



# Agricultural Research Institute (ARI)

## FY 2020-21 Request for Proposals

### Application Deadlines:

System Pre-Proposal Application Deadline: Wednesday, November 13, 2019, 5:00 p.m. PT

System Full Proposal Application Deadline: Wednesday, February 26, 2020, 5:00 p.m. PT

**\* Note: Check with your Campus Coordinator/Point Person for your campus's internal deadline submission.**

Specifics for Cal Poly - San Luis Obispo are in green.

[Click here](#) to prepare and submit proposal.

## Table of Contents

Executive Summary.....	4
Part I - Funding Opportunity Description.....	4
A. Research Focus and Topics .....	4
Part II – Award Information .....	5
A. Available Funding.....	5
1. System Competitive Research Funding.....	5
2. Campus Competitive Research Funding .....	5
B. Types of Applications .....	6
1. System Funding.....	6
2. Campus Funding.....	6
3. Seed Funding.....	7
4. New Investigator Funding.....	7
Part III – Match Requirement .....	7
A. Cash Match .....	8
B. In-Kind Match.....	8
C. Match Allowability .....	9
D. Match Priority .....	9
E. Match Acquisition Timeframe.....	9
F. Documentation .....	9
Part IV – Application and Submission Information.....	9
A. Content and Form of Application Submission .....	10
1. Pre-Proposals for System Competitions .....	10
2. Notices of Intent - CalPoly - San Luis Obispo .....	10
3. Full Proposals .....	11
Project Narrative.....	133
A. Problem/Issue to be Addressed.....	13
B. Statement of Methodology.....	13
C. Dissemination Plan.....	14
D. Evidence of Economic Impact to Industry and Consumer .....	14
E. Outcomes Evaluation Plan .....	15

F. Staffing .....	15
G. Budget Narrative .....	16
B. Electronic Application Submission .....	17
Part V – Application Review Requirements .....	18
A. General.....	18
1. System Funding Applications .....	18
2. Campus Funding Applications .....	18
B. Evaluation Criteria.....	18
Part VI – Submission and Processing Timeline .....	20
Part VII – Award Administration .....	221
A. Award Reductions and Cancellations.....	221
1. Reductions .....	221
2. Cancellations .....	221
B. Project Start Date.....	221
C. Budget Revisions .....	221
D. Indirect Charges .....	221
E. Confidentiality of Proposals .....	22
F. Intellectual Property Policy .....	22
Part VIII – Award Reporting .....	22
A. General.....	22
B. Annual Reports.....	22
C. Additional Annual Reports as a Result of a No-Cost Extension .....	23
D. Final Reports .....	23
Part IX – ARI Program Contacts.....	23

## Executive Summary

The [Agricultural Research Institute \(ARI\)](#) exemplifies the California State University System (CSU) working for California through university-industry partnerships. The ARI primarily focuses on finding immediate and practical solutions for high-priority challenges facing California agriculture. ARI provides a diversified, multi-campus applied research program that annually matches \$4.37 million in State General Funds with at least one-to-one external support for research on high-priority issues facing California agriculture.

The ARI engages the collective expertise of the CSU's four colleges of agriculture, defined as Member Campuses, at California State University, Fresno; California Polytechnic State University, San Luis Obispo; California State Polytechnic University, Pomona; and CSU, Chico. Associate ARI Campuses include CSU, Monterey Bay and Humboldt State. Faculty are encouraged to work collaboratively with faculty and research scientists from other CSU and University of California (UC) campuses, the USDA, and other State, Regional and Federal organizations. ARI's research and technology transfer activities complement the basic research conducted by the nation's land grant universities and aim to improve the economic viability and sustainability of California agriculture.

## Part I - Funding Opportunity Description

This RFP provides essential information to prospective researchers and administrators regarding the funding opportunities, and the purpose of the program. Further details regarding policies and procedures are available in the [ARI Policies and Procedures](#).

### A. Research Focus and Topics

The ARI's State funding must be annually matched at least one-to-one with industry and/or other non-CSU State General Funds to support high-impact applied agricultural research. Priority is given to research conducted through university-industry and/or collaborative multi-college/university partnerships that demonstrate the potential to improve the economic efficiency, productivity, profitability, and sustainability of California agriculture and its allied industries. Project results dissemination and technology transfer should lead to increased consumer awareness and confidence in our environmentally sound and science-based food and agricultural systems. The ARI focuses on the following agricultural and natural resource issues that have the potential to affect the sustainability and profitability of California agriculture (for full descriptions of each issue and research topic please visit the ARI website at <https://ari.calstate.edu> **content in progress**):

- Water
- Labor
- Environment
- Regulations

The ARI funds applied research projects within the following research topics:

- Advanced Technologies
- Animals

- Business and Economics
- Environment
- Farming and Ranching
- Food Science
- Health
- Human Sciences
- Natural Resources
- Plants

## **Part II – Award Information**

### **A. Available Funding**

ARI funds are intended to encourage CSU system and individual campus excellence in applied agricultural research. There are two separate ARI competitive grant competitions, System and Campus. System competitive grants are open to all 23 CSU campuses; collaboration is required and must include at least one CSU campus faculty or research scientist collaborating with another CSU campus faculty or research scientist from a UC, industry or another qualified research organization's faculty or research scientists. Campus competitive grants are administered on each ARI Member or Associate Campus and do not require collaboration with an external campus, a UC, state or federal agency.

