

# California State University

## Agricultural Research Institute (ARI)

### **FY 2012-2013** **Campus Call for Proposals** **Cal Poly, SLO**

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## Glossary

<b>Added compensation</b>	For faculty, added compensation or additional employment is sometimes referred to as “overload”. Therefore, added compensation refers to CSU additional employment of up to twenty-five percent of a full-time position in excess of a full-time workload, or when appropriate, in excess of a full-time time-base. Additional employment and overload limitations and calculations are based on workload or time-base, not salary (CSU Policy HR 2002-05). For employees covered by collective bargaining agreements, the additional employment provisions of the applicable collective bargaining agreement supersede CSU Policy HR 2002-05 and govern the administration of additional employment.
<b>ARI</b>	The California State University Agricultural Research Institute
<b>Campus Coordinator</b>	Campus coordinators are the individuals responsible for ARI campus administration, local program oversight and collaboration with the ARI executive director on each of the four member campuses.
<b>Campus Funding</b>	Campus funding is ARI funding dispersed directly to member campuses in support of intra-campus competitive proposals submitted under these Guidelines.
<b>Cash</b>	Legal tender that can be used in exchange for goods, debt or services. This includes bank accounts, marketable securities, government bonds, banker’s securities, and sponsored projects at the submitting member’s campuses or its financial auxiliary.
<b>Collaboration</b>	Collaboration for ARI System proposals shall consist of at least one listed collaborator or cooperator from an academic, governmental or non-profit institution <i>outside</i> of that of the Project Director <b>AND</b> either a subcontract of the current proposal to that institution or for the proposal to be receiving financial support via matching funds.
<b>Collaborator</b>	Collaborators are scientifically and/or practically qualified individuals with key expertise and responsibility for completion of a significant portion of a project’s goals and objectives.
<b>Cooperator</b>	Cooperators are scientifically and/or practically qualified individuals with specific expertise in project topics that provide advice, guidance and consultation to the project director and co-principal investigators.
<b>Co-Investigator</b>	Co-investigators are scientifically qualified individuals with specific project related expertise who share responsibility with project directors for all aspects of a project.

<b>Executive Director</b>	The executive director is the individual responsible for the ARI's overall administration, day-to-day operational management and oversight, promotion and program and financial accountability.
<b>Faculty Release</b>	Faculty release is a funded reduction in the academic teaching workload of a specific faculty member.
<b>In-kind</b>	In-kind refers to any support which is NOT cash and includes goods, services and equipment donated by third parties regardless of the taxable status of the donation as a gift.
<b>Key Personnel</b>	Key personnel are project personnel with significant identified project related responsibilities.
<b>Match</b>	Match or matching funds are donated or pledged cash and/or in-kind goods, services or equipment of verifiable financial value other than that originating from the CSU State Budget General Fund allocation.
<b>Member Campus</b>	Member campuses are those CSU campuses with colleges of agriculture; California State University, Fresno (Fresno State), California Polytechnic University, San Luis Obispo (Cal Poly, SLO), California State Polytechnic University, Pomona (Cal Poly, Pomona), and California State University, Chico (Chico State).
<b>Pending Match</b>	Pending match is any ARI project related cash or in-kind match funding request that has not yet received final funding notification.
<b>Project Director</b>	The project director is the individual ultimately responsible for all pre and post award proposal and project management including, but not limited to, proposal preparation and submission, securing and verifying appropriate external match, budget management, coordination of research and personnel activities, timely submission of research and financial reports, information dissemination, and relevant technology transfer.
<b>Sponsored Project</b>	Cash with some term or condition attached or other deliverable.
<b>System Funding</b>	System funding is ARI research funding annually awarded solely on a competitive basis to address priority statewide applied agricultural and natural resources issues. It is available to any qualified ARI member campus faculty or research scientist.

# PROPOSAL FORMAT

## 1. General Information

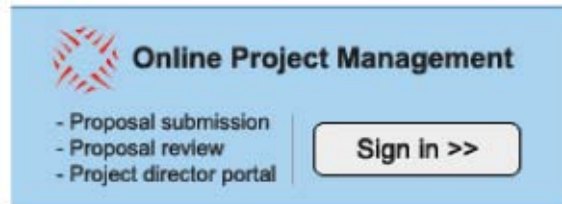
### A. Important Notice

All ARI full proposals and System Pre-Proposals must be submitted through the ARI web-based Proposal Submission and Routing System (PSRS). Campus Notices of Intent must be submitted via email. While the submission methodology has significantly changed, all other related ARI policies, procedures, and proposal requirements are unchanged. PSRS is accessible on the ARI web site at <http://ari.calstate.edu>.

The application guidelines included herein and on the ARI web site have been prepared to assist in the preparation, submission, and management of ARI proposals and projects for FY 2012-13. Additional assistance is available by first consulting with the appropriate campus coordinator/designee and/or thereafter by contacting the ARI technical and/or system administrative offices at (559) 278-4872 or (559) 278-2361 respectively.

This document is NOT an application form. No full proposal hardcopy submissions are requested or will be accepted. ***FY2012-13 ARI system and campus full proposals will only be accepted through the online Proposal Submission and Routing System (PSRS) located on the ARI web site at <http://ari.calstate.edu>.*** Applicants are advised and strongly encouraged to thoroughly review and adhere to all web-based submission requirements and formats.

To initiate a proposal, sign in to the ARI Online Project Management (OPM) system by clicking the “Sign in” button on the ARI web site (see screenshot at right).



You will be taken to the ARI Online Project Management login page. Enter your e-mail address and password where specified. If you are unsure if you have an account or have forgotten your password, contact the CAFES Grants Analyst (info on Attachment 1). Your account information will be sent to you via e-mail.

Once logged in, you will be presented with a menu titled “What would you like to do?” Click the “Go to online proposal submission” link from this menu. You will now be on the Online Proposal Submission welcome page. Clicking the “Start a new proposal” link will take you to the first step of the proposal creation process. From this point, simply follow the prompts and instructions provided at each step to complete and submit your proposal.

The Proposal Submission and Routing System has been designed to allow you to develop your proposal in a single session or in multiple sessions. Upon completion of each section, you have the option to *Save & Continue* or *Save & Exit*. If you elect to *Save & Exit*, all of your work to that point will be saved and you may complete the proposal later at your

discretion simply by accessing it through the Online Project Management section (blue box) of the ARI home page.

