

**Effective: 8-25-2009**

**Limited Submission  
Grant Application Policy  
Office of the Vice President for Research (OVPR)**

**Policy**

Funding agencies (sponsors) may place limits on the number of letters of intent or proposals that any one university may submit in response to a funding opportunity announcement (commonly referred to as Request for Proposals – RFP). The following policy is designed to support an equitable review process while preventing any potential disqualification of submissions by Auburn University due to more than the allowed number of applications being submitted.

*Internal Procedure:*

The Office of Sponsored Programs (OSP), Pre-Award Services, is constantly searching for limited submission RFP's from our primary funding agencies and those RFP's that might be particularly relevant to research at Auburn regardless of the funding agency. Opportunities will be posted on the Office website and distributed through an e-newsletter to the Associate Deans for Research. A notice will be placed in AUDaily notifying Investigators to check the website.

However, please be aware that the Office may not identify every opportunity available. Anyone who wishes to apply to a limited submission RFP that is not posted on our website or funding opportunity e-mail should contact OSP immediately (currently by contacting Marc Haon at [haonmar@auburn.edu](mailto:haonmar@auburn.edu)). This e-mail should consist of the PI's name, name of the grant competition, and a copy or a link to the program announcement. It is important for colleges not to assume a limited submission grant program is only relevant to their own faculty. Failure to send this notification may result in disqualification of an applicant for that grant competition.

Once received, OSP will review the guidelines, establish appropriate internal review dates, post the RFP to the website and publish it in the newsletter.

Each applicant will be required to submit a pre-proposal (white paper.) that is responsive to the RFP.

The entire pre-proposal should be combined into one PDF when e-mailed to OSP (currently to Marc Haon) on the date and time prescribed. Submissions received after the deadline will not be accepted. This will ensure that OSP has adequate time to review all of the pre-proposals and that the PI(s) selected to apply will have sufficient time to complete a full proposal.

## Effective: 8-25-2009

### *Selection:*

A committee, generally composed of four to five Associate Deans for Research, will serve as the review panel. When deemed appropriate, at-large faculty experts may be identified to serve as needed.

The committee members will individually review and score the pre-proposals and then meet to discuss their scores and make a selection. In extreme circumstances only, where there is a uniform decision by all members of the committee, reviews will be circulated to all members by email with a request to indicate whether: a) a committee meeting is needed or b) if the results can be recorded based upon the emailed reviews. Any committee member may convene the committee for a formal meeting.

Once the committee has determined which proposals merit further consideration, the results of the deliberations will be forwarded by the OSP designee to the Associate Vice President for Research. Once a final decision is confirmed by the OVPR, information will be provided to applicants and their respective Associate Deans for Research by the Associate Vice President. Each applicant's reviews will be provided to them and their respective Associate Deans as appropriate.

Once the successful applicants have received e-mail notification and confirm that they wish to proceed with application submission, they will be put in contact with the appropriate contract administrator within OSP to help facilitate any needs they might have in the development process.

This process will be followed for most down-select / limited submission applications. In situations where there is insufficient time to convene a panel, the OVPR may identify alternative procedures to ensure greatest Auburn flexibility and competitiveness.

### *Withdrawal of selected applicant:*

If a selected applicant(s) withdraws his or her proposal, the applicant(s) who received the next highest ranking will be notified that they may commence with developing a proposal. Notification of withdrawal should occur as early as possible. Any Investigator, who withdraws with limited notice and without extreme extenuating circumstances, will be identified in the OVPR database as a risk for future limited submission competitions and reviewers notified accordingly. The OVPR will also follow-up directly with the appropriate Deans and Associate Deans for Research regarding formal/potential sanctions.

### *Submissions without OSP approval:*

If a PI submits a proposal without following these procedures and fails to obtain OSP's approval prior to submission, the University will withdraw the unauthorized proposal.

# Effective: 8-25-2009

## Pre-proposal Format

Unless otherwise identified, internal pre-proposals will be limited to one (1) to two (2) pages in length, with one-inch margins, single spacing, and 12 pt font, and must include:

1. Title of proposal
2. Name of Principal Investigator
3. PI's Department Name
4. PI's e-mail address
5. PI's inter-office address
6. Primary Participant(s) / Department Affiliation / Relevant Research Area  
(Sample: Jane Doe, Mechanical Engineering, Motor Sports)
7. Project Summary
8. Summary of impact on current and future instructional and research activities
9. Total Cost (include and identify cost sharing if applicable)
10. Current and Pending support for the principals

A maximum two (2)-page vita of the principal investigator must accompany the pre-proposal.

Appendices should not be included with the pre-proposal.

Note: Exceptions, if any, to the Standard Format for Internal Pre-Proposal Submissions will be listed in the "Exceptions" field of the individual limited funding opportunity.

## Review Criteria:

Internal pre-proposals will be reviewed based on the following criteria:

1. Does the project address the program objectives in the solicitation?
2. Does the project fit with agency's primary thrust?
3. Is the pre-proposal well written? Is it clear and concise? Does it explain the project thoroughly?
4. Is the Investigator(s) able to adequately conduct the proposed scope of work? A review of the current & pending support for the participants will be reviewed and evaluated as applicable.
5. A brief summary statement for each application will be compiled identifying strengths and weaknesses of the proposal to be returned to the individual applicants.
6. Information on Auburn or other strategic concerns that may impact the selection process may be provided to reviewers by the OVPR prior to deliberations.

Please note: These standards/criteria may be modified for individual funding opportunities. Any such modifications shall be listed on the opportunity e-mail, website, and newsletter.