

California State University

Agricultural Research Initiative (ARI)

California Polytechnic State University, San Luis Obispo
Campus Funding Only

FY 2002-2003 Call for Proposals Guidelines

By

Dr. Dave Wehner, Interim Dean
Dr. Mark Shelton, Campus Coordinator
Ms. Sue Tonik, CAGR Grants Analyst

July 30, 2001

TABLE OF CONTENTS

	Page
1. General Information	3
A. Campus Proposals	3-4
B. Notices of Intent	4
2. Format/General Instructions	4
3. Checklist Instructions	4-5
4. Signature Page Instructions	5-6
5. Timeline	6-7
6. Abstract Page Instructions	7
7. Proposal Narrative Instructions	7-9
Attachments:	
1. Contact List	10
2. Project Timeline	11
3. Proposal Evaluation Instructions	12-13
4. Proposal Rating Sheet	14
5. Project Reporting Forms	15

PROPOSAL FORMAT

1. General Information

The ARI provides public funds that are annually matched at least one-to-one with industry/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

Proposals may be submitted for campus funding as single or multiple-year projects not to exceed three years. Priority is given to proposals that address significant regional and/or statewide issues, have the ability to benefit California agriculture and natural resources, and can demonstrate scientific merit and external match funding. Reviewers will evaluate proposals for quality using the published ARI Proposal Rating Sheet (PRS). PRS scores will be used to prepare a ranked list of proposals. After this ranking is prepared, the order of proposals recommended for funding may change due to addition or subtraction of points for: collaboration among universities and/or university, industry and other agricultural research agencies, documentation of external match, and compliance status of the principal investigators on previously funded ARI research. The type of match further stratifies projects of equal ranking. Priority will be given to those proposals that document at least 100% hard cash match. Proposals indicating cash or in-kind match must include verification from the funding source. If verification is not included, the match will be considered pending.

A. Campus Proposals

Campus funding is available to all CAGR tenure-track faculty on a competitive basis. Campus funding may be utilized to fund a variety of proposals that address local, regional, or statewide issues, including seed funding proposals. External match of not less than an amount equal to the ARI funds requested is expected and applicants are highly encouraged to aggressively pursue "project related" external funding. In-kind match may be utilized; however, it shall not exceed 75% of the total match requirement.

Seed funding proposals are typically single-year proposals of \$5,000 to \$10,000. Seed funding may be used to fund new faculty research proposals as well as other innovative startup projects.

B. Notice of Intent

A Notice of Intent should be filed for each possible proposal. The format for this document is available on the web – see below. This includes a project name, summary and significance of proposed work, name of project director and any collaborators or cooperators, duration of project in years, estimate of funds requested for each year, and proposed source(s) of matching funds. No full proposal will be accepted without a Notice of Intent filed by the deadline.

2. Format/General Instructions – Full Proposals

Some forms are available via the web at:

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

Please use the following format – all items except attachments **MUST** be submitted electronically:

- Program: IBM – Microsoft Word and Excel
- Font: Times New Roman
- Font Size: 12 point
- Margins: 1 inch margins – top, bottom, left and right
- Text: single spaced
- Headings: double spaced and bolded (use headings from this RFP)
- Checklist: see the web site
- Signatures: see the web site
- Budget: see the web site
- Timeline: use the attached timeline format
- Footer: essential on each page (document name, date and page number)

3. Checklist Instructions

Attach the checklist pages to the front of the proposal (before the title page). Do not delete any section of the checklist pages and do not leave blank lines. If part or all of a checklist page section is not applicable, place an “NA” on the appropriate lines. The following information is required:

- A. **Proposal title** – Provide a complete proposal title. Notice of Intent and complete proposal titles must be the same.
- B. **Submission date** – Provide the date the proposal was submitted to the campus coordinator.
- C. **Principal Investigator** – Identify the PI that serves as the project director/contact person most responsible for project coordination and outcomes. Provide the following information:

- name
- affiliation (center, department, college, university, company, etc.)
- mailing address
- phone number
- fax number
- e-mail address

D. **Co-principal investigators, collaborators and cooperators** – Provide the following completed information for all co-PI's, collaborators and cooperators:

- name
- affiliation (center, department, college, university, company, etc.)
- mailing address
- phone number
- fax number
- e-mail address

E. **Faculty release, summer salary, and/or overload pay** – Identify all faculty release and/or overload pay requested by individual faculty member (indicate percentage the of release time requested, if any, including the number of WTU's, and quarter or semester involved).

F. **Project duration** – State the duration of the project in years (note: three years funding is the maximum allowed).

G. **ARI funding request** – Identify the total ARI funding being requested. If the proposal is for a multiple-year project, also identify each fiscal year's request separately.