### **B. Proposal Expectations**

ARI Funds are available either campus-wide or statewide on a *competitive* basis. Therefore, the Board of Governors has determined that all proposals must meet a minimum standard to be peer reviewed for funding consideration. Addressing ALL of the required sections, from the “Abstract” to the “Staffing Section,” including a sound economic analysis of the proposed research, timeline, and full budget justification, is required for a proposal to be considered complete and ready for peer review. Proposals that do not contain all of the required sections WILL NOT be eligible for further consideration. Researchers are advised to review Attachments 5A&B, the “Proposal Evaluation and Rating Sheets” as well as Attachment 4, the “Instructions for Review Committee Proposal Evaluation” for additional information on the evaluation process. **Reminder: to be considered complete and considered for peer review, proposals MUST be submitted through the ARI web-based Proposal Submission and Routing System.**

### **C. Proposal Priorities**

The ARI provides public funds that are annually matched at least one-to-one with industry and/or agency resources to fund high impact applied agricultural and natural resources research, development, and technology transfer, as well as related public and industry education and outreach. Its projects and programs improve the economic efficiency, productivity, profitability, and sustainability of California agriculture and its allied industries. ARI programs lead to consumer sensitive and environmentally sound food and agriculture systems and foster public confidence in food safety and agricultural research and production systems. Through a system of university-industry partnerships, the ARI focuses on finding immediate and practical solutions for high-priority challenges in the following research areas:

- Agricultural business
- Biodiversity
- Biotechnology
- Food safety, nutrition, processing, & new product development
- Natural resources
- Production & cultural practices
- Public policy
- Water & irrigation technology

Additional information can be obtained from the ARI web site at <http://ari.calpoly.edu>.

In response to prevailing state, national, and global challenges driven by environmental and regulatory concerns, new technology, and international competitiveness issues that significantly impact California agriculture, the ARI Board of Governors and the CSU Chancellor’s Agricultural Industry Advisory Committee have recommended that the ARI give the following specific areas additional priority consideration:

- Climate change, air quality, greenhouse gas emissions and carbon sequestering
- Food safety and security practices and technologies
- Water quality, infrastructure, and conveyance technologies
- Energy efficiencies and alternative energy/fuel technologies and production
- Environmental infrastructure improvement and restoration
- Invasive species prevention and eradication
- Public health and safety priorities

## 2. Types of Funding

### A. Seed Funding (Online Funding Type: Seed)

Eligibility	Project Director must be a first year tenure-track faculty member in a non-endowed position
Length of Award	<b>1 year</b> ( <i>although all options are displayed, you may only enter 1 year</i> )
Maximum funding	<b>\$5,000</b> ( <i>Note: the wording online is different than our Campus policy. Please also see the special proposal requirements in Section 10.</i> )
Number of Awards Available	Maximum of 4 per year
Matching funding required	none
Timeline	special – see Timelines in Section 9.

### B. New Investigator Funding (Online Funding Type: Campus)

Eligibility	Project Director must be a first through fourth year tenure-track faculty member; Project Director is <i>not</i> eligible if he/she has received or concurrently receives a Campus Competitive Award
Length of Award	<b>maximum of 2 years</b> ( <i>although all options are displayed, you may only enter 1 or 2 years</i> )
Maximum funding	<b>\$20,000 per year</b> ( <i>Note: the wording online is different than our Campus policy.</i> )
Number of Awards Available	Maximum of 4 per year
Matching funding required	minimum of 75% with 20% being cash
Timeline	regular – see Timelines in Section 9.

### C. Campus Competitive Funding (Online Funding Type: Campus)

Eligibility	all tenure-track faculty and lecturers on AY appointments > 85%
Length of Award	<b>maximum of 3 years</b>



Maximum funding	there is no maximum, however due to limited resources, it is suggested that projects stay under \$50,000 per year except for one-time capital equipment expenses
Number of Awards Available	the number of awards is dependent on available funding each year
Matching funding required	minimum of <b>110% total</b> with 25% being cash
Timeline	regular – Timelines in Section 9.

#### D. System

Separate funding is also available through System-wide ARI awards. This process is accessible through its own Call for Proposals located at <http://ari.calstate.edu/>. This funding is for proposals with collaboration with either another CSU campus or a UC campus. The funding, match, deadlines and other factors differ significantly than those presented here for SLO Campus funding. Please read that CFP if you wish to learn more. For other information, please contact the CAFES Grants Analyst.

### 3. Matching Funds

Matching funds must be project related. This may take the form of direct cost share, serial or parallel studies, or some other justifiable support but must be fully explained in the ARI proposal. Additionally, if the work performed with matching funds is not a direct cost share, care must be taken to demonstrate the scope of work to be done under each form of support and relationships between these components. **Both** the narrative and the budget sections must reflect this support.

As an example, if support has already been received to perform objectives 1, 2 and 3, please explain that the ARI funding will be used to support additional new objectives 2a, 2b, 2c, 4 and 5.

Matching funds for the first year of an awarded proposal must be received between July 1, 2011 and December 14, 2012. Awards are not made based on the availability of matching funds; however, if matching funds do not arrive for an awarded proposal by December 14, 2012, that award will be cancelled and the awarded funds will be carried forward to the following funding year.

Matching funds for subsequent funded years of multi-year proposals must also be received no later than December 15 of that funding year and are a necessary condition for project augmentation by ARI funds.

Matching funds can be of three types and combinations are acceptable as stated previously: sponsored project, cash gift, and gift in-kind. (see Glossary for definitions) For a further explanation of the Cal Poly College of Agriculture, Food and Environmental Sciences Policies and Guidelines for receipt of matching funds, please refer to Attachment A.

#### **4. Indirect Charges and other non-allowable costs**

Pursuant to ARI policy approved by the Board of Governors regarding indirect charges, the ARI does not allow the imposition of any indirect charges to funding projects, contracts, subcontracts, and/or the transfer of portions of a project budget between colleges, centers, campuses, university systems, or other public or private agencies.

The following two items are a clarification of policy in accordance with OMB Circular A-21 section C3.

