



CALIFORNIA STATE UNIVERSITY AGRICULTURAL RESEARCH INSTITUTE (ARI)

POLICIES AND PROCEDURES

Administrative Office
mshelton@calpoly.edu
805.756.6297
ari.calstate.edu
February 2015



TABLE OF CONTENTS

GENERAL POLICIES AND PROCEDURES

I.	Program Information	4
	A. Overview.....	4
	B. Organization	4
	C. Organization Roles/Terms Policy	5
	1. Board of Governors	5
	2. Deans' Council	6
	3. Executive Director.....	6
	4. Logistics Group	7
	a. Campus Coordinators.....	7
	b. Other Campus Research Administrative Personnel	8
	5. Executive Assistant	8
	D. Funding Allocation	9
	E. Research Priorities.....	9
II.	Programmatic Terms, Conditions, Policies and Procedures	10
	A. Eligibility	10
	B. Cost Allowability	10
	1. Administrative Costs	10
	2. Capitalized Equipment Purchase and Ownership	10
	3. Line Item Flexibility	10
	4. Indirect Charges.....	11
	5. Project Personnel Added Compensation Policy	11
	6. Travel	11
	C. Campus Policies vs. System Policies.....	11
	D. Citations	11
	E. Confidentiality of Proposals	11
	F. Conflict of Interest.....	12
	G. Indemnification	12
	H. Intellectual Property Policy.....	13
	I. Matching Funds	13
	J. Reduction or Termination of CSU/ARI Funding	13
	K. Research Misconduct	13
	L. Use of Human Subjects/Vertebrate Animals/Recombinant DNA.....	14
	1. Human Subjects.....	14
	2. Vertebrate Animals.....	14
	3. Research Involving Recombinant DNA Molecules	14

PROPOSAL POLICIES AND PROCEDURES

I.	Proposal Review Process	15
	A. System	15
	B. Campus.....	15
II.	Proposal Evaluation Criteria	15
	A. Approach to the Problem.....	15
	B. Statement of Methodology.....	15
	C. Dissemination Plan	16

PROPOSAL POLICIES AND PROCEDURES - CONTINUED

II.	Proposal Evaluation Criteria - Continued	
	D. Evidence of Economic Impact to the California Industry and Consumer	16
	E. Staff Needs/Researcher Qualifications and Collaboration	16
	F. Budget Appropriateness.....	16
	G. Proposal Outcomes Evaluation Plan.....	16
III.	Review Process for ARI System Proposals.....	16

PROJECT POLICIES AND PROCEDURES

I.	Project Director Orientation Meetings.....	17
II.	Project Start Date	17
III.	OPM Documentation Checklist/Data Entry Policy/Instructions	17
IV.	No-Cost Extensions.....	17
V.	Changes in Project Budget, Direction or Management.....	17
	A. Changes in Project Budget.....	17
	B. Changes to Project Direction	17
	C. Changes to Project Management	17
VI.	Reports	18
	A. General Information.....	18
	B. Annual Reports.....	18
	C. Additional Annual Reports as a Result of a No-Cost Extension.....	18
	D. Final Reports.....	18
VII.	Poor Performance	19
VIII.	Allocation Process for Campuses.....	19
	A. Notification	19
	B. Dean's Allocation Request and Certification Letter.....	19
	C. Allocation Spreadsheet	19
	D. Allocations	20
	E. Insufficient Match	20
	1. Pre-Allocation Match Shortfall	21
	2. Post-Allocation Match Shortfall.....	21
IX.	Recordkeeping.....	21
	A. Responsibility.....	21
	B. Grant/Project Closeout	21
	C. File Retention Policy.....	22

GLOSSARY	23
-----------------------	----

HELPFUL LINKS	27
----------------------------	----

APPENDIX I (Cost Share & Intellectual Property Agreement – Example).....	28
---	----

APPENDIX II (Proposal Review Sheet).....	32
---	----

APPENDIX III (Dean's Allocation Request Letter).....	34
---	----

APPENDIX IV (Research Priority Areas and Definitions)	37
--	----

INDEX	40
--------------------	----

The current Call for Proposals (RFP), can be found at <https://ari.calstate.edu/> or by contacting the ARI Administrative office at (805) 756-6297.

