Navigating the Limited Submission Process

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Important for RAs to know:

- What a limited submission is.
- How to identify a limited submission.
- About the campus process.
- Where to go if you have questions.

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What is a limited submission?

- "A limited submission is a funding opportunity in which the sponsor places a limit on the number of proposals that may be submitted by an institution."

- Includes limits on number of proposals per School/College/Department (Excludes limits per PI).

- Requires institutional coordination.

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Identifying a Limited Submission

- Three Types:
  - Federal
  - Non-Federal
  - Invitation only
- Type may affect location and language of the limit in the solicitation.

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Federal

- A majority of the limited submissions that come through VCRO

- *Usually* easier to locate limit in solicitation (i.e., Eligibility section)

Example: NSF Scalable Nanomanufacturing (SNM) NSF 16-513

Eligibility Information

Who May Submit Proposals:

Proposals may only be submitted by the following:

- Universities and Colleges - Universities and two- and four-year colleges (including community colleges) accredited in, and having a campus located in, the US acting on behalf of their faculty members. Such organizations also are referred to as academic institutions.

Who May Serve as PI:

Principal Investigators must be at the faculty level or equivalent.

Limit on Number of Proposals per Organization: 1

An academic institution -- a university, or a campus in a multi-campus university -- may submit no more than one (1) proposal on which it is the lead organization in response to this solicitation. Potential PIs are advised to contact their institutional office of research regarding processes used to select proposals for submission. The same organization may be a collaborative partner in any number of other multi-organization group proposals in which it is not the lead. A proposal involving more than one organization must be submitted as a single proposal in which a single award is requested, with the managing principal investigator from the lead organization and subawards administered by the lead organization to any other participating organizations.

Limit on Number of Proposals per PI or Co-PI:

There are no restrictions or limits.

Non-Federal

- E.g., Foundations, Corporations
- *Can* be more difficult to locate limit

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Example: American Honda Foundation

Eligible Organizations:
Nonprofit charitable organizations classified as a 501(c) (3) public charity by the Internal Revenue Service, or a public school district, private/public elementary and secondary schools as listed by the U.S. Department of Education's National Center for Education Statistics (NCES).

To be considered for funding organizations MUST have two years of audited financial statements examined by an independent CPA for the purpose of expressing an opinion if gross revenue is $500,000 or more. If gross revenue is less than $500,000, and the organization does not have audits, it may submit two years of financial statements accompanied by an independent CPA's review report instead.

Geographic Scope:
National

Funding Priority:
Youth education, specifically in the areas of science, technology, engineering, mathematics, the environment, job training and literacy

Other Important Information:

- Organizations may only submit one request in a 12-month period. This includes colleges and universities with several departments/outreach programs
- The grant range is from $20,000 to $75,000 over a one-year period
- Proposals should be submitted online. Click here to start the online process
- No faxed applications will be accepted
- Support materials such as annual reports, pamphlets/brochures, newsletters, articles, DVDs, etc. should be mailed to the following address:

Invitation only

- Often from foundations

- Limit language will vary.

- Other notes about invitation only solicitations:
  - Invitation usually sent directly to a central campus office (e.g., VCRO, Chancellor's Office).
  - *May* not require traditional campus proposal submission process (e.g., submitted by VCRO instead of by SPO)

Example: Brain Research Foundation Fay/Frank Seed Grant Program

Brain Research Foundation 2016 Seed Grant Guidelines

Download a PDF version of the 2016 Seed Grant Guidelines.

Brain Research Foundation Fay/Frank Seed Grant Program

Brain Research Foundation has invited **eligible US institutions to nominate one (1) faculty member** to submit a Letter of Intent (LOI) for the Fay/Frank Seed Grant Program.

Brain Research Foundation's Annual Seed Grant Program was initiated in 1981. The purpose of our program is to provide start-up monies for new research projects in the field of neuroscience that will likely lead to extramural funding from the National Institutes of Health (NIH) or other outside funding sources.

