restricts or limits the number of proposals or applications it will accept from American University for funding consideration.

III. DEFINITIONS

Limited/Restricted Proposal:

A limited/restricted proposal is proposal process that includes a statement specifying the maximum number of proposals or applications that a sponsor will accept for sponsored funding consideration.

IV. POLICY

Some federal and private sponsor agencies limit the number of proposals or applications an institution (or components of the institution) is allowed to submit for funding consideration. Therefore, it is necessary for American University to have a limited submission policy to establish an appropriate process for determining which proposal(s) have the best fit with the agency's call and will be submitted to the sponsor. Sponsors vary on how they impose such a limitation, for example, limiting an institution to 1-3 applications for the entire institution, only allowing 1-3 applications per major unit or school within the institution, or by limiting the number of applications a department within the institution may submit. Due to the variations in sponsors' specification of limited submission requirements, the Office of Sponsored Programs (OSP) coordinates all limited/restricted submissions processes for academic units at American University.

Basic Principles

- Prior to the sponsor's program deadline, OSP will provide an announcement summarizing the program and will distribute the announcement to all academic units at the University. The announcement will outline the procedures by which interested applicants can apply, including an internal deadline for submission of required materials for the preliminary evaluation of applicants.
- Unless otherwise advised, interested faculty or staff will be required to submit of an abstract (often limited to 1-2 pages) of the proposal, a biographical sketch, preliminary budget, and a brief statement of how their proposal/application contributes to (a) the mission of the program sponsor and (b) the academic mission of American University.
- As soon as the internal deadline has passed, OSP will provide all submitted materials to the Vice Provost for Graduate Studies and Research (VPGSR). The VPGSR will convene an internal faculty review group based on the content of the restricted/limited program to select the proposal(s) to be submitted to the sponsor. Members of the internal review group provide feedback and recommendations to the VPGSR, but the VPGSR is empowered to make the final decision regarding the application(s) to be submitted to the sponsor.
- Members of the internal review group will review the submitted materials and rate them using criteria including: Fit with the call for proposals, fit with the research mission of the University, overall quality and feasibility of the proposal, innovation, likelihood of selection by the sponsor, and potential to leverage additional external funding. The VPGSR will also consider applicants' histories of past proposal submissions and awards in making the final selections.
- Once final selections are made, OSP notifies all candidates of the outcome of the internal review process. Applicants should note that written feedback or summary statements are not available from such reviews.

For programs which are limited to a specific school or department, the Office of Sponsored Programs works with appropriate administrative contacts in those units on coordination of the limited submission preliminary review process.

While OSP makes every effort to identify proactively all restricted/limited programs well in advance of their published deadlines, many new programs are added by sponsor agencies each year. Faculty and staff who identify such programs directly should immediately contact the Director of OSP so that the appropriate internal review process can occur. Approval for submission to such programs is not granted on a first-come, first-served basis.

Exceptions to this policy must be approved in advance by the VPGSR.

V. EFFECTIVE DATE(S)

This Policy is effective **September 27, 2012**.

VI. SIGNATURE, TITLE AND DATE OF APPROVAL

This policy needs to be signed by the appropriate officer (listed below) before it is considered approved.

Approved:

Provost: 

Date Approved: 9/27/12