The University of Arizona
Limited Submissions Process

Introduction

Limited Submissions are funding opportunities in which the funder has limited the number of applications accepted from one institution or organization. Research Development Services (RDS) manages and facilitates limited submissions for federal and foundation opportunities for UA. Limited submissions are listed on the Limited Submissions Table with corresponding internal due date and external due date. All correspondence regarding limited submissions should be sent to limitedsubmissions@email.arizona.edu.

All internal limited submissions competitions are managed through UA Competition Space. Only pre-proposals received through this online platform will be accepted for limited submissions competitions unless otherwise noted in an announcement or on the Research Gateway website. Unless otherwise noted, internal pre-proposals are *due by 5:00p AZ on the internal due date*.

RDS designates limited submissions confirmed by the funder as either **Upcoming** or **Open**. **Upcoming** limited submissions are funding opportunities with a current internal competition. An **Open** designation means that the internal deadline has passed without any pre-proposals submitted for internal review. Once a limited submission is designated as **Open**, the first request for the institutional "Ticket" that RDS receives from an eligible principal investigator (PI) will be accepted as the institutional submission. All requests for institutional tickets must be sent to limitedsubmissions@email.arizona.edu, and the date and time stamp for messages received at this email address will determine selection priority. If the funder allows more than one application, applicants will be accepted for **Open** limited submissions in the order in which RDS receives them.

Limited submissions noted as **Anticipated** are for **Upcoming** internal competitions that have historically opened during a known time frame but have not yet been released by the funder. RDS pro-actively advertises and runs internal competitions for these **Anticipated** opportunities to maximize the time interested applicants have to craft a competitive proposal. If updated funder guidelines become available during the internal competition, any changes will be noted on UA Competition Space and in the RDS limited submissions advertisement methods (see below).

It is imperative that UA PIs/Teams follow the limited submissions process, because failure to do so may result in the UA having applications returned without review or being rendered ineligible to apply to future funding cycles. If the application is submitted through Sponsored Projects & Contracting Services (SP&CS), only proposals and PIs identified as having the institutional "Ticket" will be submitted.

Questions?

Contact RDS at limitedsubmissions@email.arizona.edu with any questions about this process.

Discovery and Advertisement

RDS actively searches for limited submissions funding opportunities and advertises these opportunities to campus using these methods:

1. Announcement in [The Limited Submissions Newsletter](). This newsletter is sent to subscribers on Thursdays and lists all current anticipated, **Upcoming** and **Open** limited submissions available to the UA campus. New faculty are automatically subscribed to this newsletter. Anyone may [Subscribe]().
2. Posting on the [Limited Submissions Table]() on the Research Gateway website.
3. Direct communication, if applicable, with the Deans, Center/Institute Directors, Associate/ Assistant Deans for Research, and Faculty.
4. Labeling opportunities as limited submissions in the [Pivot Funding Database.]()

Our goal is to advertise limited submissions opportunities at least 12 weeks prior to the funder's deadline, also called the "external" deadline (see Preferred Timeline and Workflow below).

Faculty, Student, or Staff Discovery of a Limited Submission

RDS makes every effort to identify limited submissions opportunities well in advance; however, some limited submission funding opportunities may not be discovered through our search methods. If faculty, students, or staff become aware of a limited submission funding opportunity that is not currently listed on the [Limited Submissions Table](), notify RDS at [limitedsubmissions@email.arizona.edu]() before any applications are submitted to the funder.

Pre-proposal Preparation

RDS attempts to align pre-proposal requirements with those of the funder as well as collect sufficient information to ensure a quality internal review. Most internal competitions include text boxes for a summary, significance statement, description of the fit with the funder, approach, and expected outcomes. In addition, a specific aims page or project summary is required for NIH applications or NSF proposals, respectively. Pre-proposals also require agency specific biographical sketch(es) for the PI and Co-PIs (if applicable). In cases where coordination with Deans is essential (e.g., for matching funds), a letter (or email) from the PI's Dean, or designee, is required. In cases where faculty are required to be released of teaching and service commitments, a letter (or email) from the faculty member's Department Head is required. Letters (or emails) from the Dean and Department Head should simply be acknowledgements of the commitment. Letters of Support are not required, nor does the letter require letterhead or physical signature. We recommend short emails indicating support for the commitment.

