**Limited Submissions for Certain R/PPS No. 03.01.02**

**Sponsored Programs Issue No. 1**

**Effective Date: 05/26/2023**

**Next Review Date: 04/01/2027 (E4Y)
Co-Sr. Reviewers: Director, Pre-Award Support Services; Director, Strategic Research Initiatives**

**POLICY STATEMENT**

*Texas State University is committed to properly managing the number of submissions made to certain sponsored programs to prevent the potential disqualification of submissions made by the university.*

**01. BACKGROUND INFORMATION**

01.01 Many funding agencies place limits on the number of proposals or applications that any one university may submit in response to a funding solicitation. The following policy has been established to prevent any potential disqualification of submissions by Texas State University. This policy applies to all sponsored programs. If the Divison of Research (DoR) receives fewer than the allowed number of planned submissions, the normal process for submission will be followed. If DoR becomes aware of the intent to submit more than the allowed number of planned submissions, the process described below will be used to determine which proposals will be submitted on behalf of the university.

01.02 This policy sets the procedure to be followed when a sponsored program imposes a limit on the number of proposals that can be submitted by Texas State. The procedure is activated when a principal investigator (PI), chair, director, dean, or any DoR staff becomes aware of an upcoming limited submission opportunity.

**02. DEFINITION**

02.01 Limited Submission – a limitation imposed by a sponsor on the number of proposals or applications that can be submitted by an institution for funding consideration under a specific sponsored program.

**03. POLICY EXCEPTIONS**

03.01 This policy covers funding opportunities from public (federal, state, and local) entities. For limited submission opportunities from foundations, corporations, or other private sponsors, clearance for submission must be approved by University Advancement (UA). UA reserves the option to make selections based on identified university priorities or employ the limited submission procedure described in this policy.

03.02 There are certain instances when limited submission opportunities will fall under the domain of a specific administrative unit (dean or vice president). In these special cases, the administrative unit will have the first right of refusal for proposal submission or must endorse a proposal prior to submission.

03.03 In instances where DoR discovers that a solicitation is a limited submission, less than six weeks prior to sponsor deadline, Strategic Research Initiatives (SRI) may conduct an expedited internal competition or select proposals on a first-come, first-served basis depending on time of deadline and program requirements.

**04. PROCEDURES FOR NOTIFICATION OF LIMITED SUBMISSION OPPORTUNITIES**

04.01 SRI shall maintain a non-exhaustive list of common limited submission opportunities with approximate sponsor deadlines. Approximately 12 weeks prior to the anticipated sponsor deadline or upon release of an official funding solicitation, SRI shall disseminate a call for letters of intent (LOI) to the deans for distribution to relevant unit heads and faculty.

04.02 For opportunities not on the common list, a call for LOI shall be disseminated by SRI upon discovery of the limited submission requirements.

04.03 When a PI discovers that a solicitation they plan to pursue is a limited submission, the PI must inform SRI of the limit. SRI will disseminate a call for LOI upon notification.

**05. LETTER OF INTENT REQUIREMENTS**

05.01 A PI seeking to submit a proposal in response to a limited submission opportunity must submit a LOI through the [InfoReady Review submission portal](https://limitedsubmissions-txstate.infoready4.com/) by 5:00 p.m. on the date specified by the internal call for LOI.

05.02 The LOI shall consist of the following (single-spaced, 10 pt. or higher font, one-inch margins):

a. a cover page with the following information:

1. title of opportunity and application type, if applicable (i.e., NSF MRI acquisition proposal, USDA HSI ED-cooperative proposal);
2. title of proposed project;
3. a list of names, departments, and contact information for all identified investigators;
4. an estimated total amount of funds request; and
5. a description of the amounts and sources of cost share (only if cost share is required);

b. a two-page narrative with the following information:

1) a one-page description of the proposed project and how it meets the solicitation requirements;

2) half a page describing how this project aligns with department, school, college, university, or research strategic plans; and

3) a half page broader impact statement;

c. a two-page vita for each investigator on the project, highlighting the investigator’s research accomplishments. Teaching and service accomplishments should only be included if they are relevant to the proposed project; and

d. if the LOI is for a re-submission to the sponsor, the PI may include an optional half page addressing prior reviews.

**06. INTERNAL REVIEW AND SELECTION PROCEDURES**

06.01 If all LOIs received are from a single college, and the number exceeds the number of applications allowed by the sponsor, it shall be that college dean’s responsibility to conduct the selection process. At least six weeks before the sponsor deadline, the dean shall notify SRI of each project's ranking within their college.

06.02 If LOIs are received from more than one college, and the number exceeds the number of applications allowed by the sponsor, it shall be the responsibility of each dean, or designee, to rank or endorse proposals from their respective college. College review decisions and a summary of strengths and weaknesses for each proposal shall be forwarded to SRI for consideration in the final selection process.

06.03 The vice President for Research (VPR) will conduct an inter-college selection process and make a final decision on which LOIs will cleared to proceed with submission to the external sponsor. The VPR will utilize standing and *ad hoc* review committee recommendations and will consider college rankings and recommendations in the selection process.

06.04 The following criteria will be used to review proposals:

1. the degree to which the proposal meets the sponsor's published program guidelines and review criteria;
2. the degree to which the proposal meets the research strategic plans of the department, school, college, or university;
3. the broader impacts (on and off campus) of the proposal;
4. the research accomplishments of investigators; and
5. consideration of prior review comments (if applicable).

06.05 SRI will send decision notification to all PIs that submitted LOIs.

06.06 Upon notification of selection, the selected PI shall initiate a proposal in the Kuali Research portal and follow procedures outlined in [UPPS No. 02.02.01](https://policies.txst.edu/university-policies/02-02-01.html), Applying for Sponsored Programs.

**07. REVIEWERS OF THIS PPS**

07.01 Reviewers of this PPS include the following:

Position Date

Director, Pre-Award Support April 1 E4Y

Services

Director, Strategic Research April 1 E4Y

Initiatives

**08. CERTIFICATION STATEMENT**

This PPS has been approved by the following individuals in their official capacities and represents Texas State Research policy and procedure from the date of this document until superseded.

Director, Pre-Award Support Services; co-senior reviewer of this PPS

Director, Strategic Research Initiatives; co-senior reviewer of this PPS

Vice President for Research