

California State University

Agricultural Research Initiative (ARI)

California Polytechnic State University, San Luis Obispo

FY 2009-2010 Request for Proposals

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Glossary

Added compensation	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.
ARI	The California State University Agricultural Research Initiative
Campus Coordinator	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.
Campus Funding	Campus funding is ARI funding dispersed directly to member campuses in support of intra-campus competitive proposals submitted under these Guidelines.
Cash	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.
Collaboration	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 AND either a subcontract of the current proposal to that institution or for the proposal to be receiving financial support via matching funds.
Collaborator	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.
Cooperator	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.
Co-Investigator	Co-investigators are scientifically qualified individuals with specific project related expertise who share responsibility with project directors for all aspects of a project.

Executive Director	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.
Faculty Release	Faculty release is a funded reduction in the academic teaching workload of a specific faculty member.
In-kind	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.
Key Personnel	Key personnel are project personnel with significant identified project related responsibilities.
Match	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.
Member Campus	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).
Pending Match	Pending match is any ARI project related cash or in-kind match funding request that has not yet received final funding notification.
Project Director	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.
Sponsored Project	Cash with some term or condition attached or other deliverable.
System Funding	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. Notices

This publication contains various changes (from the 2008-2009 ARI Call for Proposals) which are important to note when preparing an FY2009-10 ARI proposal for submission. Applicants are advised and strongly encouraged to thoroughly review and adhere to submission requirements and formats. This is an instructional manual intended to assist applicants in the preparation, submission, and management of ARI proposals and projects. Additional assistance is available by consulting with your campus coordinator. This publication and its attachments are not application forms. Printable interactive application and project management forms are available in the Pre and Post Award Forms sections of the ARI website at:
<http://ari.calstate.edu>

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 7A&B, the “Proposal Evaluation and Rating Sheets” as well as Attachment 6, the “Instructions for Review Committee Proposal Evaluation” for additional information on the evaluation process.

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>.

New to 09-10: 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 Campus Funding

A. Seed Funding

Eligibility	Project Director must be a first year tenure-track faculty member in a non-endowed position
Length of Award	1 year
Maximum funding	\$5,000
Number of Awards Available	Maximum of 4 per year
Matching funding required	none
Timeline	special – see Timelines in section 10.

B. New Investigator Funding

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	maximum of 2 years
Maximum funding	\$20,000 per year
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 10.

C. Campus Competitive Funding

Eligibility	all tenure-track faculty and lecturers on AY appointments > 85%
Length of Award	maximum of 3 years
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 110% total with 25% being cash
Timeline	regular – Timelines in Section 10.

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, 2008 and December 15, 2009. Awards are not made based on the availability of matching funds; however, if matching funds do not arrive for an awarded proposal by December 15, 2009, 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

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.

5. 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.”

6. Format/General Instructions

Use the following format for both Notices of Intent and Final Proposals:

- Program: Microsoft *Word* and *Excel* (if combining documents into one document, please use page and section breaks; if you do not feel comfortable doing this, submitting separate documents is acceptable)
- 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
- Footer: essential on each page (document name, date and page number)

The following also should be submitted with Final Proposals:

- Checklist: available at <http://ari.calpoly.edu/rfp.htm>
- Supplemental Checklist Forms: the following supplements to the Checklist are also available at: <http://ari.calstate.edu/preaward.htm>
 - Supplemental Co-Investigators
 - Supplemental Collaborators
 - Supplemental Cooperators
 - Supplemental Faculty Release
 - Supplemental Cash Match In-Hand
 - Supplemental Cash Match Pending
 - Supplemental In-Kind Match In-Hand
 - Supplemental In-Kind Match Pending
- Signatures: available at <http://ari.calpoly.edu/rfp.htm>
- Budget: *sample* available at <http://ari.calpoly.edu/rfp.htm> - please see **Grants Analyst to complete actual Budget for all years and sponsors in one spreadsheet**
- Timeline: use the attached timeline format or any other format that adequately and accurately portrays your project and its components in a timeframe that is easy to comprehend beginning with July of 2009.
- Curriculum Vitae/Resume (**brief versions – no longer than 6 pages each**) and ARI Presentations & Publications – for non-first-time funding requestors (list previous ARI-funded presentations and publications, most recent first – **no more than two pages**)
- Documentation of Matching Funds: - award letters, letters of support, etc.

