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CALIFORNIA STATE  
UNIVERSITY  
AGRICULTURAL  
RESEARCH  
INITIATIVE

**Colleges of  
Agriculture**

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CALIFORNIA  
STATE  
UNIVERSITY,  
CHICO

California State University

**AGRICULTURAL  
RESEARCH  
INITIATIVE**

**FY 2010-11**



**Call for Proposal Guidelines**

# California State University

## **Agricultural Research Initiative (ARI)**

California State University, Fresno  
California Polytechnic State University, San Luis Obispo  
California State Polytechnic University, Pomona  
California State University, Chico

### **FY 2010-11 Round XII Call for Proposal Guidelines**

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Approved by  
Board of Governors  
April 28, 2009

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# **GUIDELINES/INSTRUCTIONS**

## 1. General Information

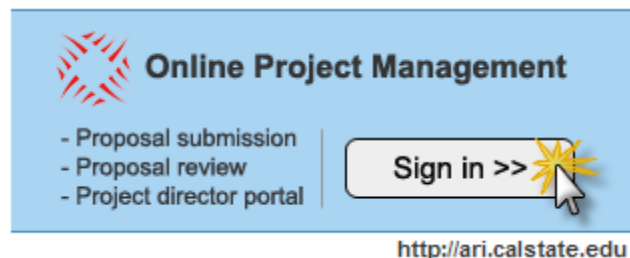
### A. Important Notice

This year, for the first time, all ARI full proposals (system and campus) must be submitted through the ARI web-based Proposal Submission and Routing System (PSRS). While the submission methodology has significantly changed, all other related ARI policies, procedures, and proposal requirements are unchanged. PSRS is accessible on the ARI web site at <http://ari.calstate.edu>. ARI system pre-proposals are the sole exception to the mandatory web-based submission requirement. They must be submitted to campus coordinators and forwarded to the Executive Director as described in the pre-proposal guidelines section included in this document (Page 10).

The application guidelines included herein and on the web site have been prepared to assist in the preparation, submission, and management of ARI proposals and projects for FY 2010-11. Additional assistance is available by first consulting with the appropriate campus coordinator(s) and/or thereafter by contacting the ARI technical and/or system administrative offices at (559) 278-4872 or (559) 278-2361 respectively.

This document is NOT an application form. No full proposal hardcopy submissions are requested or will be accepted. ***FY2010-11 ARI system and campus full proposals will only be accepted through the online Proposal Submission and Routing System (PSRS) located on the ARI web site at <http://ari.calstate.edu>. This is a change from previous years' submission protocols.*** Therefore, applicants are advised and strongly encouraged to thoroughly review and adhere to all web-based submission requirements and formats.

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



You will be taken to the ARI Online Project Management login page. Enter your e-mail address and password where specified. If you are unsure if you have an account or have forgotten your password, click the “Lost Password” button and enter your e-mail address. If there is an account associated with your e-mail address, your password will be sent to you. If your e-mail address is not associated with an ARI OPM account, a message will alert you to the issue and a “Request Account” button will become available. Clicking the “Request Account” button will take you to an account request form. After completing and submitting the account request form, your request will be reviewed by the ARI sponsoring campus administrator. If approved, a password will be sent to you via e-mail.

Once logged in, you will be presented with a menu titled “What would you like to do?” Click the “Go to online proposal submission” link from this menu. You will now be on the Online Proposal Submission welcome page. Clicking the “Create a new proposal”

link will take you to the first step of the proposal creation process. From this point, simply follow the prompts and instructions provided at each step to complete and submit your proposal.

The Proposal Submission and Routing System has been designed to allow you to develop your proposal in a single session or in multiple sessions. Upon completion of each section, you have the option to *Save & Continue* or *Save & Exit*. If you elect to *Save & Exit*, all of your work to that point will be saved and you may complete the proposal later at your discretion simply by accessing it through the Online Project Management section (blue box) of the ARI home page.