Cellular phone: Personal cellular phone costs are not allowed for key personnel. Cellular phone charges may be allowed if that is the only reasonable means of communication with project personnel working off-site.

Internet access: Home internet access costs are not allowed. Internet access charges may be allowed if necessary for project performance by project personnel working off-site.

#### **5. Confidential Notification**

The ARI receives research proposals in confidence and is responsible for protecting the confidentiality of their submission and contents. Proposals and accompanying attachments made accessible for administrative and review purposes may contain privileged and/or confidential information only for use by the intended recipient(s) for the express purpose of financial, technical, and/or scientific review and evaluation. Recipients of these materials are also charged with maintaining the confidentiality of their contents. If you have received a proposal hardcopy and/or electronic proposal access in error, please immediately notify the appropriate ARI system and/or campus administrator (ARI Executive Director or Campus Coordinator) listed on the contact page of this Call for Proposals. Recipients of a proposal hardcopy and/or electronic proposal access **MAY NOT** copy, quote, distribute, or otherwise use material from an ARI proposal submission without the expressed written consent of its author(s).

If you believe that a colleague can make a substantive contribution to the review of a proposal and/or its attachments(s), which you have agreed to review, please consult the appropriate ARI system or campus administration (ARI Executive Director or Campus Coordinator) before contacting your colleague. When you complete the review process, destroy any proposal documents or bring them with you to the panel review meeting, if convened, and leave them with the appropriate designated system or campus administrator at the conclusion of the meeting.

#### **6. Insurance Certification**

Project directors are responsible for ensuring that the following liability insurance certification statement is incorporated into all agreement(s) with contractor(s) and subcontractor(s) and/or any other recipients(s) of ARI project funds. Certification recognizes the differing requirements of each ARI member campus and by this reference makes each

campus's relevant policies, procedures, and directives a mandatory part of any ARI agreement(s) with contractor(s) and subcontractor(s) and/or any other recipient(s) of ARI project funds from each respective campus.

“Contractor(s) and/or subcontractor(s) affiliated with an ARI funded grant acknowledge and agree that the administration of such grant and/or any related sub-grant agreement(s) shall be subject in all respects to the policies, procedures and regulations of the ARI, California State University System, its individual colleges and universities, and their respective applicable Foundation(s) which are by this reference made part of any and all such contracts and subcontracts. Contractors and subcontractors, and their agents and employees, in the performance of an ARI grant and/or sub-grant, shall act in an independent capacity and not as officers or employees or agents of the ARI the CSU, individual CSU colleges and/or universities, or any affiliated university Foundation(s). Contractors and subcontractors assume all risks as an independent contractor, and agree to obtain all insurance necessary for the protection of the CSU, ARI, individual CSU colleges and/or universities and any affiliated Foundation(s), all of said entities' employees, agents, representatives, boards, committees, directors, officers, administrators, and volunteers, as well as the Contractor and subcontractor in connection with work under an ARI grant and as required by law, including, but not limited to, general liability insurance, automobile liability coverage, and workers' compensation insurance bearing policy limits in compliance with existing law and university policy. Contractors and subcontractors will be required to provide certificates of insurance evidencing the existence of such coverage upon execution of the grant agreement or sub-agreement. Notwithstanding the foregoing, other types and/or amounts of insurance may be required, depending on the type of work to be performed by the contractor or subcontractor. Contractors and subcontractors shall indemnify, defend, and save harmless the State of California, Trustees of the California State University, individual California State University colleges and universities, affiliated Foundation(s), the ARI, and all of said entities' employees, agents, representatives, boards, committees, directors, officers, administrators, and volunteers from and against any and all losses, damages, suits, claims (including actions by administrative agencies), penalties, settlement amounts, costs, liabilities and expenses (including, but not limited to, a reasonable investigation, legal and paralegal expenses), that may arise out of or relate in any way to the contractor's and/or subcontractor's performance of an ARI grant award agreement. This indemnification obligation shall survive any expiration or termination of the Agreement.”

- 7. Notice of Intent:** A Notice of Intent (NOI) **MUST be submitted for New Investigator and Campus Competitive funding.** Seed Funding proposals should skip this step and proceed directly to the instructions for Full Proposals.

Notices of Intent should be submitted on the form available at:

<http://ari.calpoly.edu/rfp.htm>

The narrative part (NOI form item#13) should be no longer than 3 pages. There is no limit to the number of NOI's that may be submitted in a given funding year; they are used to indicate who may be participating that year.

Please submit one electronic copy by 5 pm PDT of the **Notice of Intent** by the due date listed in section 9 to the CAFES Grants Analyst.

In rare circumstances, a late Notice of Intent may be submitted if **new** matching funds have become available after the published due date and no later than January 10, 2012. Permission for submission is on a case-by-case basis made by the Campus Coordinator.

## 8. Full Proposal Guidelines

*System and campus full proposals must be accepted through the ARI web-based Proposal Submission and Routing System (PSRS)*

*located on the ARI web site at*

<http://ari.calstate.edu>. To initiate a proposal, sign in to the ARI Online Project Management (OPM) system by clicking the “Sign in” button on the ARI web site (see screenshot at right). The proposal



submission system will walk you through each step of creating and submitting a complete proposal. *Specific instructions regarding completion of each section are provided in the section description. Cal Poly-specific changes are ONLY available in THIS Call for Proposals!*

Data entry in most information fields is mandatory. Failure to include the required information or the entry of inconsistent information will generate a program prompt requesting an appropriate correction. Proposal development will not be allowed to advance further until the program prompt has been successfully addressed. Once a proposal is complete and ready for submission, a printable version of it will be generated for you to review. Please review the proposal information, making any necessary modifications, corrections, additions and/or deletions prior to completing the submission process. It is highly recommended that you print and retain a copy of your completed proposal for your records. **Initial submission and acceptance of a proposal into the OPM PSRS system for routing DOES NOT yet constitute final submission or acceptance of a proposal for peer review or funding consideration.**

Routing: However, proposals will be date and time recorded at this point to verify when they were submitted for routing. They automatically go to the CAFES Grants Analyst – no need for inclusion as a signatory. If all sections are present, complete and internally consistent, the proposal will be forwarded for routing to all signatories. If one or more of the above conditions are not met, the proposal will be electronically returned to the Project Director to be remedied.