Brain Research Foundation's Scientific Review Committee will review the seed grant proposals and make recommendations for funding to the Foundation. The Committee

Campus Process
(Submissions to VCRO)

- Announcements
- Internal competition
- Post-selection

Announcements

- Campus announcements
  - CALmessages to relevant faculty
  - CALmessages to Limited Submission mailing list
  - Direct emails to relevant unit heads for distribution
- Current Solicitations List
  - SPO Limited Submission webpage:

  http://www.spo.berkeley.edu/fund/limited.html

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Limited Submission webpage

UC Berkeley

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Research Administration and Compliance

Research Administration and Compliance | ACUC | COI | CPHS | SPO | Vice Chancellor for Research

Sponsored Projects

- SPO Home
- SPO Staff List
- Phoebe
- For PIs
- For Students
- Policies
- Procedures
- Forms
- Funding
- Proposal/Award Tracking
- Resources

Sponsored Projects Office

2150 Shattuck Avenue,
Suite #300
Berkeley, CA 94704-5940

510/642-0120
510/642-8236 (fax)

Limited Submission Programs

In limited submission programs, the sponsor restricts the number of applications or proposals a campus can submit to the agency. The guidelines for these programs require institutions to screen preproposals or nominations to determine which applications will be submitted for competition.

Limited Submission Cover Sheet

Current Solicitations List

Please note: The Office of the Vice Chancellor for Research makes every attempt to identify limited submission opportunities and provide information on limited submissions in a timely manner; however, if a researcher should identify a limited submission that does not appear to have been announced, please forward the program information as soon as possible to ltdsubs@berkeley.edu.

- Centers for Medicare and Medicaid Services (CMS) Accountable Health Communities (AHC)
- HRSA Telehealth Resource Center Grant Program
- Justice Department Funding Opportunities
- State Department Funding Opportunities
- FFAR New Innovator in Food and Agriculture Research Award
- CDC Study to Assess the Incidence of Type 1 Diabetes in Young Adults
- NEA Art Works, Art Works: Creativity Connects, and Challenge America Grant Programs
- St. Baldrick's Foundation Grants
- Feminist Review Trust Grants
- HRSA MCH Research Network on Promoting Healthy Weight among Children with Autism Spectrum Disorder and other Developmental Disabilities
- Justice Department OVW FY 2016 Legal Assistance for Victims Grant Program
- HRSA Ryan White HIV/AIDS Program Integrated HIV Planning Implementation
- State Department Democracy, Human Rights and Labor Internet Freedom
- CDC Early HIV Treatment to Optimize Patient Health and HIV Prevention
- NIEHS Outstanding New Environmental Scientist (ONES) Award (R01)
- Chau Hoi Shuen Foundation Women in Science Program
- NIH/NICHD Intellectual and Developmental Disabilities Research Centers (U54)
- Camille Dreyfus Teacher-Scholar Awards Program
- NSF Cultivating Cultures for Ethical STEM (CCE STEM)
- Justice Department Rural Sexual Assault, Domestic Violence, Dating Violence and Stalking Program
- State Department Programs to Support Legal Reform in Vietnam

On this page

- » Limited Submission Cover Sheet
- » Current Solicitations List
- » Limited Submission Campus Announcements
- » Limited Submission Applications
- » Current Solicitations Chart

Related Links

Limited Submission Cover Sheet

Limited Submission Archive

Limited Submission webpage

- Limited Submission Cover Sheet
- Current Solicitations List
  - Program information
  - Campus process
  - Key deadlines
- Instructions on how to notify VCRO of a limited submission if a campus process is not announced.
- Limited Submission Campus Announcements
  - Instructions on how to subscribe to the Limited Submissions mailing list.

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Current Solicitations List

- Contains **MOST** limited submission announcements but not all.

    - Excludes very specific opportunities, e.g., for specific departments, where the Dept. Chair has to serve as the PI.

- Should NOT be used as an indicator of whether an opportunity is limited or not. (Use the solicitation/program website!)

- If you find an opportunity that may be limited and is not on this list, PLEASE forward the solicitation to ltdsubs@berkeley.edu immediately.

    - There may be a campus process in place.

    - This may have been missed.

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Internal Competition

- Gauging campus interest
- Managed by VCRO
- Requests for
  - Notifications of interest/intent
  - Campus applications
- Instructions in:
  - Campus Announcements
  - Current Solicitations List

Campus Process Instructions

Campus process information is located at the bottom of CALmessages.