Please submit one electronic copy by 5 pm PDT of the **Notice of Intent** by the due date listed in section 11.

Please submit **one electronic copy by 5 pm PST of each Final Proposal plus one hard copy of the signature page and any non-electronic attachments** for use by the Campus Coordinator and the ARI executive director's office by the due date listed in section 11.

7. Notice of Intent (for New Investigator and Campus Competitive funding only)

Notices of Intent should be no longer than 3 pages and must include:

- A. Proposal title (the Notice of Intent title and the respective final proposal title must be similar)
- B. The project director, including academic affiliations, position title, specific expertise (agronomist, pathologist, enologist, etc.), mailing and e-mail addresses, phone and fax numbers.
- C. Co-investigators, collaborators, and cooperators including academic affiliations, position title, specific expertise (agronomist, pathologist, enologist, etc.), mailing and e-mail addresses, phone and fax numbers, etc.
- D. Anticipated faculty release and/or additional employment to be funded
- E. In ranked order, the two (2) most appropriate ARI research focus areas addressed
- F. An estimated ARI funding request (provide by fiscal year as well as the total)
- G. The proposal's anticipated duration (not to exceed three years)
- H. Potential external match funding sources, including:
 - Donor's name, title, contact information and funding classification (industry, state agency, federal agency, foundations, individual, and/or other)
 - Anticipated type of match (cash and/or in-kind)
 - Estimated actual market value of match
- G. A brief description of the proposed research.

8. Final Proposal

Final proposals must include the following **completely executed** sections:

- Checklist Summary
- Signature Pages (signatures of Campus Coordinator and Dean are **NOT** required at this point)
- Detailed Annual Budgets (remember to put your justification in the narrative!)
- Title Page
- Abstract Statement (**not required for Seed Funding proposals**)
- Proposal Narrative (**Seed Funding proposals should refer to section 13**)
- Project Timeline
- Curriculum Vitae/Resume (**brief versions – no longer than 6 pages each**) and ARI Presentations & Publications – for non-first-time funding requestors (list previous ARI-funded presentations and publications, most recent first – **no more than two pages**)
- Documentation of Matching Funds

Incomplete proposals will not be peer reviewed or considered for funding.

9. Checklist Instructions

Attach the checklist pages **to the front of the proposal (before the title page)**. Use the interactive printable checklist provided at <http://ari.calpoly.edu/rfp.htm>

(please duplicate individual sections as necessary). **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. Title – Provide the entire final proposal title.

B. Submission date – Provide the date the proposal was submitted to the Campus Coordinator.

C. Key Personnel – Provide the following completed information for the project director (ONLY ONE) and each co-investigator, collaborator, and cooperator in the order shown below. List each individual separately in ranked order of responsibility to the project.

- Name
- Title
- Affiliation (center, department, college, university, company, etc.)
- Street address
- Mailing address
- City, State, Zip Code
- Phone number
- Fax number
- E-mail address
- Specific expertise (e. g. agronomist, pathologist, enologist, etc.)

D. Proposal type – Indicate which type of Campus funding is being sought and state the duration of the project. Maximum project lengths are dependent on funding type as indicated in Section 2.