The process of electronic routing will automatically begin upon acceptance into the system from the CAFES Grants Analyst. However, it remains the project director’s responsibility to ensure that all appropriate signatories have been provided adequate review time and that electronic signatures are secured prior to the proposal submission deadline. Signatories who have not been provided adequate review time may reject a proposal. Project Directors

can/should track the approval process online. After successful completion of the proposal's routing and approval process, it will again be date/time recorded to verify compliance with the submission deadline. *Once a proposal has been fully submitted and accepted into the system, it cannot be modified.*

All full proposals require completion of the information fields listed below. Definition and/or explanations of the information being requested are provided both on each web page subsection and **Cal Poly-specific information is provided in THIS document.**

- A. Project Director
- B. Project Information
  - Member Campus
  - Title
  - Funding Type
  - Duration
  - Primary Focus Area
  - Secondary Focus Area
  - Primary Research Category
  - Secondary Research Category
  - Abstract/Impact Statement:  
Provide a brief summary (350 words or fewer, written for a generalist to understand) that describes the research and its benefit to society and/or the industry, that can also be used for promotional purposes. The abstract/impact/summary statement is not part of the narrative. (This pastes as plain text so it works best with no symbols, italics, or fancy formatting.)
- C. Project Personnel
- D. Funding Request – **must match Budget**
- E. External Match – list **all** from Budget; use correct categories: cash in-hand, cash pending, in-kind in-hand and in-kind pending
- F. Anticipated Outcomes – these are checkboxes
- G. Faculty/Research Staff Release and Additional Employment Pay – **must match Budget**
- H. Attachments (**Attached as Word or pdf documents. The system will convert them automatically to pdf in the proposal submission process. If you care how they look, make your own pdf's first, then upload them!**)
  - Narrative (see **Narrative Requirements** on Page 13)
  - Budget (you will obtain from the Grants analyst)
  - Timeline – use the Timeline from the ari.calstate.edu website; timelines for 1-, 2- and 3- year projects are available. Start date for ALL Campus Projects is July 1 of the first funding year. It is also highly suggested that you have a more graphical timeline and add that as a separate attachment at the end of the proposal.
  - Curriculum Vitae/Resume - (**brief versions – no longer than 6 pages each**) and **ARI Presentations & Publications** – for non-first-time funding requestors should be **HIGHLIGHTED**.
  - Miscellaneous – examples: awards letters, letters of support, large charts & graphs
- I. External Match
- J. Effort Reporting Statement

## K. Signatories

- Required Signatories
  - ✓ Project Director
  - ✓ Department chair/head
  - ✓ CAFES Campus Coordinator – Mark Shelton
  - ✓ CAFES Dean – Dave Wehner
  
- Additional Signatories (if Applicable)
  - ✓ Collaborators
  - ✓ Department chairs/heads of Collaborators, if academic personnel
  - ✓ Dean of collaborator's College if other than CAFES
  - ✓ Center director
  - ✓ Farm Director – Kevin Piper

**You do NOT need Sponsored Programs or Grants Development signatures for these proposals. Grants Development must be included only for a System-wide proposal.**

## 9. Narrative Requirements

Proposal narratives are limited to ten(10) single-spaced pages (excluding the abstract, timeline, budget form(s), and other attachments) in the following format:

File type:	Microsoft Word
Font:	Times New Roman
Font Size:	12 point
Margins:	One inch – top and bottom, left and right
Headings:	Double-spaced and boldface
Text:	Singe-spaced
Footer:	essential on each page (document name and page number)

Proposal narratives should also include the following information:

### A. Brief Statement of the Problem/Issue (worth 20 points)

Briefly describe the problem or issue being addressed and explain why it is a high-priority for California agriculture; the environment, and/or consumer health and safety; what is the anticipated economic impact of addressing the issue as the proposal suggests; and what are the short-term, intermediate and/or long-term benefits of conducting this research. Describe how this project is unique or supports the research of others.

### B. Statement of Methodology (worth 20 points)

Provide a statement of the purpose of the research, a list of the research objectives, and a description of the research activities. Include the experimental design and the method of data collection and data analysis. A *timeline* of major activities (see Attachment 3) should outline the start and the end date of each activity. Dissemination should be included as an activity.

### C. Dissemination Plan (worth 10 points)

Each plan must contain a detailed account of the actions that will be taken to disseminate project results to the California agricultural industry. **A copy of all dissemination manuscripts must be submitted to the executive director's office within thirty days of its first presentation for ARI publication and promotion.** In any news release or public conference initiated by the issuance of any news release, during the conduct of any public conference, and/or within the release of any publication, newsletter and/or project summary the following statement shall be included: *“Partial funding for this project has been made available by the California State University Agricultural Research Institute (ARI)”*.

It is expected that major effort will be made to provide relevant information to California farmers, ranchers, agribusiness concerns and other relevant stakeholder groups. While professional journal publications, attendance and presentations at professional meetings, and other service to one's discipline are strongly encouraged, involvement in these activities alone does not constitute a complete ARI dissemination plan, because California farmers', ranchers', and agribusiness concerns typically do not receive such publications or participate in such activities. Examples of dissemination activities acceptable for ARI projects are the following:

#### Events

- Conferences, seminars, workshops, or field days
- Continuing education professional programs

#### Publications

- California State University Agricultural Research Institute (CSU/ARI) annual report
- California State University Agricultural Research Institute (CSU/ARI) web site
- California Agricultural Technology Institute (CATI) *Update* articles
- Newsletter articles
- Technical reports, research bulletins, circulars, or fact sheets
- Interim reports of research in progress
- Articles in popular trade journals and other publications
- Articles in refereed journals
- Books
- Monographs

#### Presentations

- Posters
- Video/photographic materials
- Industry meetings
- other Internet site

### D. Economic Impact Statement (worth 20 points)

Describe the expected return of the proposed research to California agriculture and its related industries. This return from your research may come from an expected decrease in costs, an expected increase in benefits, or both. You can cite academic or other scholarly sources that have already estimated the potential returns of your research.