Research funding opportunities are not exclusive to colleges of agriculture and traditional agricultural programs, but are available to faculty and research scientists from many disciplines to support applied agricultural and natural resource research projects.

Funding is restricted to public domain projects for all types of awards.

#### **1. System Competitive Research Funding**

The ARI annually allocates \$800,000 in support of a multi-campus shared pool of competitive research funding for research of statewide significance and open to all 23 CSU campuses.

#### **2. Campus Competitive Research Funding**

The ARI annually allocates \$2.66 million to be dispersed by ARI Administration among the four CSU ARI Member colleges of agriculture in support of individual campus competitive applied agricultural research. Individual campus funding allocations are made specifically for addressing unique local and/or regional project activities.

Associate campus funding is provided through a separate allocation from the Chancellor's Office. In FY 2020-21 it is anticipated that CSU Monterey Bay and Humboldt State University will receive \$110,000 and \$260,000, respectively. Of these allocations, CSU Monterey Bay will use \$10,000 and Humboldt State \$25,000 to support administration of the ARI program on their campus. In total,

the annual research allocation for CSU Monterey Bay and Humboldt State is \$100,000 and \$235,000, respectively.

## **B. Types of Applications**

### **1. System Funding**

Eligible Applicants: Any qualified researcher from the 23 CSU campus system. Project Directors may be faculty (tenure-track or adjunct), lecturers or research scientists with campus-defined eligibility from their respective CSU campus.

System grants can be funded for a maximum of 3 years with a minimum request of \$75,000 per year and a maximum request of \$150,000 per year. Pre-proposals are required. Requests for full proposals will be based on a pre-proposal evaluation and ranking.

System competitive grants are open to all 23 CSU campuses; collaboration is required and must include at least one CSU campus faculty or research scientist collaborating with another CSU campus faculty or research scientist from a UC, industry or another qualified research organization's faculty or research scientists. The principal investigator must be from a CSU campus. System proposals must document the research collaboration in terms of financial support and scope of work, through subcontracts, standard agreements, and/or transfer of matching funds from collaborator(s) to the Project Director's campus. System proposals involving multiple CSU campuses will receive priority.

The number of awards available is dependent on available funding each year.

Each System research project is required to obtain 1:1 match to ARI funds provided with a minimum of 25% cash.

### **2. Campus Funding**

Eligible Applicants: Cal Poly, Pomona, Cal Poly, SLO, Chico State, Fresno State, Humboldt State, CSU Monterey Bay. Project Directors for Campus ARI projects must be faculty (tenure-track or adjunct), lecturers or research scientists with campus-defined eligibility from the member or associate campus that receives the ARI allocation.

Campus grants can be funded for a maximum of 3 years with a maximum request of \$150,000 per year.

Collaboration is not required, but encouraged.

The number of awards is dependent on available funding each year.

Each **SLO** Campus research project is required to obtain **110%** match to ARI funds provided with a minimum of 25% cash, with the exception of Seed and New Investigator Funding (see below).

### 3. Seed Funding

Eligible Applicants: **only CAFES tenure-track faculty within their first year of appointment.**  
**Please contact either Associate Dean Jim Prince or Sue Tonik - CAFES Grants Analyst to discuss this option.**

**SLO Campus** Seed grants are funded for one year with a maximum request of **\$5,000**. Collaboration and match are not required for individual projects. The campus research allocation must be matched in aggregate to cover seed grants.

Although offered, a campus is not obligated to fund Seed grants in a given funding cycle.

### 4. New Investigator Funding

Eligible Applicants: **only CAFES tenure-track faculty.** Must be a first- through fourth-year tenure-track faculty member who have not been a past or current recipient of a campus competitive award.

New Investigator grants can be funded for a maximum of two years with a maximum request of \$20,000 per year; no minimum.

Collaboration is not required.

The number of awards is limited to four per funding cycle per campus.

Each New Investigator project is required to obtain a minimum 75% total match; 20% of the 75% match must be cash. The campus research allocation must be matched in aggregate to cover new investigator grants.

Although offered, a campus is not obligated to fund New Investigator grants in a given funding cycle.

## Part III – Match Requirement

With the exception of Seed and New Investigator funding (see above), each System research project is required to obtain 1:1 match to ARI funds provided with at least 25% being cash. Each Campus research project (**other than Seed grants and New Investigator grants**) is required to obtain **110%** match with at least 25% being cash. In addition, the campus research allocation must be matched in aggregate to cover Seed and New Investigator grants.