E. Research focus areas - Identify the research categories that best describe this proposal's subject matter for scientific review. If more than one category is suitable, prioritize your preferences numerically. Further information on the focus areas can be found at: <http://ari.calpoly.edu/classification.htm>

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

G. Funding requirement - 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.

H. Match – Documentation of all match funding is required. **(Seed Funding proposals should leave this section blank.)**

the names and contact information of all donors and/or pending donors
category of match offered (industry, state and/or federal agency, foundation, individual, and/or other)

dollar amount of cash and/or in-kind match sought (in-kind matches must be fair market value)

Pending match must include the complete donor name, date of submission to an external funding entity and anticipated date of award notification.

For more information on matching funds, please see Attachment A: ARI Matching Funds Acquisition Policies and Guidelines at the end of this Call for Proposals.

I. Faculty and research staff release and/or additional employment pay – Identify all faculty release and additional employment pay requested by each individual (indicate the percentage of release time requested, if any, including the number of WTU’s, and quarter involved). If additional employment pay is requested, identify the position fraction, amount of pay and period of time.

10. Signature Page Instructions

The project director is responsible for securing 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 submission, place an “NA” in the appropriate space. **Do not delete any signatory subsections.** It is the project director’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. Project Director:

The Project director is solely responsible for a project’s programmatic outcomes and financial accountability.

[If co-PD’s are involved, this section should be duplicated.]

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 faculty release time and/or additional employment pay request is practical and can be coordinated with the teaching requirements of the department.

[If more than Department is involved, this section should be duplicated.]

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.

Stop at this step for Campus submissions.

D. 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 project director's compliance with requirements of existing ARI-funded projects.

E. Dean

The Dean certifies that the proposal conforms to ARI goals and objectives; is complete and in compliance with ARI requirements; that the project director is in compliance with all previous ARI-awarded project requirement; that the proposal supports the programmatic goals and objectives of the College of Agriculture, Food and Environmental Science; and that proposed faculty release time and additional employment pay meet the College's requirements.

11. Timelines (apply to all 3 funding types unless otherwise noted)

A. Submissions, Review and Award Notification

August 1, 2008	Call for Proposals released
October 24, 2008	Notices of Intent Due (only New Investigator and Campus Competitive Funding) 4th Friday of October.
February 20, 2009	Proposals due to campus coordinator 3 rd Friday of February.
March 13, 2009	Proposal submission to reviewers 2 nd Friday of March.
late April, 2009	Technical Review Committee meets
mid May, 2009	Award Notification
July 15, 2009	Funding availability and/or 10 working days after the Governor signs the State Budget (including any applicable State budget trailer bills) – All funding is contingent upon final approval of the State Budget.

B. Project Director Orientation Meetings

Summer through fall 2009	Campus coordinators are responsible for conducting project orientation meetings for project directors within five weeks of award setup as needed.
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C. Interim, Annual and Final Reports and Receipt of Matching Funds

November 6, 2009	Interim reports due 1 st Friday of November.
December 15, 2009	Deadline for receipt of first year matching funds for new awards. (only New Investigator and Campus Competitive Funding)
April 16, 2010	Annual Reports due for projects continuing beyond 12 months. (only New Investigator and Campus Competitive Funding)
June 30, 2010	Project completion target date (excluding any no cost extensions).
August 31, 2010	Final reports due
Note:	Project directors should submit all required reports directly to the Grants Analyst. All project reports are due at the executive director's office within ten working days after the date due to campus coordinators/grants analyst. It is the campus coordinator's responsibility to collect system project reports. 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.

12. 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 promotional purposes. The abstract/impact/summary statement is not part of the narrative.

13. Narrative

Proposal narratives are limited to no more than 10 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 (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 4) 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 Initiative (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 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
- 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 identified on the Project Checklist AND students to be working on the project, the following should be included:

1. A statement of roles and responsibilities,
2. A statement of each person's time commitment, and
3. A curriculum vitae or resume for all **key personnel**. (as attachments – not part of the 10 page limit – short versions, maximum of 6 pages each).