## **B. Proposal Expectations**

ARI funds are available either statewide or campus-wide on a competitive basis. The ARI Board of Governors has determined that all proposals must meet a minimum standard to be peer reviewed for funding consideration. To be considered complete and eligible for peer review, proposals must be submitted through the ***ARI web-based Proposal Submission and Routing System*** and all required sections of the Call for Proposals must be completed. Additionally, matching funds must be project-related, which means that they may be a form of direct cost share, serial or parallel studies, or some other justifiable support that is fully explained in the proposal. If the work performed with matching funds is not a direct cost share, care must be taken to demonstrate the scope of work completed under each form of support and the relationships between/among 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. Proposals that do not contain all of the required sections and proper documentation of matching funds will not be eligible for further consideration. Researchers are advised to review the “Proposal Evaluation and Rating Sheet” to determine how their respective proposals will be evaluated.

## **C. Proposal Priorities**

The ARI provides public funds that must be annually matched at least one-to-one with industry and/or agency resources to fund high impact applied agricultural and natural resources/environmental 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 agricultural 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 general research areas:

- Agricultural Business
- Biodiversity
- Biotechnology
- Food Science

- Natural Resources
- Production and Cultural Practices
- Public Policy
- Water and Irrigation Technology

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 research areas a high funding priority:

- 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

Additionally, the ARI focuses on finding solutions for many of the strategic gaps in our knowledge base that otherwise might not be studied by for-profit companies and institutions because there is little or no specific monetary incentive to do so. The ARI makes its results widely available in the public domain and provides for technology transfer assistance and information dissemination directly to producers, processors, and consumers who need it most. The resulting benefits of these research outcomes extend well beyond farm gate receipts. Additional information can be obtained from the ARI web site at <http://ari.calstate.edu>.

Proposals may be submitted for system or campus funding as single or multi-year projects not to exceed three years. Priority is given to proposals that address significant regional and/or statewide issues, have the ability to benefit California agriculture, the environment or society, and can demonstrate scientific merit and external match funding (any non-CSU State General Fund funding). Reviewers will evaluate proposals for quality using the published ARI Proposal Rating Sheet (PRS) posted on the ARI web site at <http://ari.calstate.edu>. PRS scores will be used to prepare a ranked list of proposals. After this ranking is prepared, the order of proposals recommended for funding may change due to addition or subtraction of points for 1) collaboration among universities and/or university, industry and other agricultural research agencies, 2) documentation of external match, and 3) compliance status of the project director on previously funded ARI and other non ARI university based research.

The type of match further stratifies projects of equal ranking. Priority will be given to those proposals that document 100% hard cash match. Proposals with a combination of matching support are prioritized in order of highest percentage of cash match relative to the ARI funding request. Proposals indicating cash or in-kind match must include verification from the funding donors. Project directors are expected to have reached

preliminary agreement about match before submission of a full proposal and to confirm its actual availability once notified of a tentative funding award. If verification is not included at the time of submission, the match will be considered pending. Following the notification of a tentative funding award, project directors must provide written match verification for all external matches using ARI match verification summary forms, which are available in the Post Award Forms section of the ARI web site at <http://ari.calstate.edu>. All first year match must be verified before any ARI funds will be released. If a donor has verified that its organizational policy is to only fund annually, but submits a letter of intent to provide appropriate subsequent years' match funding, the project may be tentatively approved for full funding contingent upon annual verification of receiving an appropriate amount of match in each subsequent year (FYs 2010-11, 2011-12 and 2012-13). No ARI system or campus funding will be released until all appropriate external matches have been confirmed as in-hand by the executive director or campus coordinators/deans, respectively. Proposals for which match cannot be documented on the appropriate ARI match verification form will be cancelled. The respective ARI funding will be reallocated to the next qualified proposal or proposals. Project directors whose proposals are cancelled due to insufficient match verification and those whose proposals are not funded because of ARI funding limitations are encouraged to resubmit their respective proposals in a subsequent funding cycle.