H. **External match** – Documentation of all matches is REQUIRED. A letter or memorandum from the funding source MUST accompany the ARI proposal. The proposal REQUIRES the following information about external matches:

- the names of all funding sources
- category (industry or agency)
- dollar amount of match (in-kind matches must be fair market value)

Pending funds must include the date of submission to an external funding entity and anticipated date of award notification.

I. **ARI research focus areas** - Identify the research category(ies) that best describe this proposal's subject matter for scientific review. If more than one category is suitable, numerically prioritize your preference.

J. **Funding** – Briefly indicate 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.

4. **Signature Page Instructions**

The principal investigator must secure all appropriate signatures prior to submission of a proposal to the campus coordinator. If one or more of the following signatories is not applicable to a proposal, place an “NA” in the appropriate space. Do not delete any signatory subsections. It is the PI’s responsibility to allow adequate time for each of the appropriate signatories to review and comment on the proposal prior to ARI submission deadlines. Signatories who have not been provided adequate review time may reject a proposal.

A. Campus coordinator

Campus coordinators will review proposals for conformity with ARI goals, objectives, and format, including collaboration and matching fund requirements. They will also verify the principal investigator’s compliance with existing ARI-funded projects.

B. Department chair/head

Department chairs/heads review proposals to ensure that the proposal supports the programmatic goals and objectives of the department, and that any release time, summer salary and/or overload request is practical and can be coordinated with the teaching requirements of the department.

C. Center directors and/or the farm manager/director of operations

Center directors and/or the farm manager/director of operations review proposals, if necessary, to ensure that the use of center/farm resources such as land, equipment, personnel, and laboratory and office space is reasonable, and that the support requested can be provided.

5. **Timelines**

A. Proposal Submission, Review and Award

July 16, 2001	Call for Pre-proposals (RFP is released) 3 rd Monday of July.
October 26, 2001	Notices of Intent due 4 th Friday of October.
March 1, 2001	Proposal submission deadline to campus coordinators 1st Friday of March.
April 5, 2002	Proposal submission to reviewers 1st Friday of April.
mid-May, 2002	ARI Technical Review Committee meets
May 24, 2002	Award Notification 4 th Friday of May.

July 1, 2002 Funding available or 10 working days after the Governor signs the State Budget – All funding is contingent upon approval of the State Budget.

Note: It is the Dean’s responsibility after consultation with the college campus coordinator to certify each proposal meets all the requirements identified in this Call for Proposals, including verification of match funding sources and value. Researchers should submit all proposals and reports directly to their respective campus coordinators.

B. Principal Investigator Orientation Meetings & Interim, Annual and Final Reports

Spring Through Fall Campus coordinators will conduct ARI project orientation meetings for principal investigators within five weeks of award notification.

November 8, 2002 Interim reports due
1st Friday of November.

December 27, 2002 Deadline for receipt of first year matching funds for new awards.
4th Friday of December

May 2, 2003 Annual reports due for continuing projects. (projects not terminating in June 2003)
1st Friday of May

June 30, 2003 Project completion target date (excluding any no cost extensions).

August 29, 2003 Final reports due
Last Friday of August

6. Abstract/Impact/Summary Page

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 promotion. The abstract/impact/summary page is separate from the narrative.

7. Proposal Narrative

Project narratives are limited to no more than 8 single-spaced pages (excluding the checklist, signature, summary, budget, timeline, and other attachment pages) and should include the following:

A. Brief Statement of the Problem/Issue

Describe the problem or issue being addressed and explain: why it is a high-priority for California agriculture; 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

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, the method of data collection and data analysis. A timeline of major activities (see Attachment 2) should outline the start and ending date of each activity.

C. Results Dissemination Plan

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 Campus Coordinator for forwarding to the CSU/ARI Executive Director's office within thirty days of its first presentation for ARI publication and promotion. 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 Initiative (CSU/ARI) annual report
- California State University Agricultural Research Initiative (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
- ATI-Net (Internet)

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, since California farmers', ranchers', and agribusiness concerns typically do not receive such publications or participate in such activities.

In general, dissemination costs should be borne by both ARI and the external supporters.

Include time in the project timeline for completion of the dissemination activities. The project cannot be considered finished until the dissemination of results is complete.

D. Evidence of Impact and Industry Support

Describe the value of the proposed research to California agriculture and its related industries. Identify the commitment of industry to this research by providing information about current involvement of industry in the research, by explaining how the research is prioritized by the industry; and by identifying the amount of money industry will provide in support of your research. Outline the steps taken to create collaborations and to secure external funding for the proposed research. Strong preference will be given to projects with demonstrated external industry and/or agency support. If external support is not an integral part of this project, explain why this high-priority research has failed to attract industry support and what steps will be taken to develop such support throughout the duration of the research.