When the first RFP for this Initiative 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 7A)**

F. Budget and Justification (worth 15 points)

Provide a complete budget narrative justification for each budget line item. (The budget pages themselves are submitted as attachments and do not count as part of the 10 page limit.) Additionally, use the *Excel* spreadsheet format provided at:

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

(see attachment 5 for an example) to communicate your funding needs and the use of your matching funds. If you propose a multiple year project, provide a complete budget for each year per sponsor. **It is strongly recommended that you work with the Grants Analyst to prepare your budget.** 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).

14. 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. This does not include the signature page, checklist, timeline, budget page, CV or other references and attachments.

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.

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 7B)

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

(805) 756-2161

(805) 756-6577 Fax

mshelton@calpoly.edu

College of Agriculture, Food and Environmental Sciences

California Polytechnic State University

San Luis Obispo, CA 93407

Cal Poly, SLO Grants Analyst

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College of Agriculture, Food and Environmental Sciences

California Polytechnic State University

San Luis Obispo, CA 93407

Attachment 2
Sample Checklist – Use Online Form

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. Street Address
- E. Mailing Address
- F. City, State, & Zip
- G. Phone Number(s)
- H. Fax Number
- I. E-mail
- J. Specific Expertise

4. Co-PI(s), Collaborator(s), and Cooperator(s): Please provide complete information for all co-PI's, collaborators and cooperators. List in order of responsibility to the project. Supplemental forms for each category are available at <http://ari.calstate.edu/preaward.htm>

Co-PI

- A. Name
- B. Title
- C. Affiliation
- D. Street Address
- E. Mailing Address
- F. City, State, & Zip
- G.. Phone Number(s)
- H. Fax Number
- I. E-mail
- J. Specific Expertise

Collaborator

- A. Name
- B. Title
- C. Affiliation
- D. Street Address
- E.. Mailing Address
- F. City, State, & Zip
- G. Phone Number(s)

- H. Fax Number
- I. E-mail
- J. Specific Expertise

Cooperator

- A. Name
- B. Title
- C. Affiliation
- D. Street Address
- E. Mailing Address
- F. City, State, & Zip
- G. Phone Number(s)
- H. Fax Number
- I. E-mail
- J. Specific Expertise

5. 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)

6. Research Focus Area: Identify the research categories that best describe this proposal's subject matter for scientific review. If more than one category is suitable, **numerically** prioritize your preference. Classify your project according to BOTH general and specific categories. Please see the web site for additional descriptions:

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

General

- 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 _____

Specific

- A. Climate change, air quality _____
- B. Food safety, security, & technology _____
- C. Water quality, infrastructure & technology _____

- D. Energy efficiencies & alternative energy _____
- E. Env. Infrastructure improvement & restoration _____
- F. Invasive species management _____
- G. Public health & safety _____
- H. None of the above _____

7. ARI Funding Request: Identify the total ARI funding requested. If the proposal is for a multiple-year project, also identify each fiscal year’s budget request separately on the Excel spreadsheet provided (systemwide attachment 5 or campus budget form). Duplicate the spreadsheet, if necessary. If the proposal is for fewer than three years place, “NA” in the appropriate spaces.

- A. FY 2008/09 Funding Request \$ _____
- B. FY 2009/10 Funding Request \$ _____
- C. FY 2010/11 Funding Request \$ _____
- Total Funding Request \$ _____

8. 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.

9. External Match: Identify all external matches, including pending match, by funding entity name, category and amount, value or request. **Cash, in-kind and pending matches must be documented by letter or memorandum at the time of proposal submission.**

SYSTEMWIDE: All match must be verified on appropriate ARI match verification forms no later than 10 working days after the Governor signs the State Budget (including any applicable State budget trailer bills) in each respective fiscal year (FYs 2008-09, 2009-10, and 2010-11). ARI funding will be cancelled if appropriate match verification is not provided accordingly. CAMPUS: All match must be received before winter break each fiscal year to receive ARI funding. See Attachment A of the Campus RFP for a definition of “received”. In-kind match evaluations must be for “real” fair market value. 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. Pending match must have been submitted to an external funding entity prior to submission of the ARI proposal.