#### **D. System Proposals**

System full proposal submissions will only be accepted through the ARI web-based Proposal Submission and Routing System (PSRS) located on the ARI web site at <http://ari.calstate.edu>. System funding is available through a competitive process that requires submission of a pre-proposal. Pre-proposals will be accepted from any qualified ARI member campus faculty or research staff or from other CSU faculty or research staff who have established an appropriate collaborative link with qualified faculty or research staff at one of the ARI member campuses. Pre-proposals will be reviewed to determine 1) alignment with one or more of the ARI general research focus areas and/or specific research priorities, 2) statewide significance of the proposed research, and 3) appropriate level of collaboration (faculty and/or research scientist from at least one ARI member campus and another CSU campus, and/or qualified researchers from other universities, industry or government agencies). Pre-proposals should also identify the project director, co-investigators and collaborators, the anticipated length of the project, an estimate of the ARI funding request, and potential external match funding (see Pre-Proposal Guidelines in this document or posted on the ARI web site at <http://ari.calstate.edu>). Based on review of pre-proposals by the Deans' Council and the Executive Director, requests will be made for full proposals. Requests for system ARI funding are to be for not less than \$75,000 and not more than \$150,000, annually. Proposals for system ARI funding must include a "project related" external match of not less than the amount of ARI funds requested. After considering the significance of the research, priority is given to proposals with "hard cash" match. Cash match is generally defined as cash contributions made by non-CSU parties that directly benefits and is specifically pertinent to an ARI project being considered. ***To be considered as cash match, donor funding must be deposited in an appropriate ARI member campus or state auxiliary foundation account.*** External in-

kind matches may also be utilized but cannot exceed 50 percent of the total match requirements. *Full proposals for which match cannot be verified will be cancelled.*

#### **E. Campus Proposals**

Campus proposal submissions will only be accepted through the ARI web-based Proposal Submission and Routing System (PSRS) located on the ARI web site at <http://ari.calstate.edu>. Campus funding is available to all qualified campus faculty and research staff on a competitive basis. Campus funding may be utilized to fund a variety of proposals that address local, regional, or statewide issues, including seed funding proposals. Seed funding proposals are typically single-year proposals of \$5,000 to \$10,000. They may be used to fund new faculty research proposals as well as other innovative startup projects. While there is no minimum amount of campus funding that can be requested, requests may not exceed \$150,000 annually. Proposals of extraordinary scientific quality and priority which require more than \$150,000 annually and can meet all system and campus requirements may request both campus and system funding. External match is expected for all campus proposals and project directors are highly encouraged to aggressively pursue “project related” external funding. Campus coordinators, however, after appropriate consultation with their respective deans, may fund campus proposals of extraordinary scientific quality and priority which have not secured a one-to-one external match. If this flexibility is utilized, it remains the campus coordinator and dean’s responsibility to ensure that the aggregate match for the campus is at least one-to-one with total ARI campus funding. In-kind match may be utilized; however, it cannot exceed 75% of the total campus match requirement.

#### **F. 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 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.

#### **G. 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 recipient(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 sub contractors 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 this Agreement."

## **2. Pre-Proposal Guidelines**

Pre-proposals are required as a prerequisite for submission of a System full proposal. They will be evaluated and ranked by the Deans' Council and the Executive Director in accordance with the criteria identified below prior to the issuance of full proposal requests. Qualified pre-proposals that have identified an appropriate collaborative link with qualified faculty and/or research scientists from one or more other ARI member campuses will be given priority consideration.

***Pre-proposals are the sole exception to the mandatory web-based submission requirement for FY 2010-11. They must be submitted to campus coordinators electronically via CD or PDF file.*** Campus Coordinators are in turn responsible for forwarding System pre-proposals to the Executive Director's office prior to submission deadlines for evaluation and ranking.

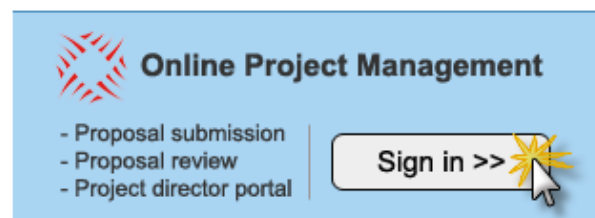
Campus funding pre-proposals may or may not be required as a prerequisite to submission of a full proposal. Therefore, check with your respective Campus Coordinator to determine your campus's pre-proposal submission requirements.