ARI external match funding goals and objectives are intended to:

- Augment and extend CSU research faculty's capacity to conduct priority applied research, information dissemination, and technology transfer activities
- Help identify priority applied agricultural research projects and activities
- Facilitate CSU and ARI industry partnerships and community engagement

- Provide “real world” student experiential learning and science and technology based workforce development opportunities
- Keep ARI State funding actively committed to on-going research activities

Matching funds must be **necessary to complete the project** and be fully explained in the “Match & ARI Specific Objectives” form, added as a required attachment. As an example, if support has already been received through the match source to perform objectives 1, 2 and 3, use the form to indicate how ARI funding will be used to support additional new objectives, or alternatively, cofunding of the same objectives. Care must be taken to demonstrate the scope of work completed under each form of support (ARI and match) and the relationships between/among these funding sources. Note that the budget template requires the PD to specify ARI and match sources at the line-item level. Proposals that do not contain all of the required sections and proper documentation of in-hand matching funds will not be considered.

### **A. Cash Match**

Cash match is defined as any cash, check and/or other negotiable United States currency contribution made by non-CSU State General Fund sources that directly benefits and is specifically pertinent to an ARI or ARI master grant funded project. An allowable match directly benefits and is specifically applicable to an ARI or ARI master grant funded project and must be received by the ARI project PD or Co-PD. For system projects, cash match from both the PI and Co-PI CSU campuses will be counted and the cash must reside on one of those CSU campuses.

Cash matching funds must be **necessary to complete the project** and verified with the signature of the Foundation/Auxiliary/State Authorizing personnel using the “ARI Cash Match Verification” form, added as a required attachment.

### **B. In-Kind Match**

In-kind matching for an ARI funded grant program is the portion of project costs not paid by ARI funds. Matching includes any contributions from a non-CSU entity, in which time, goods, services, equipment or other expendable property of verifiable financial “fair market value” is contributed to the ARI project in support of achieving the objectives as presented in the project proposal. Matching contributions cannot originate from the CSU State General Fund allocation or other contributions that have been previously utilized as ARI or ARI master grant match.

Fair market value is defined as the generally acceptable commercial value of a donation. For example: the value of consultant and/or staff time will be determined based on what the individuals involved are actually paid by other clients for similar work. Proper accounting for the match includes documentation of land value, contributed time supported through payroll documents, receipts for materials and supplies. Matching contributions are subject to audit and should be verified via support documentation submitted on a quarterly basis, or at least annually.



In-kind matching funds must be **necessary to complete the project** and verified with the signature of the Foundation/Auxiliary/State Authorizing personnel using the “ARI In-kind Match Verification” form, added as a required attachment.

### **C. Match Allowability**

Cash or in-kind match originating from any CSU State General Fund allocation, any other ARI funded program, previously funded ARI projects or other donations which have been previously utilized as match for other projects is specifically prohibited from being used as external match. ARI and ARI master grant funding do not qualify as reciprocating match. Unrecovered indirect costs are not allowed as part of a match.

CSU Project personnel are not allowed to count their volunteer time on ARI projects as in-kind match.

### **D. Match Priority**

The type of match further stratifies projects of equal ranking. Priority will be given to those proposals that document 100% cash match. Proposals with a combination of cash and in-kind match are prioritized in order of highest percentage of cash match relative to the ARI funding request.

**Campus proposal match is additionally prioritized by source. After all other technical evaluations are complete, proposals with matching funds from industry or commodity groups as the predominant source of match receive higher priority than those without.**

### **E. Match Acquisition Timeframe**

Project match must be documented and verified between six months prior and six months post either the start of the fiscal year (July 1) or notification by the ARI Executive Director of ARI fund availability, depending on campus policies and procedures.

For match arriving prior to six months before the project start date, only the available balance at the six months prior date is allowed as project match.

### **F. Documentation**

Awarded ARI funding will not be released until match is received. Match is considered received if it is documented and verified on the appropriate ARI match verification form. The Project Director and campus or auxiliary official must sign the form.

Pending match may be submitted with proposals but must be received prior to release of project funds by the campus. The only exception is pending in-kind service which needs to be documented as “pledged” at the beginning but must also be verified as “received” with support documentation after completion or no less than annually. In-kind service is subject to audit, and should be verified via support documentation submitted on a quarterly basis, but no later than annually.

## **Part IV – Application and Submission Information**

All ARI system and campus pre-proposals and full proposals must be submitted through the ARI InfoReady web-based proposal submission and routing system. InfoReady is accessible on the ARI website at [www.ari.calstate.edu](http://www.ari.calstate.edu).

## **A. Content and Form of Application Submission**

### **1. Pre-Proposals for System Competitions**

System competitions require a pre-proposal. Some campuses may require a pre-proposal or letter of intent for their Campus competition; please check with your respective ARI Campus Coordinator.

