



## KENTUCKY STATE UNIVERSITY

### Policies and Regulations

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#### **PROCEDURE TITLE:**

**Limited Opportunity Submission**

#### **APPLIES TO:**

All faculty and staff seeking to apply for external funding opportunities that restrict the number of proposals an institution may submit

#### **ADMINISTRATIVE AUTHORITY:**

Office of Research & Innovation

Sponsored Programs

Office of the Provost and Vice President of Academic & Student Affairs

#### **APPROVED BY:**

#### **EFFECTIVE DATE:**

#### **NEXT REVIEW DATE:**

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#### **PROCEDURE STATEMENT:**

To ensure that Kentucky State University (KSU) submits the most competitive proposals for funding opportunities that limit the number of institutional submissions, this procedure establishes a fair and transparent process for identifying such opportunities and selecting institutional nominees. All individuals wishing to apply for a limited submission opportunity must participate in the internal selection process outlined herein.

#### **DEFINITIONS:**

##### **Internal Pre-Proposal**

A concise summary of a proposed project, including a project summary and investigator credentials, submitted for internal review and consideration as the KSU's institutional nominee.

##### **Limited Submission Opportunity**

A funding opportunity in which a sponsor restricts the number of proposals, nominations, or applications that

an institution may submit.

### **Limited Submissions Review Committee**

An ad hoc committee of senior faculty and/or administrators convened by the Office of Research & Innovation (ORI) to review internal pre-proposals and recommend institutional nominees.

### **Principal Investigator (PI)**

The individual with the primary responsibility for the design, execution, and management of a sponsored project.

## **PROCESS:**

### **1. Identification and Announcement of Opportunities**

ORI is responsible for identifying limited submission opportunities through various sources and disseminating them to the KSU community. Announcements will be posted on the ORI webpage and distributed via email, and will include a clear internal deadline for submitting an internal pre-proposal.

PIs who independently identify a limited submission opportunity must immediately notify ORI to ensure the institutional selection process can be initiated.

### **2. Internal Selection Process**

- **Submission of Internal Pre-Proposal:** All interested PIs must submit an internal pre-proposal by the announced internal deadline. The required components of the pre-proposal (e.g., project summary, PI biographical sketch) will be specified in the opportunity announcement.
- **Review and Selection:**
  - If the number of internal pre-proposals received does not exceed the sponsor's limit, the PI(s) will be automatically selected as the institutional nominee(s) and authorized to proceed with developing a full proposal.
  - If the number of internal pre-proposals exceeds the sponsor's limit, ORI will convene a limited submissions review committee.
  - The committee will evaluate the pre-proposals based on criteria derived directly from the sponsor's funding announcement, which may include scientific merit, innovation, alignment with sponsor goals, and PI qualifications.
  - The committee will provide a ranked list of recommendations to the Provost and Vice President of Academic & Student Affairs (or designee), who will make the final selection of the institutional nominee(s).

### **3. Notification and Full Proposal Submission**

ORI will notify all applicants of the selection decision. The selected institutional nominee(s) are then authorized to prepare a full proposal for submission to the sponsor. The nominee(s) must adhere to all timelines outlined in KSU's proposal submission procedure.

## **Responsibilities**

- **Principal Investigator (PI):** Responsible for monitoring for limited submission opportunities, submitting a timely and complete internal pre-proposal, and, if selected, developing a competitive full proposal in accordance with KSU procedures.
- **Limited Submissions Review Committee:** Responsible for conducting a fair and objective peer review of all internal pre-proposals and providing well-reasoned recommendations for institutional nominees.
- **Office of Research & Innovation (ORI):** Responsible for identifying and announcing opportunities, managing the internal selection process, convening the review committee, and providing institutional support to the selected nominee(s) during the full proposal submission process.

## **Compliance**

Failure to follow this procedure may result in the administrative withdrawal of a proposal submitted to a sponsor without official institutional authorization.

## **REFERENCES AND RELATED MATERIALS:**

- KSU Intent to Submit Procedure
- KSU Proposal Submission Procedure

## **CONTACTS:**

| Subject                         | Office             | Telephone      | E-mail                                                             |
|---------------------------------|--------------------|----------------|--------------------------------------------------------------------|
| General Questions & Disclosures | Sponsored Programs | (502) 597-5837 | <a href="mailto:Dorothy.Daley@kysu.edu">Dorothy.Daley@kysu.edu</a> |

## **HISTORY:**

| Revision Type          | Date of Issuance/Revision | Drafter(s)/Editor(s)          |
|------------------------|---------------------------|-------------------------------|
| Issued (New Procedure) | June 2025                 | Dorothy Daley and Zach Atwell |

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