All pre-proposals must be 1-5 pages in length and include the following pertinent information in brief but concise statements:

- A. The pre- and full proposal title (*the pre-proposal title and the respective full proposal title must be the same*)
- B. A detailed abstract of the proposed research, its significance to the field of study, and its importance to California agriculture, the environment or society
- C. A statement of the critical scientific methodology to be employed including a brief description of research activities, objectives, and expected outcomes
- D. A budget narrative justification identifying the appropriateness of the resources requested to the work proposed
- E. Identification of:
  - The project director, including his/her academic affiliations; position title; specific expertise (agronomist, pathologist, enologist, etc.); street, mailing and e-mail addresses; city, state and zip code; phone and fax numbers; etc.
  - Co-investigators, collaborators, and cooperators (listed separately) including their academic affiliations; position title; specific expertise (agronomist, pathologist, enologist, etc.); street, mailing and e-mail addresses; city, state and zip code; phone and fax numbers; etc.
  - Anticipated faculty release and/or additional employment (summer salary and/or overload pay) to be funded
  - The primary and secondary General Research Focus Areas to be addressed in addition to the primary and secondary Specific Research Categories that best describe the proposal's subject matter (if applicable)
  - An estimated ARI funding request (provide by fiscal year as well as the total)
  - The project's anticipated duration (not to exceed three years)
  - Whether the proposal is being submitted as a system, campus or system and campus submission
  - Potential external match funding sources, including:
    - ✓ Donor's name; position title; company/agency name; authorized signatory information; street, mailing and e-mail addresses; city, state and zip code; phone and fax numbers; etc. and funding classification (industry, state agency, federal agency, foundation, individual, and/or other)
    - ✓ Estimated amount of anticipated cash match and the estimated actual market value of anticipated in-kind match

### 3. Full Proposal Guidelines

*System and campus full proposals must be submitted through the ARI web-based Proposal Submission and Routing System (PSRS) located on the ARI web site at <http://ari.calstate.edu>. To start a proposal, sign into the ARI Online Project Management system by clicking the "Sign in" button on the ARI website (see screenshot to right). The proposal*



<http://ari.calstate.edu>

submission system will walk you through each step of creating and submitting a complete proposal. ***Specific instructions regarding completion of each section is provided in the section description.*** Data entry in most information fields is mandatory. Failure to include the required information or the entry of inconsistent information will generate a program prompt requesting an appropriate correction. Proposal development will not be allowed to advance further until the program prompt has been successfully addressed. Once a proposal is complete and ready for submission, a printable version of it will be generated for you to review. Please review the proposal information making any necessary modifications, corrections, additions and/or deletions prior to completing the submission process. It is highly recommended that you print and retain a copy of your completed proposal for your records. ***Once a proposal has been submitted and accepted into the system, it cannot be modified.*** Proposals will be date/time recorded in the system to verify when they are originally submitted. The process of electronic routing will automatically begin upon acceptance into the system. However, it remains the project director's responsibility to ensure that all appropriate signatories have been provided adequate review time and that electronic signatures are secured prior to the proposal submission deadline. Signatories who have not been provided adequate review time may reject a proposal. After successful completion of the proposal's routing and approval process, it will again be date/time recorded to verify compliance with the submission deadline.

System and campus full proposals require completion of the information fields listed below. A complete definition and/or explanation of the information being requested is provided in each web page subsection description.

- A. Project Director
- B. Project Information
  - Member Campus
  - Title
  - Funding Type
  - Duration
  - Primary Focus Area
  - Secondary Focus Area
  - Primary Research Category
  - Secondary Research Category
  - Abstract/Impact Statement
- C. Project Personnel
- D. Funding Request
- E. Funding Requirements
- F. External Match
- G. Anticipated Outcomes
- H. Faculty/Research Staff Release and Additional Employment Pay
- I. Attachments
  - Narrative (see **Narrative Requirements** on Page 13)
  - Budget
  - Timeline
  - Curriculum Vitae/Resume
  - Miscellaneous

- J. External Match
- K. Faculty and research staff release and/or additional employment
- L. Effort Reporting Statement
- M. Signatories
  - Required Signatories
    - ✓ Project director
    - ✓ Department chair/head
    - ✓ Campus coordinator
    - ✓ Dean of the College of Agriculture
  - Additional Signatories (if applicable)
    - ✓ Center directors
    - ✓ Farm manager/director of operations
    - ✓ Sponsored Programs Office
    - ✓ Dean of the project director's college (if other than College of Agriculture)

#### 4. Narrative Requirements

Proposal narratives are limited to eight single-spaced pages in the following format:

- File type: Microsoft Word or Adobe PDF
- Font: Times New Roman
- Font Size: 12 point
- Margins: One inch – top and bottom, left and right
- Headings: Double-spaced and boldface

Proposal narratives should include the following information:

##### A. Statement of the Problem/Issue

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; the anticipated economic impact of addressing the issue as proposed; and the short- and long-term benefits of the anticipated research outcomes. Describe how this project is unique or supports the research of others.