Pre-proposals require completion of the information fields/attachments listed below. A complete definition and/or explanation of the information being requested is provided in each web page subsection.

#### InfoReady Required Fields:

- PI Details
- Co-Investigator(s) Details
- Cooperator(s) Details
- Project Information
  - Proposal Title
  - Proposal Abstract
  - Funding Type
  - Duration
  - Focus Area
  - Research Category
- Estimated Funding Request
- Estimated Cash Match
- Estimated In-Kind Match
- Estimated Faculty/Research Staff Release

#### InfoReady File Uploads

- Project Narrative (required)  
The pre-proposal narrative must not exceed five pages, 1.15 line spacing pages, not including references. Use Times New Roman, font size 11, 1" margins and bold headings. It must be uploaded as an Adobe PDF.

Include the following headings in the pre-proposal narrative:

- Identification of the Problem
- Address its importance to California agriculture
- Objectives and Experimental Approach

- Budget narrative
  - Provide an estimated budget that includes an overview of support for personnel, equipment, supplies, travel, etc. needed for the project.
- Miscellaneous Attachments/Appendix  
Load documents in support of your application, which may include letters of support, match verification, preliminary data, etc. This could also include routing approval, budgets or other forms required by your individual campus.

## 2. Notices of Intent – Cal Poly - San Luis Obispo

A Notice of Intent (NOI) **MUST** be submitted for Campus Competitive. Deadline is listed in section VI. P20.

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

[www.ari.calpoly.edu/content/ari-rfp-2019-2020](http://www.ari.calpoly.edu/content/ari-rfp-2019-2020)

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 VI 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 1, 2020. Permission for submission is on a case-by-case basis made by the Campus Coordinator.

## 3. Full Proposals

System and campus full proposals require completion of the information fields listed below. Researchers are encouraged to review the Evaluation Criteria below to determine how their respective proposals will be evaluated.

InfoReady Required Fields:

- PI Details
  - Curriculum Vitae/Resume - Use brief versions (no longer than three pages each) and ARI Presentations & Publications should be **HIGHLIGHTED**.
  - Current & Pending Support Form(s) – Use template provided.
- Co-Investigator(s) Details
  - Letter of Commitment – Use template provided. Required for each Co-Investigator

- Curriculum Vitae/Resume - Use brief versions (no longer than three pages each) and ARI Presentations & Publications should be **HIGHLIGHTED**.
  - Current & Pending Support Form(s) – Use template provided. Required for each Co-P.I.
- Cooperator(s) Details
- Project Information
  - Proposal Title
  - Proposal Abstract - In 500 words, in lay-person's terms, please provide a concise, stand-alone description of the project including a) identification and significance (extent) of the problem to California agriculture and natural resources; b) goals and objectives of the project; c) contribution to California workforce development through student participation in project; d) statement on the potential impact of the project to California agriculture and/or natural resources. (This pastes as plain text so please do not use symbols, italics or special formatting.)
  - Funding Type
  - Duration
  - Focus Area
  - Research Category
- Funding Request
- Cash Match Details
- In-Kind Match Details
- Faculty/Research Staff Release Pay - MUST match the budget

InfoReady File Uploads:

- Project Narrative (consisting of sections A-G, see below) **as a pdf**
- References Cited **as a pdf**
- Timeline of Activities (use template provided)
- Appendices/Data in support of proposal
- ARI Budget Spreadsheet (use template provided)
- Campus Internal Budget (use your campus template) **pdf provided by CAFES Grants Analyst**
- Match & ARI Specific Objectives (use template provided; not required for seed funding)
- Cash Match Verification Form(s) (use template provided; only required for in-hand matches; not required for seed funding)
- In-Kind Match Verification Form(s) (use template provided; only required for in-hand matches; not required for seed funding)
- **Professional Development Plan – for Seed funding proposals only.**

- Data Sharing and Use of Preexisting Intellectual Property (use template provided)
  - Investigators are expected to share with other researchers, at no more than incremental cost and within a reasonable time, the primary data, samples, physical collections and other supporting materials created or gathered in the course of work under ARI grants. A declaration of pre-existing intellectual property must be noted on the form and submitted with the proposal.

## **Project Narrative**

The Project Narrative consists of sections A-G, listed below. Sections A-E (inclusive) must not exceed ten pages. Sections F-G must be included in the narrative but will not be counted against the ten-page limit. Load the complete narrative (sections A-G) as an Adobe PDF, Times New Roman, font size 11, normal (1") margins, 1.15 line spacing, with narrative section headings in bold.

Project narratives must include the following sections; please use the headings and bold font as listed below to label each section.

### **A. Problem/Issue to be Addressed**

Identify and briefly describe the problem or issue being addressed and explain why it is a high priority for California agriculture; justify the project by briefly discussing the extent of the problem and the anticipated economic impact of addressing the issue as proposed. Describe the current knowledge relevant to this problem and provide relevant citations. Describe how the proposed work will contribute to the body of knowledge and solving the stated problem.