GENERAL POLICIES AND PROCEDURES

I. Program Information

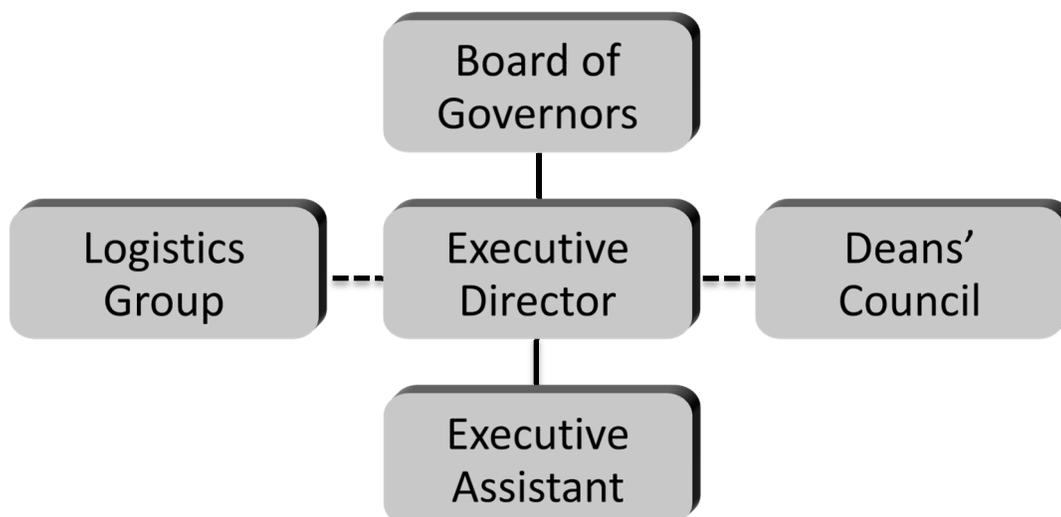
A. Overview

The Agricultural Research Institute (ARI) exemplifies the California State University System (CSU) working for California through university-industry partnerships. 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. ARI funding is restricted to public domain projects.

The ARI engages the collective expertise of the CSU's four colleges of agriculture at California State University, Fresno; California Polytechnic State University, San Luis Obispo; California State Polytechnic University, Pomona; and CSU, Chico along with CSU, Monterey Bay and Humboldt State 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.

B. Organization

A Board of Governors serves as the policy and funding authority for the ARI. It consists of the four CSU Presidents from member campuses, the UC Vice President of Agriculture and Natural Resources, and four industry representatives, one for each member campus. A Deans' Council, consisting of the four Deans of agriculture from member campuses, oversees the respective campus ARI operations, including annual budgets and matching fund certification, and reviews System proposals prior to Board review. Campus Coordinators are responsible for campus daily administration and research project oversight. A Logistics Group consists of Campus Coordinators and research administrators at both the college and university/auxiliary level who provide day-to-day support for the ARI. The Executive Director reports to the Board of Governors and is responsible for the overall performance of the CSU ARI.



Board of Governors

Barbara Allen-Diaz, Vice President	University of California, Division of Ag and Natural Resources
Jeffrey Armstrong, President	California Polytechnic State University, San Luis Obispo
Joseph Castro, President	California State University, Fresno
AG Kawamura	Orange County Produce
Gregory Kelley, President & CEO	California Olive Ranch, Inc.
Soraya Coley, President	California State Polytechnic University, Pomona
William S. Smittcamp, President	Wawona Frozen Foods
Donn Zea, Executive Director	California Dried Plum Board
Paul Zingg, President	California State University, Chico

Deans' Council

Sandra Witte, Interim Dean	Jordan College of Agricultural Sciences and Technology California State University, Fresno
David Daley, Interim Dean	College of Agriculture California State University, Chico
Andrew J. Thulin, Dean	College of Agriculture, Food and Environmental Sciences California Polytechnic State University, San Luis Obispo
Mary Holz-Clause, Dean	College of Agriculture California State Polytechnic University, Pomona

C. Organization Roles/Terms Policy

1. Board of Governors

Role: Policy, procedures and funding authority for the CSU/ARI.