Industry trade publications can be an acceptable source as long as the information is not anecdotal. If this information does not exist, you should attempt to develop an expected value of your research by making an estimation of the reduced costs, increased benefits, or both for the stakeholders your research will affect. This brief economic analysis should include financial information on the industry under investigation as well as an estimate of costs and/or benefits to the proposed research. Direct cost savings are usually more easily estimated, while social or physical benefits are traditionally more difficult to assign financial value. Please note that just because you are dealing with a large industry or group of stakeholders, this is not enough justification of the value of your research. You also need to estimate the magnitude of the problem within the context of the industry/stakeholders. If you are having difficulty with justifying/estimating the expected returns of your research, you could consider collaboration with economists both before and during your project to enhance its value the same way you would use a statistician.

**E. Staffing (worth 15 points)**

For all Key Personnel, the following should be included:

1. A statement of roles and responsibilities
2. A statement of each person's time commitment

When the first RFP for this Institute came out, our Dean and the ARI Board of Governors indicated their preference for proposals with strong components of student time, both graduate and undergraduate. **Also, faculty time commitments during the academic year should come from release time, if possible, because additional workload for faculty could have adverse impacts on the primary mission of the College – teaching students. These preferences have remained in effect and are now supported through a system of bonus points in the evaluation process. (see Attachment 5A)**

**F. Budget and Justification (worth 15 points)**

Provide a complete budget narrative justification for each budget line item such as, but not limited to, salaries, benefits, supplies, equipment, subcontracts, and travel. (The budget pages themselves are submitted as attachments and do not count as part of the 10 page limit.)

**ALL** budgets MUST be prepared through the office of the Grants Analyst. This will facilitate correct information for both budget forms for the PSRS and for the Cal Poly Corporation. Budgets need to be provided for matching funds separately as well as the requested ARI funding.

Although the actual budget is prepared with assistance, its technical development, justification and ultimate monitoring and accountability are the sole responsibility of the Project Director

Budgets will be evaluated based on the relationship between resources requested and work proposed (i.e., level of funding requested relative to work performed, appropriateness for proposed work, and efficient use of funds).

Unless otherwise requested and approved in writing, all capital equipment purchased with ARI or cash gift funding shall remain the property of the coordinating ARI-member College of Agriculture. Project directors are responsible for maintaining and annually



providing campus coordinator and the executive director and/or their respective designee(s) with a complete and accurate record of all capitalized equipment that was purchased with ARI or matching cash gift funds. Such equipment shall revert to the respective College of Agriculture's ARI research equipment pool upon completion of the originating project for reallocation to other projects as needed, at the discretion of the dean or his/her designee(s).

All non-capital tangible material purchases are to be owned by the Cal Poly Corporation as administrator of these awards during their period of performance. After, that time, the College of Agriculture, Food and Environmental Science will assume ownership and may redistribute any and all purchased materials as appropriate for its educational mission.

Purchasing policy for these awards will be in accordance with OMB Circular A-21 unless otherwise specified elsewhere in this Call.

**10. Submission and Processing Timelines (apply to all 3 funding types unless otherwise noted)**

August 26, 2011	Call for Proposals released
October 28, 2011	Notices of Intent Due ( <b>only New Investigator and Campus Competitive Funding</b> ) Last Friday of October
February 10, 2012	Proposals due to campus coordinator 2 <sup>nd</sup> Friday of February
March 2, 2012	Proposal submission to reviewers and Fresno 1 <sup>st</sup> Friday of March
late April, 2012	Technical Review Committee meets
mid May, 2012	Award Notification
late July 2012	Projects will be set up effective 7/1/12. Each project will be set up as soon after that date as possible contingent on the CPC completion of closing its books for Fiscal Year 2011-2012, project in receipt of matching funds, and Project Director and all key personnel in good reporting status with ARI. <b>All funding is contingent upon final approval of the State Budget.</b> If ARI funds are ever deleted or reduced from the State Budget, all projects received funding for that fiscal year will be reduced proportionally.

Summer through fall 2012	Campus coordinator and Grants Analyst are responsible for conducting project orientation meetings for project directors as needed.
December 14, 2012	Deadline for receipt of first year matching funds for new awards ( <b>only New Investigator and Campus Competitive Funding</b> )
April 12, 2013	Annual Reports due for projects continuing beyond 12 months ( <b>only New Investigator and Campus Competitive Funding</b> ) – must demonstrate reasonable technical progress per proposal and timeline; required for eligibility of yearly augmentations
June 30, 2013	Project completion target date (excluding any no cost extensions)
August 30, 2013	Final reports due
<b>Note:</b>	It is the Dean's responsibility, after consultation with the campus coordinator, to certify that project reports are timely and that they meet all appropriate requirements identified in the call for proposal.

## 11. Seed Funding Proposals

This limited funding is available to a maximum of 4 new faculty members of the College of Agriculture and is intended to help with whatever costs may be associated with each individual's plan for incorporating research, and preferably future ARI projects, into their professional growth plan here at Cal Poly.

There is a 3-page limit for the narrative section of these proposals and should include a budget justification section (see previous 8F for details). The narrative section does NOT include the timeline, budget page, CV, PGP or other references and attachments.

Please see the sample Rating Sheet (Attachment 5B) on page 29 to see how these proposals are evaluated as compared to the other two types of Campus proposals. The point values may help focus your writing efforts.

To the extent possible, describe your intended 5-year research goals and your recent research experience. Explain how these goals fit the scope of the ARI priority areas described at <http://ari.calpoly.edu/classification.htm>

Describe any thoughts you have regarding merging your teaching activities, students (both undergraduate and graduate) and your research interests. List any professional societies to which you currently belong as well as any to which you think you ought to join.

As an alternative to a Statement of Methodology, please outline your plan of work and timeline for the activities you would like to accomplish using ARI Seed Funding. Explain how these activities and expenses are critical to the current phase of your professional growth and development here at Cal Poly. Please provide your Professional Growth Plan as an attachment.

One of the concepts of seed funding is that it will provide the beginning to a successful research career. If this work lead to future external funding opportunities and collaborations, please explain them in as much detail as you can anticipate at this point.

Please use the same budget form as the other proposals. The same type of budget justification is also necessary. Most types of expenses can be justified, even added compensation, if it is for research or even grant-writing.