Seed Funding Proposals: 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://www.ari.calpoly.edu/content/research\\_classification](http://www.ari.calpoly.edu/content/research_classification).

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 Development Plan as an attachment.

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.

### **B. Statement of Methodology**

Provide a statement of the purpose of the research, a list of the research goals and objectives as well as a detailed description of research activities. List the objectives and methodology in sufficient detail for reviewers to judge the likelihood of success in obtaining data that supports

the objectives and will test stated hypotheses. Include the experimental design; describe the data that will be generated and how those data will be analyzed. Identify and address possible pitfalls in the methodology and their solutions. Use and attach the form “Match & ARI Specific Objectives” to describe which objectives are supported by the ARI and those of the match source. Use and attach the form “Timeline of Activities” to provide an overview of the activities that will be undertaken in support of each objective.

### C. 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 and consumers. ***In any news release or public conference initiated by the issuance of a 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 must be included: “Partial funding for this project has been provided by the California State University Agricultural Research Institute (ARI).”*** It is also highly recommended that external donors be acknowledged and recognized for their contributions to the success of a project.

The ARI requires and will assess each project regarding whether an effort was made to provide information to California farmers, ranchers, agribusiness concerns and other relevant consumer and stakeholder groups. Professional journal publications, attendance and presentations at professional meetings, and 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, consumers, and agribusiness concerns typically do not typically receive such publications or participate in such activities.

### D. Evidence of Economic Impact to Industry and Consumer

**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.

If industry has NOT been able to provide financial support, please provide justification why this high-priority work has failed to attract industry support and what steps will be taken to develop such support for the duration of the research.

Seed Funding Proposals should replace this entire section with Future Funding (15 points)

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.

## **E. Outcomes Evaluation Plan**

If it is important to California agriculture to fund this project, then it is important to show how the project will be evaluated in terms of success. Describe the project's objectives and describe how you will determine if the objectives have been met. This may be as simple as indicating a dataset was created, new knowledge was created or a new variety was created and by doing so fulfills objective 1, 2, or 3. Describe or list the deliverables for this project.

The terms **outcome** and **accomplishment** are considered to be synonymous. They can represent a change in knowledge, action and/or condition. Almost all research projects have an outcome with a change in knowledge, but many ARI projects also have other outcomes because of their applied nature.

Examples:

Increase in profits for XXXX growers by using YYYYY technique for last year. Decrease the percent of obese children entering kindergarten in ZZZZ at-risk population.

**Sections F-G must be included in the narrative but will not be counted against the ten page limit.**

## **F. Staffing**

Provide the following information for all key project personnel (Project Director, Co-investigator(s), and Cooperators(s)). Provide a detailed statement of each key individual's roles and responsibilities as listed in the timeline of activities. If students are supported on

this project, provide a detailed statement of each student's role and responsibilities as indicated in the Timeline of Activities.

For campus proposals, ARI strongly encourages collaborative working relationships among departments, other colleges, other CSU campuses, the University of California, industry partners, and other agricultural research agencies.

For system proposals, collaboration is required and must include at least one CSU campus faculty or research scientist collaborating with another CSU campus faculty or research scientist from a UC, industry or another qualified research organization's faculty or research scientists. The principal investigator must be from a CSU campus.

**The participation of graduate and undergraduate students in project activities is strongly encouraged and valued.**

## **G. Budget Narrative**

Budget narratives and budget spreadsheets must be consistent. Sufficient detail should be provided to allow the reviewer to determine whether there is a clear relationship between the resources requested and the work proposed.

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

Provide a complete budget narrative justification for sections A – G from the Budget Spreadsheet:

- *Senior Personnel* – Provide the annual base salary and percent commitment in the details of your calculations for each Senior Personnel. Include additional employment, summer salary and release time.
- *Other Personnel* – As appropriate, provide annual salary or hourly rate, number of hours committed to the project (if student indicate AY and/or summer) and complete calculations of funding request for each personnel.
- *Fringe Benefits* – Provide benefit rate and complete calculation of benefit request for each Senior and Other Personnel.
- *Equipment* – Provide estimated cost including tax and shipping.
- *Travel* – Please identify meetings expected to attend, estimated registration fees, estimated lodging costs, per diem costs, travel costs and anticipated associated costs.
  - ARI PI Meeting – PI's with system grants are required to attend the annual PI meeting. PI's with a campus grant of \$150,000 over the lifetime of the grant or \$75,000 in a single year are required to attend. Travel funds should be requested in the proposed budget to support attendance of the meeting



every year during the life of the grant. Please identify lodging, per diem and travel costs plus other anticipated costs.

- *Participant Costs* – Provide details and all calculations regarding tuition reimbursement, scholarships, stipends, travel, etc.
- *Other Direct Costs* – Include details of materials and supplies used in support of experimental objectives. Include publication costs, consultant services, computer services, subawards, etc.