Responsibilities:

- Interface with the CSU Chancellor
- Approve the annual budget
- Approve the annual report
- Approve policies and procedures
- Approve funding for system-wide competitive research projects

Participants: 4 CSU Presidents from 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), UC Vice President of Agriculture and Natural Resources, 4 industry representatives (one selected by each CSU member campus), Deans' Council chairperson (serving in a non-voting administrative support position)

Terms: CSU Presidents and the UC Vice President serve as representatives of their respective institutions; industry Board members serve one term up to six years. Upon the completion of their

term, the respective member campus will appoint a replacement for their industry representative Board member. After one year of separation from the Board, Industry representative Board members may be reappointed to the Board by a member campus.

Executive Roles: A chairperson and vice chairperson role is assigned on an annual basis, with each role alternating between a CSU President and Industry Board member each term period. The current vice chairperson assumes the chairperson role upon its vacancy. The Board annually elects a vice chairperson. In the event that there is a vice chairperson vacancy as well as a chairperson vacancy, the Board will elect a Board member for each role. The purpose of the chairperson role is to preside over Board meetings and to generally represent the Board, with the vice chairperson role performing this function in the chair's absence as needed.

Meeting Frequency: Board meets twice per year

2. Deans' Council

Role: CSU/ARI strategic planning and campus operational oversight.

Responsibilities:

- Advise Executive Director on strategic and operational issues
- Oversee CSU/ARI campus operations
- Review system-wide proposals
- Submit annual allocation request including certification of matching funds

Participants: The four Deans from the colleges of agriculture at Fresno State, Cal Poly, SLO, Cal Poly, Pomona and Chico State and the CSU/ARI Executive Director (serving in a non-voting administrative support position).

Terms: Members of the Deans' Council serve as representatives of their respective colleges of agriculture.

Executive Roles: The Deans' Council annually elects a chairperson to preside over Deans' Council meetings and serve as a Council's representative for the Board of Governors.

Meeting Frequency: The Deans' Council meets as needed by conference call and/or on-site. On-site meetings are conducted at one of the respective campuses.

3. Executive Director

Role: Under general oversight from the CSU Chancellor and the leadership and direction of the Board of Governors the Executive Director is responsible for the performance, coordination and accountability of the ARI program. He/ she shall report to the Board of Governors and work with the Deans' Council, Campus Coordinators, research scientists and agricultural and environmental industry and agency partners to promote and advance the program.

Responsibilities:

- Compile an annual report and summary of research
- Coordinate and staff regular meetings of the Deans' Council
- Develop, allocate and administer the CSU/ARI annual operating budget
- Administer the annual System administrative budget
- Compile, prepare, present and interpret financial information, proposals and reports as requested by the Board
- Provide direction, coordination and oversight of CSU/ARI operations, policies and procedures; maintain an up-to-date Policies and Procedures manual
- Identify issues, solutions and develop strategic initiatives for the Board to consider
- Review CSU/ARI-sponsored projects for conformity with established budgets, timelines, dissemination plans and objectives
- Represent CSU/ARI at appropriate related meetings and events; serve as an advocate for ARI within CSU and other university communities, related industries, agencies and the general public
- Assist Campus Coordinators with the management and reporting of state and related external matching research funds
- Initiate and oversee the call for proposals (RFPs)
- Coordinate the solicitation, review and approval of system-wide proposals
- Coordinate a comprehensive annual dissemination plan including dissemination meetings, research notes, bulletins, pamphlets and reports
- Track all CSU/ARI research, continuing education and information dissemination activity

Term: Serves at the discretion of the Board of Governors.

Meeting Frequency: Attends all Board of Governors, Deans' Council and Logistics Group meetings.

4. Logistics Group

a. Campus Coordinators

Role: Responsible for CSU/ARI local campus daily administration and research project oversight. They are the responsible campus contact person for both the CSU/ARI Executive Director and their own respective campus research staff.

Participants: One Campus Coordinator is appointed for each ARI member campus, at the discretion of the College of Agriculture Dean.