##### B. Statement of Methodology

Provide a statement of the purpose of the research, a list of the research goals and objectives as well as a description of research activities. Include the experimental design and the method of data collection and analysis. A timeline of major activities should outline the start and the end date of each activity.

##### 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. ***A copy of all dissemination manuscripts must be submitted to the executive director's office within 30 days of their first presentation for ARI publication and promotion. 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 Initiative (ARI).”* The following list includes examples of approved ARI dissemination activities:

#### Events

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

#### Publications

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

#### Presentations

- Posters
- Video/PowerPoint/photographic materials
- Industry meetings
- Internet

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

#### **D. Impact/Industry Support Statement**

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

## **E. Staffing**

Provide the following information for all key project personnel (project director, co-investigator[s] and collaborator[s])

- Statement of individual roles and responsibilities
- Statement of each person's time commitment

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/clerical staff, and/or student salary funding, an appropriate university benefit cost recovery expense must be included in the project budget. To determine the appropriate benefit rate or procedures for requesting waivers, consult with your respective campus coordinator.

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

## **F. Budget Narrative**

Provide a complete budget narrative justification for each major budget expenditure, such as, but not limited to, salaries, wages and benefits, equipment purchases, subcontracts, service agreements, consulting services, and travel expenses, as well as other applicable expenditures such as printing, postage, telephone, supplies, etc. Additionally, use the Budget Spreadsheets provided in the Pre Award Forms section of the ARI web site at <http://ari.calstate.edu> to communicate your detailed funding needs and the use of your matching funds. If a multi-year project is being proposed, provide a complete budget for each fiscal year and a consolidated project 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). 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 primarily responsible for budget development and accountability.

## 5. Submission and Processing Timeline

July 27, 2009	Call for System Pre-proposals and Campus Full Proposals 4 <sup>th</sup> Monday of July
August 24, 2009	Pre-proposals Due 4 <sup>th</sup> Monday of August
September 14, 2009	Pre-proposal review by Deans' Council 2 <sup>nd</sup> Monday of September
September 28, 2009	Request for system full proposals 4 <sup>th</sup> Monday of September
December 11, 2009	System full proposal submission deadline to campus coordinators 2 <sup>nd</sup> Friday of December
January 11, 2010	System full proposals due to the executive director 2 <sup>nd</sup> Monday of January
February 8, 2010	System full proposal submission to reviewers 2 <sup>nd</sup> Monday of February
March 5, 2010	Campus full proposal submission deadline to campus coordinators 1 <sup>st</sup> Friday of March
March 15, 2010	System full proposal due from reviewers 3 <sup>rd</sup> Monday of March
April 13, 2010	Dean's Council full proposal review
April 20, 2010	Board of Governors full proposal review and tentative awards
May 24, 2010	Tentative system award notification 4 <sup>th</sup> Monday of May (campus awards notification may vary)
September 1, 2010	All funding is contingent upon final legislative approval of the State Budget, including any applicable State budget trailer bills, and receipt of the Governor's signature. Funding is anticipated to become available 30 to 60 days thereafter. September 1, 2010 is only an estimated date of funding availability.

## **6. Project Director Orientation Meetings**

Campus coordinators are responsible for conducting project director orientation meetings within five weeks of an award notification and prior to the designation of a project start date.

## **7. Project Start Date**

A project's official start date is designated as the day that approved funding actually becomes available to the project director. Campus coordinators and/or other authorized designee(s) of each respective ARI dean are responsible for verifying and recording funding availability. Single and multi-year project anniversary dates are celebrated in twelve month intervals commencing on each project's designated start date.

## **8. No-Cost Extensions**

The executive director and/or campus coordinators or other authorized designee(s), in consultation with the respective campus dean, may approve up to two separately requested one-year no-cost extensions when requested by a project director and accompanied with an appropriate written justification. The request must be completed on the no-cost extension form located on the ARI website and submitted at least 30 days prior to the current project expiration date.

