Limited Submission Grant Application Policy
Research and Sponsored Programs Office
(Approved by the Provost’s Cabinet on December 9, 2009 on behalf of Academic Affairs)

Policy:

Funding agencies (sponsors) may place limits on the number of letters of intent or proposals that any one college/university may submit in response to a funding opportunity announcement (commonly referred to as a Request for Proposal). Some examples of limited proposal submissions that impact SUNY Cortland include the annual National Science Foundation Major Research Instrumentation Program (MRI), the National Endowment for Humanities Summer Fellowships Program, and the National Endowment for the Arts grant applications submitted to the Access to Artistic Excellence, Challenge America: Reaching Every Community Fast-Track Review Grants and the Learning in the Arts for Children and Youth.

The following policy is designed to support an equitable review process while preventing any potential disqualification of proposals due to more than the allowed number of applications submitted.

Internal Procedure:

The Research and Sponsored Programs Office (RSPO) is the authorizing office for SUNY Cortland for the submission of any grant application requiring external peer review. Note that this policy does not apply to the cultivation of gifts, endowment building, or other activities normally conducted by the Division of Institutional Advancement.

In adhering to RSPO’s primary mission, RSPO is constantly searching for Request for Proposals (RFPs) from our primary funding agencies and those RFPs that might be particularly relevant to research, artistic expression, and outreach. Opportunities are posted on the campus “Funding Opportunities Listserv” or emailed directly to individual investigators who have expressed interest in obtaining particular RFP notifications.

However, please be aware that the RSPO may not identify every opportunity available. Anyone who wishes to apply to a limited submission RFP that is not announced on the “Funding Opportunities Listserv” should contact RSPO immediately (currently, by contacting Glen Clarke at glen.clarke@cortland.edu). This email should consist of the name of the Principal Investigator (PI)/Project Director (PD), name of the grant competition, and a copy of or link to the program announcement. It is important for the Schools not to assume a limited submission grant program is only relevant to their own faculty or professional staff.

Once received, RSPO will review the guidelines, establish appropriate internal review dates, post the RFP to the “Funding Opportunities Listserv,” and notify the Deans of each School, the College Research Committee (CRC), and the Provost. The email announcement will communicate the opportunity, email link(s), and procedures for application, and outline the selection process for the proposals submitted. RSPO will determine appropriate internal review dates in consultation with the Chair of the CRC.

Only full-time, tenured or tenure-track faculty and professional staff will be eligible to apply for externally funded proposals, unless otherwise approved by their Dean.
Each applicant will be required to submit a pre-proposal to RSPO that is responsive to the specific application guidelines.

The pre-proposal will be submitted as a single PDF file and emailed to RSPO (currently, Glen Clarke) on the date and time prescribed. Submissions received after the deadline will not be accepted. This will ensure that RSPO has adequate time to submit the pre-proposals to the CRC for review and selection of the single applicant.

In the event that RSPO does not receive any pre-proposals in response to a call for applications on the “Funding Opportunity Listserv,” RSPO reserves the right (in consultation with the Chair of the CRC) to extend the internal deadline for review to assure the broadest encouragement and identification of applications for submission.

Selection:

The CRC, representing all areas of the College, is primarily responsible for the research function of the faculty. As a standing committee under the Faculty Senate (see SUNY Cortland College Handbook, Section D. College Research Committee, p. 10), the CRC will serve as the review panel. At-large faculty experts will be identified to serve as additional reviewers within the disciplines of the applications submitted.

Such reviews within the CRC shall be treated confidentially.

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

Once the CRC (inclusive of at-large experts) has determined its selection, the Chair of the CRC will forward its ranked list of pre-proposals to the Provost. The Provost may consult with the appropriate School Dean for recommendations coming from a particular School and will be responsible for the final decision for selection.

The CRC Chair (or Designee) shall notify the applicants of the Provost’s decision.

Withdrawal of a Selected Pre-Preposal:

If a selected pre-proposal is withdrawn from further consideration, the investigator(s) who prepared the pre-proposal which received the next highest ranking will be advised to develop a full proposal for submission. Withdrawal of a selected proposal should occur as early as possible. Any Investigator who withdraws with limited notice and without extreme extenuating circumstances will be identified by the RSPO as a risk for future limited submission competitions; CRC reviewers, Deans, and Provost will be notified accordingly.

Submissions without RSPO Approval:
If a PI submits a proposal without following these procedures and fails to obtain prior approval prior to submission, the RSPO will withdraw the unauthorized proposal.

**Resubmission of Selected Applications:**

Faculty and/or professional staff shall not assume automatic approval of a resubmission. Rather, any resubmission is required to adhere to the procedures outlined herein.

**Pre-proposal Format:**

Internal pre-proposal submissions will be limited 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 email address
5. Primary Participant(s)/Departmental Affiliation/Relevant Research Area (Sample: Jolene Jinniper, Biological Sciences, Plant Biology)
6. Project Summary
7. Summary of impact on current and future instructional and research activities
8. Total cost (include and identify cost sharing, if applicable)
9. Names of at least two scholars or creative artists at SUNY Cortland who could serve as at-large reviewers to evaluate the intellectual merit of the proposed work
10. List of other potential sponsors

A two (2)-page (maximum) 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 description?
2. Does the project fit with the agency’s primary goal?
3. Does the project fit well with the review criteria within the proposal guidelines (i.e. intellectual merit, broader impact, community outreach, etc.)?
4. Is the pre-proposal well written? Is it clear and concise? Does it explain the project thoroughly?
5. Is the Investigator(s) able to adequately conduct the proposed scope of work? Such consideration shall rely on the two-page vita for evaluating faculty credentials, prior works, and scholarship in the area proposed.
The CRC will prepare a brief summary statement for each application identifying strengths and weaknesses of the proposal, which will be returned to the individual applicants.

Information about SUNY Cortland’s strategic concerns that might impact the selection process may be provided to reviewers by the RSPO prior to deliberations.

Please note: These standards/criteria may be modified for individual funding opportunities. Any such modifications shall be listed on the “Funding Opportunity Listserv,” along with the notifications to the CRC, School Deans, and Provost.

Acknowledgement:

The above policy has been modeled after Auburn University’s Limited Submission Grant Application Policy (8-25-09) that their RSPO staff shared for replication with colleagues at the National Council for University Research Administrators (NCURA) conference held October 21-24, 2009 in Washington, D.C.

Appreciation is also extended to the subcommittee members of the College Research Committee, Dean of Arts and Sciences, and the Chairs of the Art and Art History and Performing Arts Departments in the consideration of this policy.