Responsibilities: Campus Coordinator's specific responsibilities will vary from campus-to-campus depending on the size and complexity of the respective College of Agriculture's research programs. However, all Campus Coordinators, or their designee, are responsible for the following:

- Communicate regularly with the CSU/ARI Executive Director
- Assist the Executive Director with the management and reporting of state and related external matching research funds
- Manage proposals and projects in the Online Project Management (OPM) System

- Verify and document the campus' CSU/ARI external matching fund requirements
- Collect and review all campus research proposals and reports (interim, annual and final) and insure that they are in conformity with CSU/ARI established formats, budgets, timelines, objectives and dissemination guidelines
- Provide campus direction, coordination and oversight of CSU/ARI operations, policies and procedures
- Develop, allocate and administer the campus' annual CSU/ARI operating budget
- Serve as the campus' research projects final expenditure approval authority
- Disseminate appropriate CSU/ARI related information to all campus research faculty and staff
- Serve as an administrative member of the campus technical review and award committee

Terms: Serves at the discretion of the College of Agriculture Dean.

Meeting Frequency: Attends Logistics Group Meeting twice per year.

b. Other Campus Research Administrative Personnel

Role: As delegated by Campus Coordinators, responsible for CSU/ARI local campus daily administration and research project oversight.

Participants: One or more people may be selected by the Campus Coordinator to perform tasks related to the acquisition and administration of CSU/ARI funds, proposal submission and project management.

Responsibilities: These vary campus-by-campus, but are delegated by the Campus Coordinator.

Terms: Serve at the discretion of the College of Agriculture Dean and/or other appropriate administrative personnel.

Meeting Frequency: Attends Logistics Group meetings.

5. Executive Assistant

Role: Assists the Director in all aspects of ARI administration and is responsible for the administrative coordination and duties related to the overall operation of the CSU ARI Program.

Responsibilities:

- Coordinate the day-to-day operations of the ARI central administration
- Prepare Governing Board meeting packets and other written communication
- Provide counsel regarding financial data, policies and administrative procedures
- Assist the director in the development of outreach and marketing materials

Meeting Frequency: Attends all Board of Governors and Logistics Group meetings.

D. Funding Allocation

Following passage of the CA Governor's budget, which includes the CSU request for ARI funding, the ARI administrative office requests the transfer of Institute funds, which are then allocated as below.

	1999-2000 2000-2001 Original Allocation	2001-2005 20% reduction	2005-2012 allowed flexibility of admin funds	2009-2013 consolidated project funding	2013-2014 campus admin funds increased to \$85k	2014-2015 associate member funding included
System-wide	1,250,000	1,000,000	1,000,000	1,000,000	1,000,000	1,020,000
Cal Poly Pomona	910,000	728,000	728,000	728,000	728,000	728,000
Cal Poly, San Luis Obispo	1,045,000	836,000	836,000	836,000	836,000	836,000
Chico State	750,000	600,000	600,000	600,000	600,000	600,000
Fresno State	1,045,000	836,000	836,000	836,000	836,000	836,000
CSU Monterey Bay**	-	-	-	-	-	100,000
Humboldt State**	-	-	-	-	-	250,000
Total	\$ 5,000,000	\$ 4,000,000	\$ 4,000,000	\$ 4,000,000	\$ 4,000,000	\$ 4,370,000

System - admin	250,000	200,000	200,000	200,000	200,000	220,000
System - projects	1,000,000	800,000	800,000	800,000	800,000	800,000
Cal Poly, Pomona - admin*	70,000	56,000	70,000	70,000	85,000	85,000
Cal Poly, Pomona - competitive	360,000	288,000	288,000	658,000	648,000	648,000
Cal Poly, Pomona - capacity	480,000	384,000	370,000			
Cal Poly, San Luis Obispo - admin*	70,000	56,000	70,000	70,000	85,000	85,000
Cal Poly, San Luis Obispo - competitive	495,000	396,000	396,000	766,000	756,000	756,000
Cal Poly, San Luis Obispo - capacity	480,000	384,000	370,000			
Chico State - admin*	70,000	56,000	70,000	70,000	85,000	85,000
Chico State - competitive	200,000	160,000	160,000	530,000	520,000	520,000
Chico State - capacity	480,000	384,000	370,000			
Fresno State - admin*	70,000	56,000	70,000	70,000	85,000	85,000
Fresno State - competitive	495,000	396,000	396,000	766,000	756,000	756,000
Fresno State - capacity	480,000	384,000	370,000			
CSU Monterey Bay - competitive**	-	-	-	-	-	100,000
Humboldt State -- competitive**	-	-	-	-	-	250,000
Total	\$ 5,000,000	\$ 4,000,000	\$ 4,000,000	\$ 4,000,000	\$ 4,020,000	\$ 4,390,000