- Notifications of interest/intent usually require:
    - Opportunity name, Name of Lead PI, and Campus department/ORU to submit proposal (and other information depending on opportunity)
    - Usually submitted by PI but sometimes RA
- Campus applications usually require the following:
    - Limited Submission Cover Sheet (located on the SPO Limited Submission webpage), project description (3-5 pages), summary budget (1 page), and CV/biosketch of PI and Co-PIs (2 pages each)
    - Submitted by PI or RA
- Almost always submitted to ltdsubs@berkeley.edu
- **Required materials may change, so ALWAYS refer to the campus announcement for the required materials.**

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Example: Campus Announcement for NSF 15-528

Full Program Solicitation (NSF 15-528): Potential applicants should review the full NSF program solicitation at: http://www.nsf.gov/publications/pub_summ.jsp?WT.z_pims_id=505027&ods_key=nsf15528.

Campus Process: UC Berkeley may submit only one proposal as the lead organization. Send campus applications (instructions below) to the Limited Submissions email address (ltdsubs@berkeley.edu) by 5:00 pm on **January 4, 2016.**

Campus applications should be sent <u>as a single PDF file</u> that includes:

1) Limited Submission Cover Sheet, using the form at:
http://www.spo.berkeley.edu/Fund/limited.html

2) Project description (3-5 pages, including references), addressing separately the project's intellectual merit, broader impacts, and additional solicitation specific review criteria on pp. 8-9 of the full solicitation.

3) Summary budget (1 page)

4) Curriculum vitae or biosketch (2 pages) for each PI and Co-PI

Questions may be directed to Matthew Andrews at ltdsubs@berkeley.edu.

Application Deadlines:

January 4, 2016	Campus applications due to VCRO
February 8, 2016	Selected proposal due to SPO
February 16, 2016	Selected proposal due to NSF

LIMITED SUBMISSION COVER SHEET

- Use this cover sheet for campus applications being submitted in response to funding solicitations or nominations for awards that require campus internal review and selection. For more information, see http://spo.berkeley.edu/fund/limited.html.

- UC Berkeley campus review and selection is coordinated by the Vice Chancellor for Research Office.

- Submit the cover sheet and required application material as a single PDF to the Vice Chancellor for Research Office at ltdsubs@berkeley.edu, unless otherwise specified in the campus program announcement.

- **Please see the campus program announcement for program-specific instructions on the required material to submit as the campus application (http://spo.berkeley.edu/fund/limited.html).**

Principal Investigator or Nominee Name: _____

    Title: _____

    Email: _____ **Telephone:** _____

    Faculty Sponsor (if applicable): _____

Campus Department/ORU Submitting Proposal: _____

    Department/ORU Contact Name: _____

    Email: _____ **Telephone:** _____

Proposal Title: _____
_____

Other Information (if requested): _____
_____
_____

Agency Sponsor: _____

Agency Program Name: _____

Date Due for Campus Applications: _____

Date Due at SPO for Selected Proposal(s): _____

Date Due at Agency for Selected Proposal(s): _____

Principal Investigator/Nominee Signature:	
_____	_____
Signature	Date

Internal Competition/Selection Process

- Only when campus interest exceeds institutional limit
- VCRO initiates campus selection process
    - Ad hoc peer review committees
    - Decanal review (e.g., CoSED) – two to three per year

Post-Selection

- Decision notifications
  - VCRO sends decision notification email to each PI.
  - VCRO sends approval notification email to SPO/IAO and to Katie Hudson for CSS RA notification.

- Approval spreadsheet
  - VCRO also shares a limited submission approval spreadsheet with SPO and will update this following each approval notification.

- Phoebe system
  - RA should select "Limited Submission" as proposal type.
  - RA should upload VCRO approval notification *(Optional).*

Limited Submissions Questions

- To confirm if your PI is approved to submit:
  - Ask your PI for the approval notification from VCRO (ltdsubs@berkeley.edu)
  - Contact your SPO CGO.
- For other limited submission questions, contact VCRO Limited Submissions (ltdsubs@berkeley.edu).

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Takeaways for RAs:

- The role of the RA may vary.
- Understand the limited submission process to help PI, as needed.
- Internal competition:
  - Check the campus process/announcement.
- Proposal preparation:
  - Check limits and confirm PI's approval to submit.
  - Select "Limited Submission" as proposal type in Phoebe.
  - Ask PI for VCRO approval documentation to upload in Phoebe *(Optional).*

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