Are there professional meetings to which it would be in your best interest to go and make or reinforce connections with colleagues or industry that cannot be funded from other sources? Travel is another common budget category for these funds. Supplies and student assistants round out the top categories.

Proposals will be evaluated by the same Technical Review Committee as the other types of funding, but will be judged on their alignment with the ARI priority areas, clarity of vision for professional growth and development, applicability of proposal to that long term plan, and budget appropriateness (that the budget matches what is trying to be accomplished). (see Attachment 5B)

## **12. No-Cost Extension**

The Campus Coordinator and/or designee or other authorized designees(s) may approve requests for no-cost extensions of ARI projects when requested via email by the Project Director and accompanied by an appropriate technical justification. (Late start is NOT a technical justification.) The total length of all such extension for one project may not exceed 9 months. The request must be received at least 30 days prior to the current project expiration date.

## **13. Full Proposal Review and Evaluation Criteria**

Please see Attachment 4.

## 14. Report Submission and Format

### A. General Information

All ARI project progress reports (annual and final) required by provisions of this and future ARI Calls for Proposals must be completed and submitted through the ARI web-based Proposal Submission and Routing System (PSRS) located on the ARI web site at <http://ari.calstate.edu>. Reports will be automatically date and time recorded in the system to verify when they are originally submitted. The progress report submission system will walk you through the steps of submitting each report. ***Specific instructions regarding completion of each report and report subsection are provided in the section description. This is the first year for this, so if you experience any difficulties, please contact your Grants Analyst.***

You should receive e-mail reminders from your Grants Analyst well before the system due-dates because our Campus due-dates are officially earlier than what will be generated by the web site. If reports are running late, there will be notices from both sources.

**Failure to turn in ARI reports WILL result in the suspension of any further funding to the project in question.**

**In addition, serious delays or reporting failures may prohibit a faculty member from receiving future ARI funding, even as a co-PD or collaborator.** (See the SLO Campus ARI Priority Criteria in Attachment 5A.)

### B. Annual Report

Annual Reports are due for all projects that extend beyond one year. The period covered is always from the previous report to the current report. These reports are due in April every year except the final year of the project.

If there is nothing similar in the new report format, an Attachment A is also required documenting student involvement. (see <http://ari.calpoly.edu/report.htm>)

### C. Final Report

A Final Report is due for all projects. These reports are due within 60 days of the project's end date.

If there is nothing similar in the new report format, Attachments A(student involvement) and B(dissemination) are also required.

### D. Additional Annual Report as a result of a no-cost extension

In the case of a project receiving a no-cost extension, an additional Annual Report and Attachment A will be due within 30 days as specified in the terms of the extension.

## **Attachment 1**

### **ARI Contact List**

CSU ARI Executive Director

Joe A. Bezerra

(559) 278-2361

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Cal Poly, SLO, Associate Dean of Research, Campus Coordinator

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College of Agriculture, Food and Environmental Sciences

California Polytechnic State University

San Luis Obispo, CA 93407

Cal Poly, SLO Grants Analyst

Sue Tonik

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College of Agriculture, Food and Environmental Sciences

California Polytechnic State University

San Luis Obispo, CA 93407

**Attachment 2**  
**Sample NOI – Use Online Form: [www.ari.calpoly.edu.rfp](http://www.ari.calpoly.edu.rfp)**

**1. Project Title:**

**2. Submission Date:**

**3. Project Director:** Use this section to identify the project director. The project director is ultimately responsible for all project outcomes. Please provide complete information.

- A. Name
- B. Title
- C. Affiliation
- D. Mailing Address
- E. Phone Number(s)
- F. Fax Number
- G. E-mail
- H. Specific Expertise

**4. Co-PI/Collaborator(s)** Please provide complete information for all co-PI's and collaborators. List in order of responsibility to the project. Duplicate these sections if necessary.

- A. Name
- B. Title
- C. Affiliation
- D. Mailing Address
- E. Phone Number(s)
- F. Fax Number
- G. E-mail
- H. Specific Expertise

- A. Name
- B. Title
- C. Affiliation
- D. Mailing Address
- E. Phone Number(s)
- F. Fax Number
- G. E-mail
- H. Specific Expertise

**5. Cooperator(s):**

- A. Name
- B. Title
- C. Affiliation

- D. Mailing Address
- E. Phone Number(s)
- F. Fax Number
- G. E-mail
- H. Specific Expertise

- A. Name
- B. Title
- C. Affiliation
- D. Mailing Address
- E. Phone Number(s)
- F. Fax Number
- G. E-mail
- H. Specific Expertise

**6. Release/Added Compensation:** Please list the above personnel with an estimation of release time and added compensation per year. (Insert more lines as needed.)

<u>Person</u>	<u>Release Time</u>	<u>Added Compensation</u>
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**7. Proposal Type:** Select Type of Proposal and identify the duration of this project in years.

- A. System \_\_\_\_\_ Years \_\_\_\_\_ (maximum of 3)
- B. Campus
  - 1) Seed Funding \_\_\_\_\_ (only 1 year is allowed)
  - 2) New Investigator \_\_\_\_\_ Years \_\_\_\_\_ (maximum of 2)
  - 3) Campus Competitive \_\_\_\_\_ Years \_\_\_\_\_ (maximum of 3)

**8. Research Focus Area:** Identify the 2 best research categories (in ranked order) that best describe this proposal's subject matter for scientific review. Please see the web site for additional descriptions:

<http://ari.calpoly.edu/classification.htm>

- A. Agricultural business \_\_\_\_\_
- B. Biodiversity \_\_\_\_\_
- C. Biotechnology \_\_\_\_\_
- D. Food processing, safety, nutrition, and product development \_\_\_\_\_
- E. Natural resources \_\_\_\_\_
- F. Production management and cultural practices \_\_\_\_\_
- G. Public policy \_\_\_\_\_
- H. Water and irrigation technology \_\_\_\_\_

**9. ARI Funding Request:** Estimate the total ARI funding requested. If the proposal is for fewer than three years place, “NA” in the appropriate spaces.