* Effective FY 13-14 campus administrative funds are increased to \$85,000 yearly. \$5,000 of each member campus' administrative funds are provided by System Administration carryforward funds (\$20,000 per year).

**Associate member funding allocated for the FY 14-15 and 15-16 (up to 10% of competitive funds may be used for administration purposes, 100% of allocation must be matched 1:1)

E. Research Priorities

The ARI primarily focuses on finding immediate and practical solutions for high-priority challenges facing California agriculture in the following broad research categories that have the potential to affect the sustainability and profitability of California agriculture (for full descriptions of each research priority area please see Appendix IV or the ARI website at <https://ari.calstate.edu>):

- Agricultural Business
- Biodiversity
- Biotechnology
- Food Science/Safety/Security
- Natural Resources
- Production and Cultural Practices

- Public Policy
- Water and Irrigation Technology

Based on State, national, and global challenges driven by environmental and regulatory concerns, new technology, and international competitiveness, California agricultural industry representatives, the ARI Board of Governors and the CSU’s Agricultural Advisory Council (AAC) recommended that an additional priority be given to projects specifically addressing the following research topics in agriculture:

- 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 monitoring, prevention and eradication
- Public health and safety priorities

II. Programmatic Terms, Conditions, Policies and Procedures

A. Eligibility

Project Directors for Campus (and Seed) ARI projects must be faculty or research scientists from the member or associate campus (CSU Monterey Bay and Humboldt State University) which receives the ARI allocation.

For System projects, Project Directors may be faculty or research scientists from member or associate campuses. If from an associate campus, Project Directors must collaborate with member campus personnel.

B. Cost Allowability

1. Administrative Costs

Administrative costs are only allowable on projects if they meet the OMB A-21 guidelines for reasonability, allocability and consistency for such costs across all sponsored research at the recipient institution. For most CSU campuses, this means that administrative costs are not allowed on individual projects.

2. Capitalized Equipment Purchase and Ownership

All equipment purchased with ARI funding shall remain the property of the recipient CSU college, unless otherwise requested and approved in writing. Project directors are responsible for maintaining and servicing purchased equipment for the duration of the project.

3. Line Item Flexibility

Expenses in all budget lines may exceed the budgeted amount by up to 20% without requiring a rebudget (see Project section V.A.). No project expense may exceed the total project budget.

4. 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.

5. Project Personnel Added Compensation Policy

For faculty, additional employment is sometimes referred to as “overload”. The CSU policy for faculty allows additional employment of up to 25% of a full-time position in excess of a full-time workload, or when appropriate, in excess of a full-time timebase. These policies, limitations and calculations are based on time, not salary (CSU Policy HR 2002-05 <http://www.calstate.edu/HRAdm/Policies/HR2002-05.pdf>).

For non-faculty state employees, no additional employment or overload pay is allowed as part of CSU-ARI funding per the State of California Public Contract Code section 10831 (<http://www.leginfo.ca.gov/cgi-bin/displaycode?section=pcc&group=10001-11000&file=10830-10833>).

Additional employment is allowed on non-CSU matching funds as permitted by Sponsor.

6. Travel

All travel is allowed on a CSU-ARI project providing that it is necessary for the performance of the project and dissemination of its results. All travel expenditure must be in accordance with CSU or auxiliary travel guidelines. Travel funding must be pre-approved by being in the proposal or approved through a campus rebudget process.