A. Cash match:
 Funding entity: _____

Pending or in hand: _____ Amount FY 08-09: _____
 _____ Amount FY 09-10 _____

	_____	Amount FY 10-11	_____
	_____	Total	_____
Category:			
Federal	_____	State	_____
Local/Regional	_____	Industry	_____
Non-Profit	_____		

B. In-kind match:

Funding entity: _____

Pending or in hand:	_____	Amount FY 08-09:	_____
	_____	Amount FY 09-10:	_____
	_____	Amount FY 10-11:	_____
	_____	Total	_____
Category:			
Federal	_____	State	_____
Local/Regional	_____	Industry	_____
Non-Profit	_____		

10. Faculty release, Nonacademic work time “summer salary” and overload pay (added compensation):

If faculty release, summer salary or added compensation is requested, identify the exact percentage of time requested, the number of WTU’s requested and the quarter affected. If summer salary or overload pay is requested, identify the starting and ending dates and an estimated number of work hours per quarter. If the proposal is for a multiple-year project, identify each year’s request separately. If more than one person is requesting faculty release and/or nonacademic work time or overload pay, list each person separately. Duplicate and use extra pages if necessary.

A. Person requesting:

Department:

Supervisor:

Faculty Release Time

		Percent	WTU’s
FY 2008/09	Summer	_____	_____
	Fall	_____	_____
	Winter	_____	_____
	Spring	_____	_____

FY 2009/10	Summer	_____
	Fall	_____
	Winter	_____
	Spring	_____
FY 2010/11	Summer	_____
	Fall	_____
	Winter	_____
	Spring	_____

Added Compensation

		Hours
FY 2008/09	Summer	_____
	Fall	_____
	Winter	_____
	Spring	_____
FY 2009/10	Summer	_____
	Fall	_____
	Winter	_____
	Spring	_____
FY 2010/11	Summer	_____
	Fall	_____
	Winter	_____
	Spring	_____

Note:

Unless otherwise specified in writing, all equipment purchased with ARI funding shall remain the property of the coordinating ARI-member College of Agriculture.

Attachment 3

Signature Page

Project Title:

The principal investigator/project manager(PI) must secure all applicable 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 “NA” in the appropriate space. 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. PIs submitting proposals for system funding must also secure their respective campus coordinator’s signature prior to submission.

1. Principal Investigator/Project Manager:

“This proposal conforms to ARI goals and objectives. It is complete and in compliance with the ARI format. I authorize my Campus Coordinator and/or designee to have viewing rights to all projects, funds, or accounts which may serve as match to this project.”

Date

Principal Investigator/Project Manager

2. Co-Investigator/Collaborator: *(Duplicate this section as needed. Signatures must be obtained from all key personnel participating in this project.)*

“This proposal conforms to ARI goals and objectives. It is complete and in compliance with the ARI format. I authorize my Campus Coordinator and/or designee to have viewing rights to all projects, funds, or accounts which may serve as match to this project.”

Date

Co-Investigator/Collaborator

3. Department Chair/Head: *(Duplicate this section as needed. Signatures must be obtained from all Departments with faculty participating in this project.)*

“This proposal supports the programmatic goals and objectives of the Department. Planned faculty release time, nonacademic work time, and/or overload time has been coordinated with and meets Departmental requirements.”

Date

Department Chair/Head

4. Center Director (if applicable):

“This proposal supports the programmatic goals and objectives of the center. Requested center resources are reasonable and will be made available.”

Date

Center Director

5. Farm Supervisor (if applicable):

“This proposal supports the programmatic goals and objectives of the university farm laboratory. Requested university farm laboratory resources are reasonable and will be made available.”