A.	FY 2012/13 Funding Request	\$	_____
B.	FY 2013/14 Funding Request	\$	_____
C.	FY 2014/15 Funding Request	\$	_____
	Total Funding Request	\$	_____

**10. Partial Funding Option:** Indicate in a short statement if your project must be completed as presented in this proposal, or if the research activities could be segmented and partially funded. Identify what impact partial funding would have on the project.

**11. External Match:** Identify ALL external matches, including pending match, by funding entity name, category and amount, value or request. List the match from each category separately. If match is secured from more than one entity in any category, list each entity separately. Duplicate A and B and use additional pages if necessary. In-kind match evaluations must be for “real” fair market value. Pending match must have been submitted to an external funding entity prior to submission of the Full ARI proposal.

**Cash, in-kind and pending matches must be documented by letter or memorandum at the time of proposal submission. All match must be received and verified on appropriate ARI match verification forms before winter break in each respective fiscal year (FYs 2012-13, 2013-14, and 2014-15). ARI funding will be cancelled if appropriate match verification is not provided accordingly. See Attachment A of the Campus RFP for a definition of “received”.**

A. Cash match:

Funding entity: \_\_\_\_\_

Pending or in hand:	_____	Amount FY 12-13:	_____
	_____	Amount FY 13-14	_____
	_____	Amount FY 14-15	_____
	_____	Total	_____

Category:

Federal	_____	State	_____
---------	-------	-------	-------

Local/Regional	_____	Industry	_____
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Non-Profit	_____		
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B. In-kind match:

Funding entity: \_\_\_\_\_

Pending or in hand: \_\_\_\_\_ Amount FY 12-13: \_\_\_\_\_

\_\_\_\_\_ Amount FY 13-14: \_\_\_\_\_

\_\_\_\_\_ Amount FY 14-15: \_\_\_\_\_

\_\_\_\_\_ Total \_\_\_\_\_

Category:

Federal \_\_\_\_\_ State \_\_\_\_\_

Local/Regional \_\_\_\_\_ Industry \_\_\_\_\_

Non-Profit \_\_\_\_\_

**12. Abstract:**

**13. Brief Description of the Project – not to exceed 3 pages**

Attachment 3

**ARI Project Timeline**

**Project Year 1 - FY 2012-13**

Use this project timeline to list the various project objectives as well as the activities associated with them. The timeline should also identify an appropriate start and end date (month, day, and year) for each activity listed.

	Objective/Activity Description	Person(s)	Start	End
Objective				
Activity				
N/A				
N/A				
N/A				
N/A				
N/A				
N/A				
N/A				
N/A				
N/A				
N/A				
N/A				
N/A				

Attachment 4  
**Instructions for  
Review Committee Proposal Evaluation**

**Instructions:** Using the criteria listed below, please evaluate the attached proposal for ARI funding and record the scores on the attached Proposal Rating Sheet (PRS). Each set of criteria requires a separate numerical rating. Reviewer comments are highly encouraged. Please provide any additional comments and/or suggestions that you believe may enhance the proposal goals and/or outcomes. This is for Campus Competitive and New Investigator category proposals. Seed Funding proposals are evaluated on a similar but different set of criteria listed in the rating sheet in Attachment 5B.

**A. Approach to the Problem/Issue (20 points):**

Determine whether the problem is addressed clearly and presented convincingly. The project director should demonstrate a clear understanding of the significance of the problem, which should be solvable. Determine whether other researchers are addressing this problem, and whether the project director possesses a thorough understanding of related work that has been reported by other researchers.

**B. Statement of Methodology (20 points):**

Determine whether the proposed methodology is sound and whether there are any significant limitations associated with the design of the proposal. Determine whether the proposal indicates data will be collected and analyzed, whether the major objectives and milestones of the proposal have been identified, and whether they are appropriate. Evaluate whether the timeline of proposed activities is realistic and appropriate to the work proposed, and whether the objectives can be achieved using the approach identified. If matching funds were required, has the relevance of those funds been addressed and the non-overlap of objectives except in the case of direct cross-share been assured.

**C. Dissemination Plan (10 points):**

Determine whether the information dissemination activities proposed are adequate, that they primarily address California farmers', ranchers', and/or agribusiness concerns (a requirement for all ARI funded proposals), and that they are well thought out.

**D. Evidence of Economic Impact to the California Industry and Consumer (20 points):**

Evaluate the value of the work proposed relative to California agriculture, agribusiness, food and natural resources; and whether the agricultural industry recognizes this problem and assigns it a high priority. The economic analysis should include financial information on the industry sector under investigation as well as an estimate of costs and/or benefits to the proposed research.

**E. Staff Needs/Researcher Qualifications (15 points):**

Determine whether the proposal clearly describes the qualifications of the project director and other key personnel to solve the identified proposal problem (training, education, demonstrated awareness of the issue) and whether the level of staffing is appropriate.

**F. Budget Appropriateness (15 points):**

Evaluate whether the resources requested are appropriate to the work proposed and whether there are more efficient ways to conduct the project to reduce the resources required.

Determine whether there is a clear relationship between the resources requested and the work proposed. (Please refer to the beginning pages to determine split of faculty salary between added compensation and release time.) Determine whether the proposal indicates evidence of financial support for the project from sources other than ARI.

Attachment 5A

FY 2012-2013 ARI Proposal Evaluation Rating Sheet

Proposal Number:  
 Principal Investigator:  
 Proposal Title:  
 Project Duration:  
 Total ARI Request:  
 System/Campus Proposal: **campus**  
 Research Focus Area:  
 Campus: **Cal Poly, SLO**  
 Reviewer:

Scientific Evaluation Criteria	Maximum Points	Points Awarded
Statement of the Problem	20	
Project Methodology	20	
Dissemination Plan	10	
Evidence of Economic Value	20	
Researcher Qualifications	15	
Budget Appropriateness	15	
<b>E. TOTAL</b>	<b>100</b>	

SLO Campus ARI Priority Criteria	+/- Points
Student Involvement (plus 0 – 2 points)	
New Investigator (plus 0 – 2 points)	
Use of Release Time (plus 0 – 2 points)	
Inclusion of 12-13 priority research area (plus 0 – 5 points)	
Primary matching funds from commodity group or private industry (plus 0 – 5 points)	
Professional publication of previous ARI work (plus 0 – 10 points)	
More than 2 ARI projects in progress for the next year (minus 0 – 2 points)	
Poor Compliance for Past or Existing ARI Projects (minus 0 –20 points)	
<b>Overall Total</b>	