C. Campus Policies vs. System Policies

When no ARI policy exists, the applicable institutional policy and Federal cost principles will govern. In the case of a discrepancy between the special conditions of an ARI grant and the institutional policy or Federal cost principles, the most restrictive policy or principle will apply.

Campuses may have provisions to accept proposals outside the timeline specified in the RFP as long as the awarded projects follow the procedures specified for start date and can still be accommodated in the allocation process within the same fiscal year as the regular projects.

D. Citations

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).”**

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 the ARI Call 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. Conflict of Interest

The CSU-ARI mission to use applied research to solve current problems using matching funds from external sources may result in a situation in which involved parties find themselves with overlapping roles, involvement and/or investiture.

The CSU and ARI address this issue by requiring compliance with the policy outlined in the Chancellor's Office memo, HR 2005-38, entitled "Conflict of Interest Policy for Principal Investigators". <http://www.calstate.edu/HRAdm/pdf2005/HR2005-38.pdf>. In these cases, a Form 700-U is required to be filed by each CSU person with a Key Personnel role. <http://www.fppc.ca.gov/forms/700-10-11/700-U-10-11.pdf>

G. Indemnification

Each Campus is responsible for ensuring that an indemnification statement is incorporated into all agreement(s) with contractor(s) and subcontractor(s) and/or any other recipient(s) of ARI project funds. ARI recognizes the differing requirements of each ARI member and associate campus and by this reference makes each campus' 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. A sample clause is provided below:

"(Auxiliary name) shall defend, indemnify and hold harmless Company, its officers, employees and agents from and against any and all liability, loss, expense, attorney's fees, or claims for injury or damages arising out of the performance of this Agreement but only in proportion to and to the extent such liability, loss, expense, attorney's fees or claims for injury or damages are caused by or result from the negligent or intentional acts or omissions of the Subcontractor, its officers, agents or employees.

Company shall defend, indemnify and hold harmless (Auxiliary name), (CSU Campus) State University, Trustees of the CSU, the State of California, its officers, employees and agents from and against any and all liability, loss, expense, attorney's fees, or claims for injury or damages arising out of the performance of this Agreement, but only in proportion to and to the extent such liability, loss, expense, attorney's fees or claims for injury or damages are caused by or result from the negligent or intentional acts or omissions of the Company, its officers, agents or employees."

H. 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.

I. Matching Funds

ARI Cash Match vs. Traditional Cost-Share

In the spirit of the original strategic plan, CSU-ARI defines the acquisition and use of cash match as follows:

- Received and available.
- Project related.
- Not from the CSU General Fund or other similar funds such as State Lottery funding for CSU, student fees, or recovered indirect funds from other projects.
- May be received and expended up to 6 months prior to the start date or anniversary date for second and third year funding. Receiving future year match funding is allowed in earlier years for multiple-year projects – “front loading”.
- May be received no later than 6 months later than the project start date or anniversary date for second and third year funding. No CSU-ARI funds will be released for projects until cash match is in-hand. Funding release may be pro-rated for reduced expected match.
- Must be received on the CSU campus receiving the award or sub-award. Matching funds at other non-CSU institutions are considered “in-kind” only.
- If allowed by campus policy, matching funds may be expended up to 90 days beyond the ARI project end date. Matching funds may be expended beyond the 90 days, for dissemination purposes only.

These practices also meet the OMB A-110 criteria for “cash” and “in-kind” as defined in sections A.2.(e-f) and A.2.(kk).

J. Reduction or Termination of CSU/ARI Funding

In the event that CSU-ARI funding at the State level is reduced or eliminated in any year, the campuses may suspend *all* CSU-ARI project spending pending their creation and implementation of a new policy for expenditure of funds on-hand.

K. Research Misconduct

CSU-ARI expects that every recipient of awards will abide by the policies and procedures in place at their institution as mandated by CSU EO 890 section 2.2 and by OSTP 65 FR 76260.

L. Use of Human Subjects/Vertebrate Animals/Recombinant DNA

1. Human Subjects

The grantee is responsible for the protection of the rights and welfare of human subjects involved in research supported by ARI. In addition, ARI research involving human subjects must comply with CSU Executive Order 890, sect. 3.4.2 (<http://www.calstate.edu/EO/EO-890.pdf>) and applicable campus policy.