Our goal is that internal pre-proposal deadlines are at least 10 weeks prior to the external deadline and institutional selections are notified at least eight weeks prior to the external deadline (see Workflow below).

Resubmissions

If your proposal is a resubmission, please enter the following into the optional textboxes: (1) previous review score and (2) how you plan to address reviewer comments.

Review

An internal peer review is triggered if the number of pre-proposals received or the number of interested applicants exceeds the funder's limit. RDS utilizes UA faculty and qualified staff to conduct the internal review. A minimum of two reviewers are sought for each competition, although three is preferred. Conflicts of interest are considered during reviewer selection; preference is given to complementary expertise outside of the applicant's department and college. Each reviewer will normally review all pre-proposals. In cases of large multi-investigator applications, external reviewers may be used. In addition, Associate / Assistant Deans for Research, Deans, and UA Foundation GIFT Center staff (if appropriate to the funder) may be solicited for feedback.

Interested in serving as an internal reviewer for UA Limited Submissions? [Add your name to our Limited Submissions Reviewer Database](#)

Review is based on the funder's criteria and thus differ for each funding opportunity. Generally, review criteria include:

- PI and investigator team qualifications in the specific funding area, and if applicable, previous success leading multi-disciplinary/multi-institutional team efforts;
- The relevance or "match" between the proposed project and the program requirements;
- The impact or "importance" of the proposed project;
- Responsiveness to review comments from a previous submission, if applicable; and
- Any other factors relevant and appropriate to the funding program including but not limited to cultural competency; public outreach efforts; inclusion of underrepresented groups; and quality of the evaluation design.

RDS will evaluate the internal peer reviewers' scores/comments and other's input and determine the most competitive pre-proposal(s). Additional criteria that may be considered include:

- Alignment with UA strategic objectives;
- The strength and completeness of the proposed team for large, complex proposals;
- The impact of proposed cost sharing on the University's extant cost share exposure; and
- Any other criteria deemed important for submission of a competitive application.

Notification

Peer review and applicant notification is handled through [UA Competition Space](#) and the limitedsubmissions@email.arizona.edu email address. Notification of authorization to submit is called the "Ticket." Tickets for the selected applicants will be sent to the applicant, applicant's Dean, Associate/ Assistant Dean for Research, and research administrator. In addition, the [UA Sponsored Projects & Contracting Services](#) (SPCS) Proposal Team is notified and if appropriate for the funder, [UA Foundation GIFT Center](#) staff. Selected applicant names are added to the [Limited Submissions Table](#). *Only those applicants listed on the [Limited Submissions Table](#) will be authorized to submit to the funder by SPCS or the UA Foundation.*

Ideally proposals are reviewed, and applicants are notified in under two-weeks; however, in some cases (large quantity of applicants or large/complex pre-proposals) additional review and notification time may be required (see Preferred Timeline below).

Institutionally Coordinated Limited Submissions

Institutionally Coordinated limited submissions funding opportunities have eligibility or application criteria that must be managed for the institution at-large rather than by individual PIs. **Institutionally Coordinated** could mean there are limits by category, by application track, or by application type (new, renewal, resubmission, etc.) Individual funders occasionally add unique limits on opportunities that must be considered. Finally, some limited submissions are high-priority funding opportunities, prestigious programs, or otherwise impact UA strategic objectives and must be **Institutionally Coordinated**. To ensure that the institution remains eligible, RDS manages these cases as **Institutionally Coordinated** funding opportunities for UA. These atypical cases will be noted in the advertisement methods (see Discovery and Advertisement section above).