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

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

### **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 (15 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. Determine whether the problem is of sufficient interest to have already garnered financial support, whether the project director has taken steps to develop industry financial support for the project, and whether the proposal shows evidence of other cooperation with and interest from industry. If no support from industry is presently available, determine whether the proposal describes specific steps to be taken to develop industry support.
- E. Staff Needs/Researcher Qualifications (15 points):**  
Determine whether the proposal clearly describes the qualifications of the 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 (10 points):**  
Evaluate whether the resources requested are appropriate to the work proposed and whether there are more efficient ways to conduct the project to reduce the resources required. Determine whether there is a clear relationship between the resources requested and the work proposed.
- G. Proposal Outcomes Evaluation Plan (10 Points):**  
Evaluate whether the methods to be used for assessing the finished project will achieve the objectives stated in the original proposal plan.

## **10. Progress Report Submission and Format**

### **A. General Information**

ARI reports must be completed in the following formats using the appropriate printable interactive Interim, Annual or Final Report Templates available in the Post Award Forms section of the ARI web site at <http://ari.calstate.edu>. Project directors should submit all reports directly to their respective campus coordinator who is responsible for the collection, review, and submission of all campus reports to the executive director's office. Reports are due at the executive director's office within ten working days after the date due to the campus coordinators.

### **B. Interim Report**

Each project requires one Interim Report, which must be delivered to campus coordinators within 120 days of the project start date.

### **C. Annual Report**

Annual reports are due for all projects that extend beyond one year. Annual Reports are due to campus coordinators on each annual anniversary of the project start date, except for the final anniversary when the project is completed, in which case a Final Report is due.

**D. Final Report**

Final reports are due for all projects. Final Reports are due to campus coordinators within 90 days of a project's scheduled completion date.

**E. Additional Annual Reports as a result of a no-cost extension**

In the case of a project receiving a no-cost extension, one or more additional Annual Reports will be due on each anniversary of the project start date, except for the final anniversary when the project is completed, in which case a Final Report is due, within 90 days of project completion.

## 11. ARI Contact List

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## 12. Glossary

### **Additional employment (pay)**

For faculty, additional employment is sometimes referred to as “overload.” Therefore, additional employment 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 Collaboration**

Campus collaboration requires a partnership of at least two qualified ARI member campus faculty or research scientists. Research teams comprised of faculty or research scientists from different colleges, departments, centers, units and/or industry are highly encouraged. Collaboration with other CSU, UC, UCCE, industry and/or other qualified research organizations’ faculty and/or research scientists is desirable but not required.

### **Campus Funding**

Campus funding is ARI funding dispersed directly to member campuses in support of intra-campus competitive agricultural and natural resources applied research activity that generally addresses unique local and/or regional issues. However, to the extent feasible and consistent with local and regional needs, campus funding may also be utilized to fund research activities that provide broader statewide application and industry and consumer benefit.

### **Campus Coordinator**

Campus coordinators are the individuals at each ARI campus responsible for ARI campus administration, local program oversight and collaboration with the ARI executive director.

### **Cash Match**

Cash match is defined as any cash, check and/or other negotiable United States currency contribution made by non-CSU parties that directly benefits and is specifically pertinent to an ARI or ARI master grant funded project.

Cash match may be received up to 6 months prior to the beginning of an ARI or ARI master grant award, but must be verified within ten working days after the Governor signs the California State Budget (including any applicable State trailer bills) or prior to an ARI award being made. In cases of multi-year match commitments, but annual award/allocations, each respective year’s match must be annually

verified as previously stated in this paragraph.

Contributions of professional, technical, and/or clerical staff time by other universities, agencies, and/or organizations; cash originating from any CSU State Budget General Fund allocation; and any otherwise eligible cash contributions which have been previously utilized as match for any project do not qualify as cash match. ARI and ARI master grant funding does not qualify as reciprocating match.