E. Staffing Needs

Identify the principal investigator/project director and all co-principal investigator(s) as well as all cooperators and their respective project responsibilities. Identify the relevant qualifications of the investigator(s) for this proposal either in narrative or by attaching the appropriate curriculum vita(e). Their institutional affiliation, mailing address, phone and fax numbers, e-mail address must be shown on the checklist.

Identify the anticipated sources of required professional, technical, and clerical staffing. ARI strongly encourages collaborative working relationships among departments, other colleges, other CSU campuses, the University of California, industry partners, and other agricultural research agencies. The participation of undergraduate and graduate students in project activities is also strongly encouraged.

F. Budget

Provide a complete budget narrative justification for each budget line item. Use the Excel spreadsheet format provided on the web site (see p.4) to communicate your funding needs and the use of your matching funds. Please use one sheet per source per year. 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). Faculty may claim release time and/or added compensation on ARI projects. Generally, preference will be given to proposals for which release time, rather than added compensation, is requested for academic year duties.

G. Project Outcomes Evaluation

Describe how you will evaluate the success of your research project. Include a list of your research objectives and/or activities and under each identify the outcomes that will indicate your accomplishments.

Attachment 1

ARI Contact List

CSU ARI Executive Director

Joe A. Bezerra

(559) 278-2361

(559) 278-4849 Fax

joe_bezerra@csufresno.edu

California Agricultural Technology Institute

California State University, Fresno

2910 E. Barstow Avenue M/S OF115

Fresno, CA 93740-8009

Cal Poly, SLO Campus Coordinator

Mark D. Shelton, Ph.D.

(805) 756-2161

(805) 756-6577 Fax

mshelton@calpoly.edu

California Polytechnic State University, San Luis Obispo

1 Grand Avenue

San Luis Obispo, CA 93407

Cal Poly, SLO Campus Grants Analyst

Sue Tonik, M.S.

(805) 756-7241

(805) 756-6577 Fax

stonik@calpoly.edu

California Polytechnic State University, San Luis Obispo

1 Grand Avenue

San Luis Obispo, CA 93407

Attachment 3

**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 brief written explanation and a numerical rating. Please provide any additional comments and/or suggestions that you believe may enhance the project goals and/or outcomes.

A. Approach to the Problem/Issue (20 points): (0 points if the proposed work is not research)

Determine whether the problem is addressed clearly and presented convincingly. The proposer 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 project. Determine whether the proposal indicates data will be collected and analyzed, whether the major objectives and milestones of the project 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.

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 projects), and that they are well thought out.

D. Evidence of Economic Impact to the California Industry and Consumer (15 points):

Evaluate the value of the proposed work relative to California agriculture and natural resources; and whether the agricultural industry recognizes this problem and assigns it a high priority. Determine whether the problem is of sufficient interest to have already garnered financial support, whether the proposer has taken steps to develop industry financial support for the project, and whether the project shows evidence of other cooperation with and interest from industry. If no support from industry is presently available, determine whether the proposal describes specific steps to be taken to develop industry support.

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

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

F. Budget Appropriateness (10 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. Determine whether the proposal indicates evidence of financial support for the project from sources other than ARI.

G. Project Outcomes Evaluation Plan (10 Points):

Evaluate whether the methods to be used for assessing the finished project will achieve the objectives stated in the original Project Plan.

Attachment 4

FY 2002-03 ARI Proposal Rating Sheet (PRS)

Proposal Number:
 Principal Investigator:
 Proposal Title:
 Project Duration:
 Total ARI Request:
 System/Campus Proposal:
 Research Focus Area:
 Campus:
 Reviewer:

Scientific Evaluation Criteria	Maximum Points	Points Awarded
Approach to the Problem	20	
Statement of Methodology	20	
Dissemination Plan	10	
Evidence of Economic Impact	15	
Researcher Qualifications	15	
Budget Appropriateness	10	
Project Outcomes Evaluation Plan	10	
TOTAL	100	

ARI Priority Criteria (completed by campus coordinators)	Yes/No & Minus Points
Collaboration	
Cash Match	
In-kind Match	
Pending Match	
Compliance Status of Existing ARI Projects (range 0 to 20 points)	

Reviewer's Comments

Attachment 8

Project Reporting Format

General Information

ARI funds both single-year projects and multiple-year research projects up to three years. Therefore, the ARI requires the following research information reports:

- Interim Reports
- Annual Reports
- Final Reports

The formats for all reports can be found on the web site at:

<http://www.cagr.calpoly.edu/cagr/ari/report.htm>