Faculty may claim academic release time and/or additional employment pay (summer salary and/or overload) on ARI projects. Generally, preference will be given to proposals for which release time, rather than additional pay, is requested for academic year duties. When claiming faculty release and/or additional pay, technical/other staff, and/or student salary funding, an appropriate university/auxiliary payroll tax/benefit expense must be included in the project budget. To determine the appropriate benefit rate, consult with your respective Campus Coordinator or Point Person.

While Campus Coordinators and/or their respective designee(s) will make every reasonable effort to assist Project Directors in budget development, monitoring, and tracking, Project Directors are responsible for budget development and accountability.

## **B. Electronic Application Submission**

All ARI system and campus pre-proposals and full proposals must be submitted through the ARI InfoReady web-based proposal submission and routing system.

The application guidelines included herein and on the website are designed to assist in the preparation, submission, and management of ARI pre-proposals, full proposals and projects funded in FY 2020-21. Additional assistance is available by first consulting with the appropriate Campus Coordinator(s) **or Campus Point Person (Sue Tonik x6-7241)** and thereafter by contacting the ARI system administrative office at (909) 869-4328.

### **Approvals Required for System and Campus Proposals**

In addition to the following required approvals, your individual campus may request other signatures.

#### **System Competitions:**

##### **For ARI Member / Associate Campuses:**

- ✓ Campus Point Person
- ✓ ARI Executive Director

##### **For All Other Campuses:**

- ✓ ARI Executive Director

## **Campus Competitions:**

For ARI Member and Associate Campuses:

- ✓ Campus Point Person

**Cal Poly - San Luis Obispo – ALL SIGNATURES will be obtained by routing through DocuSign**

- **Required Signatories**
  - ✓ **Department Chair/Head**
  - ✓ **CAFES Associate Dean of Research**
- **Additional Signatories (if applicable) - Please check with the CAFES Grants Analyst for individual campus policies and procedures.**
  - ✓ **Collaborators**
  - ✓ **Department Heads/Chairs of campus key personnel**
  - ✓ **Dean of college of campus key personnel if other than CAFES**
  - ✓ **Center Directors**
  - ✓ **Farm Manager/Director of Operations: Kevin Piper**
  - ✓ **Documentation from external collaborators/cooperators**

## **Part V – Application Review Requirements**

### **A. General**

#### **1. System Funding Applications**

System pre-proposals will be collaboratively evaluated and ranked by the Deans' Council and the Executive Director in accordance with the criteria identified below prior to the requests for full proposals to determine 1) alignment with one or more of the ARI research priority areas, 2) statewide significance of the proposed research, and 3) appropriate level of collaboration. System proposals involving multiple CSU campuses will receive priority.

System full proposals are first reviewed by Subject Matter Experts (SME) identified by the ARI Executive Director. Reviewer comments are then considered during a second review by the Executive Director and ARI Deans' Council, who collectively recommend the top proposal(s) to the ARI Board for final approval.

#### **2. Campus Funding Applications**

Campus proposals are reviewed by technical review committees comprised of campus and other subject matter experts chosen by the campus ARI personnel.

All reviewer copies of proposals should be destroyed at the conclusion of the review process to ensure confidentiality.

### **B. Evaluation Criteria**

Full proposals will be evaluated by peer reviewers using the criteria listed below. In addition to asking reviewers to assign a numeric score to each of the proposal subsections listed, they are asked to provide comments and/or suggestions that they believe may enhance the proposal goals and/or outcomes.

If you believe that a colleague can make a substantive contribution to the review of a proposal and/or its attachment(s), which you have agreed to review, please consult the appropriate ARI system or campus administrator (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.

- a. **Problem/Issue to be Addressed** (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 demonstrated a thorough and relevant understanding of related work that has been reported by others.

Seed Funding: Determine if the both the immediate and 5-year research goals were discussed and how they relate to the PDP. Determine if the proposed activities are relevant to an ARI priority area. Determine how important this work is to the Project Director's current phase of professional development. Evaluate the possibility of the research being integrated with student involvement and/or teaching activities.

- b. **Statement of Methodology** (25 points): Determine whether the proposed methodology is sound and whether there are any significant limitations associated with the proposal design. Determine if pitfalls and possible solutions were identified. 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, including non-overlap of objectives except in the case of direct cost-share?
- 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** (15 points): Evaluate the value of the work proposed relative to California agriculture, agribusiness, food and natural resources and consumers. Determine whether the agricultural industry's recognition of this problem as being high priority was economically accurate. Establish that industry has provided adequate support for this project or justified why it cannot.

**Seed Funding - Future Funding (15 points): Evaluate the ability of this project to lead to future external funding opportunities and collaborations.**

- e. **Outcomes Evaluation Plan** (5 Points): Evaluate whether the methods proposed to assess the final project outcomes will determine whether or not objectives stated in the original proposal have been achieved. Evaluate if the milestones appear reasonable and achievable.
- f. **Staff Needs/Researcher Qualifications and Collaboration** (10 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. Determine whether the roles and activities of all the key personnel have been clearly defined. Student involvement is strongly encouraged and their roles in the project should be clearly defined.
- g. **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. Determine whether there is a clear relationship between the resources requested and the work proposed.