<b>Collaborator</b>	Collaborators are scientifically and/or practically qualified individuals with key expertise and responsibility for completion of a significant portion of a project's goals and objectives.
<b>Cooperator</b>	Cooperators are scientifically and/or practically qualified individuals with specific expertise in project topics that provide advice, guidance and consultation to the project director and co-investigators.
<b>Co-investigator</b>	Co-investigators are scientifically qualified individuals with specific project related expertise who work collaboratively with project directors to undertake key research activities, perform industry outreach, information dissemination and technology transfer activities.
<b>Executive Director</b>	The executive director is the individual responsible for the ARI's overall administration, day-to-day operational management and oversight, promotion and program and financial accountability.
<b>External Match</b>	External match is 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, any other ARI funded program, previously funded ARI projects or other donations which have been previously utilized as match for other projects.
<b>Faculty Release</b>	Faculty release is an ARI project budget funded reduction in the academic teaching workload of a specific faculty member(s) for the expressed purpose of conducting competitively funded applied agricultural and/or natural resources research, information dissemination and technology transfer activities that benefit California agriculture, the environment or society.
<b>Full Proposal</b>	A full proposal is a detailed scientific research, information dissemination and technology transfer strategic plan that identifies an agricultural or natural resources problem and/or issue, the specific applied research to be performed and the methodology to be followed, the research's impact on California agriculture, the environment or society, a detailed budget and timeline, staffing requirements, and a comprehensive dissemination and technology transfer plan.

**Industry  
Foundation  
State  
Federal  
Match**

Industry, foundation and/or state and federal match is the donation of cash through direct payments and/or funded projects and/or the donation of in-kind goods, services and/or equipment of verifiable financial value originating from an industry company, association, commission, board, committee, and/or individual or from a public or private for-profit or non-profit foundation or from the California State Budget, any State agency or State program or from the United States federal budget, any federal agency or federal program, respectively, being donated or pledged as match for an ARI funding request.

**In-kind Match**

In-kind match is defined as any contribution, other than cash (see cash definition), donated or pledged, that originates from the gifting of the value of time, goods, services, equipment or other expendable property of verifiable financial “fair market value” other than that originating from a CSU State Budget General Fund allocation and/or cash and in-kind contributions which have been previously utilized as ARI or ARI master grant match.

In-kind match may be received up to 6 months prior to the beginning of an ARI or ARI master grant award, but must be verified within ten working days after the Governor signs the California State Budget (including any applicable State trailer bills) or prior to an ARI award being made. The values of any otherwise eligible in-kind contributions which have been previously utilized as match for any project do not qualify as in-kind match. In cases of multi-year match commitments, but annual award/allocations, each respective year’s match must be annually verified as previously stated in this paragraph.

The “fair market value” equivalent for non-reimbursed contributions of professional, technical, and/or clerical staff time by other universities, agencies, and/or organizations may be used as in-kind match provided that the respective ARI dean has verified its authenticity. 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.

**Key Personnel**

Key personnel are project personnel with significant identified project related responsibilities.

**Member Campus**

Member campuses are those CSU campuses with colleges of agriculture: California State University, Fresno (Fresno State); California Polytechnic State University, San Luis Obispo (Cal Poly, SLO); California State Polytechnic University, Pomona (Cal Poly, Pomona); and California State University, Chico (Chico State).

<b>Pending Match</b>	Pending match is any ARI project related cash or in-kind external funding request that has been submitted to an industry, governmental entity and/or foundation prior to the submission of the ARI funding request that is awaiting final funding notification.
<b>Pre-proposal</b>	A pre-proposal is a one-to-five page preliminary proposal that generally identifies the specific research being proposed and its significance to California agriculture, the environment or society; the anticipated level of collaboration and key personnel required as well as any faculty release and/or additional employment pay anticipated; an estimated budget, timeline and alignment with one or more of the ARI research focus areas; an estimated ARI funding request; and potential external match funding sources.
<b>Project Director</b>	The project director is the individual ultimately responsible for all pre and post award proposal and project management including, but not limited to, proposal preparation and submission, securing and verifying appropriate external match, budget management, coordination of research and personnel activities, timely submission of research and financial reports, information dissemination, and relevant technology transfer.
<b>System Collaboration</b>	System collaboration requires a research team including at least one qualified ARI member campus faculty or research scientist collaborating with another CSU campus faculty or research scientist or CSU, UC, UCCE, industry and/or other qualified research organization's faculty and research scientists who have identified an appropriate collaborative partnership with at least one qualified ARI member campus faculty or research scientist.
<b>System Funding</b>	System funding is ARI research funding annually awarded solely on a competitive basis to address priority statewide applied agricultural and natural resources issues. It is available to any qualified ARI member campus faculty or research scientist or any other CSU, UC, UCCE, industry and/or State and Federal agency faculty or research scientist who has identified an appropriate collaborative partnership with a qualified faculty or research scientist at one or more of the ARI member campuses.