Exceptions & Special Considerations

Inadequate Time for an Internal Competition
While every effort is made to adhere to the procedures and process listed above, there are instances when the interval between becoming aware of a limited submission and the funder's deadline makes it impractical to follow the limited submissions process above. In these atypical cases, broad announcements may not be made, expedited reviews with limited or no feedback comments may be performed, and/or submission slots may be awarded on a first-identified basis. Generally, an internal competition may be held, or the opportunity may be immediately listed as **Open** if there are eight to six weeks remaining before an external deadline. RDS determines if a competition will or will not be held based on the complexity of the funder's application requirements, the expected interest from campus, or other impacts to UA strategic objectives. If there are less than six weeks between identification of the funding opportunity and the funder's deadline, an internal competition will not be held, and the competition will be listed as **Open** or submission permission is awarded on a first-identified basis.

Competitive Renewals
Existing programs or centers with no break in funding will have the opportunity to recompete to the funder without internal competition for two funding cycles. If, however, the existing program or center is unsuccessful in obtaining its renewal, on the third funding cycle an internal limited submissions competition will occur.

Competitive Previously Selected Applicants
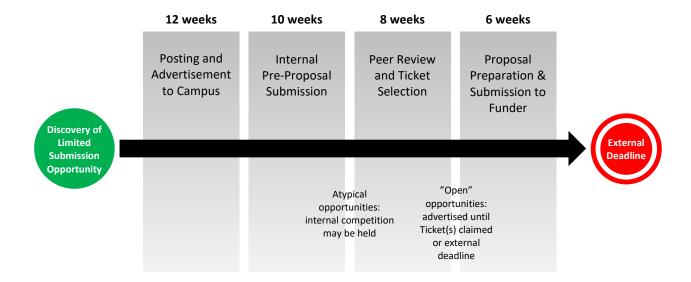Some limited submissions opportunities may hold more than one annual submission cycle or otherwise regularly repeat. For some funding cycles related to RDS-identified UA strategic objectives, competitive previously selected limited submissions applicants will automatically receive the ticket to submit to the next funding cycle. Selected applicants will be noted on the Limited Submissions Table.

No Submission
Certain limited submissions opportunities are very competitive at UA. If you receive authorization to be an institutional submission (ticket) for a competitive limited submission funding opportunity (i.e., an opportunity where there was internal competition for the application spot) and you choose not to submit, you must notify RDS of your decision within four weeks of the funder deadline. *Failure to notify RDS may result in your <u>ineligibility</u> to reapply for future cycles of the limited submissions funding opportunity*.

Preferred Timeline

12 weeks	10 weeks	8 weeks	6 weeks
Posting and Advertisement to Campus	Internal Pre-Proposal Submission	Peer Review and Ticket Selection	Proposal Preparation & Submission to Funder

Discovery of Limited Submission Opportunity → External Deadline

Atypical opportunities: internal competition may be held

"Open" opportunities: advertised until Ticket(s) claimed or external deadline

Change Log

Date	Change
September 3, 2019	▪ Added Introduction and limited submissions process definitions. ▪ Added Faculty, Student or Staff Discovery section. ▪ Added Resubmissions section. ▪ Added Institutionally Coordinated section. ▪ Revised and updated Review section. ▪ Revised and updated Notifications section. ▪ Revised and updated Discovery and Advertisement section. ▪ Revised and updated Exceptions & Special Considerations section and added Competitive Previously Selected Applicants section. ▪ Revised and updated Preferred Timeline and Workflow graphics
July 1, 2018	Updated the Pre-Proposal requirements and the Exceptions & Special Considerations sections.

>> *all links are external*

Discovery of Limited Submission Opportunity

RDS determines UA eligibility

Yes

Opportunity advertised to campus

No

If UA is ineligible the opportunity is not advertised

"Upcoming" Discovery 12 to 8 weeks before External Deadline

Discovery 8 to 6 weeks before the deadline

"Open" Discovery 6 weeks or less before External Deadline

"Institutionally Coordinated"

Pre-proposals due by Internal Deadline

Competition held

Internal Peer Review determines institutional selections

Competition not held

Selected PI/Team(s) are notified: "The Ticket"

Are there still Tickets available?

Yes

No

Opportunity is advertised as "Open" until all Tickets are used or until External Deadline

Proposal(s) submitted to the funder by the External Deadline

RDS manages and facilitates proposals

External Deadline

Process Key

Start/End

Process Stopped

Decision Point

Process Step

Document Submission Required

Public Notice

Internal Notice