## **Part VI – Submission and Processing Timeline**

Follow the submission deadlines indicated on the cover page for both Campus and System competitions.

**\*Please note: Your campus may have earlier internal deadlines; please check with your ARI Campus Coordinator and/or Point Person for internal submission deadlines. If you are from a non-ARI campus, please check with the CSU ARI office.**

### **System Funding**

September 5, 2019	Request for proposals released
<b>October 28, 2019</b>	<b>Pre-proposals due in InfoReady to CAFES</b>
November 13, 2019	Pre-proposal submission deadline
December 11, 2019	Request for full proposals
<b>January 24, 2020</b>	<b>Full-proposal due in InfoReady to CAFES</b>
February 26, 2020	Full proposal submission deadline

### **Campus Funding**

September 5, 2019	Request for proposals released
<b>October 28, 2019</b>	<b><u>Notice(s) of Intent due by email to CAFES Grants Analyst by 5 pm PDT</u></b>
<b>January 24, 2020</b>	<b><u>Internal deadline for full proposal upload, 5 pm PST</u></b>
February 26, 2020	Full proposal submission deadline
<b>Late April 2020</b>	<b><u>Preliminary award notices will be release</u></b>

## **Part VII – Award Administration**

### **A. Award Reductions and Cancellations**

#### **1. Reductions**

Awards may be reduced from the original budget as a consequence of proposal review or a match shortfall. In cases where award amounts are reduced from the original budget, the PI will submit a revised budget, budget narrative and objectives. Reductions in award amounts will be proportionate to the reduced received match by the deadline for the funding year, whether original year or subsequent years, for all projects requiring match.

Reductions will be pro-rated based on the percentage of the cash requirement met or the percentage of the total match requirement received, whichever is the more limiting factor.

Reductions cannot be recovered in subsequent years.

#### **2. Cancellations**

Proposals for which no external match can be documented within the approved match acquisition timeframe will not be approved. Awarded funds will be reallocated to the next year's funding pool.

Project Directors may appeal an ARI campus administrative decision to cancel tentatively approved project funding based on delinquent external match funding verification to the ARI Executive Director. Appeals must be dated and accompanied by a written justification within 30 days of a written funding cancellation notice. All appeal notices submitted to the Executive Director must be copied to the respective ARI Campus Coordinator and College Dean. The Executive Director shall have 30 days from receipt of an appeal to render a final decision.

### **B. Project Start Date**

**The start date will be July 1, 2020 per campus MOU.** Single and multi-year project anniversary dates are observed in 12-month intervals commencing on each project's start date.

### **C. Budget Revisions**

When any budget category (i.e. A-G on ARI spreadsheet) deviates by 20% of that category, a rebudget is required and requires approval by the Campus Coordinator. No project expense may exceed the total project budget. Each campus may elect rebudget criteria that are more restrictive, but not less restrictive, than that stated above.

### **D. Indirect Charges**

Pursuant to ARI policy adopted by the Board of Governors regarding indirect charges, the ARI does not allow the imposition of any indirect charges to ARI State General Fund funded 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. Each ARI Campus receives an allocation to support administration of the program on that campus; any additional administrative fees and/or indirect charges cannot be built into individual projects, this includes transaction fees charged by the campus Foundation or other auxiliary.

## **E. Confidentiality of Proposals**

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 hardcopy proposal 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 in the contact page of this Request for Proposals (see section VIII). Recipients of a hardcopy proposal 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), unless required by law.

## **F. Intellectual Property Policy**

ARI project funding is restricted to public domain endeavors, therefore all intellectual property which is created or developed with ARI funding shall be subject to federal and state laws, all California State University applicable collective bargaining agreements, and individual campus policy.

# **Part VIII – Award Reporting**

## **A. General**

While Campus Coordinators, their respective designee(s), and other appropriate administrative staff will make every reasonable effort to assist Project Directors in completing progress reporting obligations, Project Directors are responsible for timely and accurate financial and programmatic progress reporting. Future funding and proposal submission approval may be withheld from Project Directors with progress reporting delinquencies or poor project management.

**Cal Poly - San Luis Obispo projects will also be required to complete more detailed templates including Student Involvement Forms, relevant to the preceding year, BEFORE the following reports are due.**

## **B. Annual Reports**

Yearly submission of an annual report to the Campus Coordinator is required for all multi-year projects and are due on August 15<sup>th</sup> of each year. The annual report can be found [here](#).

## C. Additional Annual Reports as a Result of a No-Cost Extension

If a no-cost extension is approved, an additional annual report will be required every August 15<sup>th</sup> for the life of the project. A final report is due within 90 days after the project end date.