Date

Farm Manager/Director of Operations

6. Campus Coordinator:

“This proposal conforms to ARI goals and objectives. It is complete and in compliance with the ARI format. The principal investigator is in compliance with all previous ARI-awarded project requirements.”

Date

Mark Shelton, Campus Coordinator

7. Dean:

“This proposal conforms to ARI goals and objectives. It is complete and in compliance with the ARI format. The principal investigator is in compliance with all previous ARI-awarded project requirements. The proposal supports the programmatic goals and objectives of the College of Agriculture, Food and Environmental Sciences. Planned faculty release time, non academic work time, and/or overload time has been coordinated with and meets the College’s requirements”

Date

David Wehner, Dean

Attachment 4

Project Timeline Format

Major Activity
Areas/Objectives

Performance Period

J A S O N D J F M A M J

Activity Area I

Objective 1

Activity 1

S-----C S-----C

Activity 2

S-----C

Activity 3

S-----C

Objective 2

Activity 1

S-----C

Activity 2

S-----C

Activity Area II

Objective 1

Activity 1

S-----C

Activity 2

S-----C S-----C

Objective 2

Activity 1

S-----C

S = start date
C = completion date

Budget

One source per year per page please!

Only enter data in green cells.

Source of Funding:		Year:	2009-2010	
		Year 1		
Account	Line Item Description	Amount	Hours/WTUs	
800000	Salary - regular			
800005	Salary - coPI - total	\$ -		
800005.1	Salary - coPI added compensation			
800005.3	Salary - coPI release time			
800011	Salary - faculty - total	\$ -		
800011.1	Salary - faculty added compensation			
800011.3	Salary - faculty release time			
800020	Salary - project director - total	\$ -		
800020.1	Salary - project director added compensation			
800020.3	Salary - project director release time			
800027	Salary - clerical/secretarial			
804002	Salary - graduate assistant			
804005	Salary - student assistant			
805002	Salary - intermittent			
809001	Benefits	\$ -		
809006	Tuition			
813000	Consultant			
816002	Dues, Fees and Memberships			
816009	Contract Labor			
816011	Subcontractor expense			
816013	Printing			
821000	Postage			
821504	Rental			
822000	Freight			
823000	Telephone			
824000	Supplies and Materials (and non-capital equipment)	\$ -		
824000.1	Supplies and Materials general			
824000.2	Supplies and Materials non-capital equip.			
824304	Supplies and Materials non-capital computer equip.			
824300	Equipment (capital) - over 5K non-computer			
824301	Equipment (capital) – over 5K computer equipment			
824302	Software			
825800	Maintenance (General)			
825801	Maintenance (computer)			
826000	Travel			
826001	Training			
826009	Registration			
860000	Miscellaneous			
860002	Duplication			
860007	Professional Development			
860009	Publications			
TOTAL		\$		

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 7B.

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.

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 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 Checklist 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 7A

FY 2009-2010 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
Approach to the Problem	20	
Project Methodology	20	
Dissemination Plan	10	
Evidence of Economic Value	20	
Researcher Qualifications	15	
Budget Appropriateness	15	
D. TOTAL	100	

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 09-10 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)	
Overall Total	

Reviewer's Comments

Other documents available as needed:

Attachment 7B

FY 2009-2010 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	40	
Alignment with ARI Priority Area(s)	10	
Applicability of proposal to PGP	20	
Researcher Qualifications	15	
Budget Appropriateness	15	
E. TOTAL	100	

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 level of received matching funds. 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*, 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 in progress.
- B. It is a cash gift received and deposited into the Project Director's ARI matching account (set up by the CAFES Grants Analyst).
the form that gets filled out is located at:
http://advancement.calpoly.edu/forms/ua_cash_form.doc
- 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.

the form that gets filled out is located at:

http://advancement.calpoly.edu/forms/ua_gik_form.doc

- 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 Foundation. 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 tax deduction.

Checks should be made payable to Cal Poly Foundation.

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)”).

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