Reviewer's Comments

Other documents available as needed:

Attachment 5B

FY 2012-2013 ARI Proposal Evaluation Rating Sheet – Seed Funding Proposals Only

Proposal Number:  
 Principal Investigator:  
 Proposal Title:  
 Project Duration:  
 Total ARI Request:  
 System/Campus Proposal: **campus**  
 Research Focus Area:  
 Campus: **Cal Poly, SLO**  
 Reviewer:

Scientific Evaluation Criteria	Maximum Points	Points Awarded
Professional Growth Plan (PGP) & its Research Component	25	
Alignment with ARI Priority Area(s)	10	
Ability of this work to lead to future external funding	15	
Applicability of proposal to PGP	20	
Researcher Qualifications	15	
Budget Appropriateness	15	
<b>F. TOTAL</b>	<b>100</b>	

Reviewer's Comments

Other documents available as needed:

## ARI Matching Funds Acquisition Policies and Guidelines

The following policies and guidelines represent the attempt of the College of Agriculture, Food and Environmental Sciences, California Polytechnic State University in San Luis Obispo, to implement a system which would both comply with ARI regulations regarding matching funds and support the spirit and intent of the ARI to stimulate the influx of funding from outside sources for research and education.

For proposals receiving awards, projects will be set up for the first year's award amount up to the pro-rated level of received matching funds per award type. Augmentations will be made up to the full first year award as additional match arrives through December 15 of the award year. Full first year matching funds must arrive by that time. Matching funds for subsequent years must be received before that portion of the ARI award can be made available and no later than December 15 of the fiscal year to which they will be applied.

Expenditures for ARI projects prior to receipt of matching funds can be made against any Cal Poly Corporation account with permission of the account owner. These charges, *if allowable, allocable, and applicable*, (per OMB A-21/2 CFR part 220) can be transferred to the appropriate ARI project after it is set up. As with all expenditures, these transfers must be approved by the grants analyst in charge of the ARI project.

Funding for subsequent years of multi-year proposals is subject to:

1. ARI funding by the State of California
2. Adequate progress documented in the Annual Report (due in the spring of each year)
3. Demonstrated availability of matching funds.

### Glossary

Received – Matching funds are considered received if:

- A. It is a sponsored project and the account has already been set up OR an award letter has been received from the sponsor and the account is open early with an Open Account memo AND an ARI Cash Match Verification form has been completed and signed.  
ARI Match Verification Forms are available at:  
<http://ari.calstate.edu/forms.aspx>
- B. It is a cash gift received and deposited into the Project Director's ARI matching account (set up by the CAFES Grants Analyst).
  - 1) the Advancement form that gets filled out is located at:

- [http://advancement.calpoly.edu/forms/ua\\_cash\\_form.doc](http://advancement.calpoly.edu/forms/ua_cash_form.doc)
- 2) An ARI Cash Match Verification form has been completed and signed.
- C. It is a gift in-kind that is already in the possession of the Project Director. Examples are donated equipment or supplies. Documentation from the sponsor's accounting organization must be provided to the CAFES Grants Analyst and the donation must be reflected in the Project Director's ARI matching account.
- 1) the Advancement form that gets filled out is located at:  
[http://advancement.calpoly.edu/forms/ua\\_gik\\_form.doc](http://advancement.calpoly.edu/forms/ua_gik_form.doc)
  - 2) An ARI Gift In-Kind Match Verification form has been completed and signed and with either the appropriate IRS-level of detail (see #3 below) or with an attached signed letter with that detail from the donor company.
- D. It is a gift in-kind for sponsor's expenses, not cash coming to Cal Poly, to be incurred during the next year of a project and a letter of intent has been received from the sponsor to cover those charges. Complete documentation of the coverage of these expenses is required from the sponsor's accounting organization at the end of each year.

### ***Matching Funds***

The ARI requirement for matching funds (with an emphasis on outside industry), has created an accounting challenge. We must be able to document every dollar of matching funds. Therefore, we have established the following guidelines.

#### **1. Sponsored Project Funds**

An award is generally a sponsored project if there are any documented terms or conditions associated with the money such as requirements for reports or return of unused funds. (Additional information on this topic is available in my office or in Sponsored Programs.) All Sponsored Projects must be routed through the Grants Development and Sponsored Programs Offices. These offices draw up the legal contracts; they are the only ones who may obligate the University or the Corporation. Sponsored Programs also is responsible for the financial reporting required by the sponsors.

Any documentation for projects which are ARI matches should also be copied to me.

#### **2. Cash Gifts**

If at all possible, letters should accompany gifts from sponsors indicating gift status. An example would be: "Company A is donating \$X for Dr. Q's research on Generic Project Name." There are no further terms, obligations, or deliverables that can be associated with a gift. This type of documentation is essential for the donor to be able to receive a gift tax deduction.

Checks should be made payable to Cal Poly Corporation.



When the checks and letters come in, please get them to me so I can make the funds accessible to you. This will translate as setting up a gift account for your project and getting the funds deposited correctly. If you happen to already have other gift funds that you won't be using as ARI match, it will be necessary to set up a separate fund in order not to commingle money and provide a clean reporting mechanism for ARI.

I will have access to the Corporation accounting system for all ARI-related accounts and can provide information to you on the status of any of your expenditures or account balances.

**3. In-Kind Contributions**

These matches are the most difficult to document. We will need some form of written documentation from the sponsor as to the exact items they provided and their bookkeeping value. This applies to equipment donations, personnel time, and any other expenses which had been proposed as ARI in-kind match. Documentation of actual receipt of these matching funds will be tied to release of ARI funding. Sponsor expenses for anything other than goods coming to Cal Poly, require both a before part (“I promise to provide \$X in goods and services in support of . . .”) **AND** an after part (“I provided (something) worth \$X in support of . . . during (valid time frame)”). Everything must be itemized by quantity and value. Personnel time must be documented as N hours @ X rate-of-pay.

If you have any questions about categorizing your matching funds or about the logistics of any of these processes, please contact me.

Sue Tonik, CAFES Grants Analyst