## D. Final Reports

Final reports for all projects are due within 90 days after a project's scheduled end date. The final report can be found [here](#).

It is essential that ARI research is understandable and relevant to our stakeholders, including the agricultural community and general public. To this end, Project Directors may be contacted by the ARI Executive Director or administrative staff to assist in preparation of public impact statements that describe the project's findings and justify the use of ARI funds. Non-technical summaries of Final Reports should be written with this in mind.

## Part IX – ARI Program Contacts

### CSU ARI Executive Director

#### David Still

Email: [dwstill@cpp.edu](mailto:dwstill@cpp.edu)

Phone: (909) 869-2138

CSU Agricultural Research Institute

4102 University Drive, Pomona, CA 91768

### CSU ARI Administrative Analyst

#### Andrea Frontino, Administrative Analyst

Email: [amfrontino@cpp.edu](mailto:amfrontino@cpp.edu)

Phone: (909) 869-4328

CSU Agricultural Research Institute

4102 University Drive, Pomona, CA 91768

## Member Campuses

### Chico State

#### Patrick Doyle, ARI Campus Coordinator

Email: [pdoyle@csuchico.edu](mailto:pdoyle@csuchico.edu)

Phone: (530) 898-6586

College of Agriculture, Chico State

400 West First Street, Chico, CA 95929

#### Karen Hansen, ARI Campus Point Person / Grant Specialist II

Email: [khansen@csuchico.edu](mailto:khansen@csuchico.edu)

Phone: (530) 898-6286

Chico State, Office of Research and Sponsored Programs

25 Main Street, Chico, CA 95928

### Fresno State

**Bill Erysian**, ARI Campus Coordinator / Associate Director, Institute for Food and Agriculture

Email: [bille@csufresno.edu](mailto:bille@csufresno.edu) Phone: (559) 278-5115

Jordan College of Agricultural Sciences and Technology

2415 E. Ramon Avenue, M/S AS79, Fresno, CA 93740

**Karey DeBardeleben**, ARI Campus Point Person / Accounting Tech

Email: [kareyd@csufresno.edu](mailto:kareyd@csufresno.edu) Phone: (559) 278-5305

Jordan College of Agricultural Sciences and Technology

2415 E. Ramon Avenue, M/S AS79, Fresno, CA 93740

### **Cal Poly, Pomona**

**Ondieki Gekara**, ARI Campus Coordinator, Assistant Professor

Email: [ojgekara@cpp.edu](mailto:ojgekara@cpp.edu) Phone: (909)869-2219

Don B. Huntley College of Agriculture, Animal & Veterinary Sciences

3801 W. Temple Avenue, Pomona, CA 91768

**Wei Bidlack**, ARI Campus Point Person

Email: [wwbidlack@cpp.edu](mailto:wwbidlack@cpp.edu) Phone: (909) 869-3637

Don B. Huntley College of Agriculture

3801 W. Temple Avenue, Pomona, CA 91768

### **Cal Poly, San Luis Obispo**

**Jim Prince**, ARI Campus Coordinator / Associate Dean for Research and Graduate Programs

Email: [jpprince@calpoly.edu](mailto:jpprince@calpoly.edu) Phone: (805) 756-2168

College of Agriculture, Food, & Environmental Sciences

1 Grand Avenue, Building 11, San Luis Obispo, CA 93407

**Sue Tonik**, **ARI Co-Campus Coordinator &** Campus Point Person / CAFES Grants Analyst

Email: [stonik@calpoly.edu](mailto:stonik@calpoly.edu) Phone: (805) 756-7241

College of Agriculture, Food, & Environmental Sciences

1 Grand Avenue, Building 11, San Luis Obispo, CA 93407

## **Associate Campuses**

### **Humboldt State**

**Kacie Flynn**, ARI Campus Coordinator / Interim Executive Director

Email: [Kacie.flynn@humboldt.edu](mailto:Kacie.flynn@humboldt.edu) Phone: (707) 826-5159

Sponsored Programs Foundation

1 Harpst Street, Arcata, CA 95521

**Anthony Johnson**, ARI Campus Point Person

Email: [aj27@humboldt.edu](mailto:aj27@humboldt.edu) Phone: (707) 826-5164

Sponsored Programs Foundation

1 Harpst Street, Arcata, CA 95521



**CSU Monterey Bay**

**Andrew Lawson**, ARI Campus Coordinator / Dean

Email: [alawson@csumb.edu](mailto:alawson@csumb.edu)

Phone: (831) 582-3524

College of Science

100 Campus Center, Seaside, CA 93955

**Cindy Lopez**, ARI Campus Point Person / Sponsored Programs Director

Email: [clopez@csumb.edu](mailto:clopez@csumb.edu)

Phone: (831) 582-3089

Sponsored Programs Office, Alumni & Visitor Center

100 Campus Center, Bldg. 97, Rm. 120, Seaside, CA 93955