2. Vertebrate Animals

Any grantee performing research on vertebrate animals shall comply with the Animal Welfare Act [7 U.S.C. 2131 et seq.] and the regulations promulgated thereunder by the Secretary of Agriculture [9 CFR 1.1-4.11] pertaining to the humane care, handling, and treatment of vertebrate animals held or used for research, teaching or other activities supported by ARI. ARI research involving human subjects must comply with CSU Executive Order 890, sect. 3.4.2 (<http://www.calstate.edu/EO/EO-890.pdf>) and applicable campus policy.

3. Research Involving Recombinant DNA Molecules

ARI grantees performing research involving recombinant DNA are subject to the Guidelines for Research Involving Recombinant DNA Molecules (NIH Guidelines) (http://oba.od.nih.gov/oba/rac/Guidelines/NIH_Guidelines.htm) and applicable campus policy.

PROPOSAL POLICIES AND PROCEDURES

I. Proposal Review Process

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.

A. 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.

B. 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.

II. Proposal Evaluation Criteria

Reviewer Notice: Proposals are confidential as per General Policies and Procedures section II. E.

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 subsections 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 others.

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 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. 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.

E. 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 of all the key personnel have been clearly defined. Student involvement is strongly encouraged.

F. Budget Appropriateness (15 points):

Evaluate whether the resources requested are appropriate to the work proposed and whether there are more efficient ways to conduct the project. Determine whether there is a clear relationship between the resources requested and the work proposed.

G. Proposal 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.

III. Review Process for ARI System Proposals

Steps in the review of System proposals:

1. The Executive Director will identify and contact up to three Subject Matter Experts (SME) to read and review single proposals for the current funding round.
2. The SME reviewers will comment on each proposal's scientific merit, research methodology, budget appropriateness, results dissemination plan, economic impact and relevancy to the California agriculture industry, per the evaluation criteria described in the Call for Proposals. A Proposal Review Sheet (Appendix II) will be provided to reviewers.
3. Deans' Council members and the ARI Executive Director will conduct a separate review of System proposals. SME reviewers' comments will be summarized for the Deans prior to a conference call with the Executive Director to discuss all System proposals for funding.
4. The ARI Executive Director will provide a summary of Dean's and SME reviewer comments and recommend System proposals for funding to the ARI Board of Governors.

PROJECT POLICIES AND PROCEDURES

I. Project Director Orientation Meetings

Campus Coordinators are responsible to ensure that new Project Directors are provided an ARI orientation prior to the project start date.

II. Project Start Date

A project's start date is either 1) the start of the fiscal year or 2) the date of notification by the ARI Executive Director of ARI fund availability, depending on campus policies and procedures. Single and multi-year project anniversary dates are observed in 12-month intervals commencing on each project's start date.

III. OPM Documentation Checklist/Data Entry Policy/Instructions

It is the responsibility of the Campus Point Person to ensure that proposals are complete and in full compliance with the annual Call for Proposals. Additionally, they must ensure proper, accurate and complete entries into the OPM for all project data.

IV. 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. Requests for no-cost extensions must be submitted to the Campus Coordinator via email with an appropriate technical justification. No-cost extension requests must be submitted at least 30 days prior to the current project expiration date.

V. Changes in Project Budget, Direction or Management

A. Changes in Project Budget

Changes in project budgets, for both system and campus projects, are at the discretion of the campus and subject to any applicable campus policies as long as they include both reasons for augmenting line items and reasons why decreased budgeted lines no longer need the funding previously budgeted. Please see part II.B.3. in the General section for line item flexibility.

B. Changes in Objectives or Scope

Neither the objectives nor the scope of the project stated in the proposal or agreed modifications thereto should be changed without prior CSU ARI approval. Such changes should be proposed by the Project Director to the Campus Coordinator for campus-funded projects and the Executive Director for system-funded projects. If approved by CSU ARI, the relevant Campus Coordinator may amend the grant.

C. Changes to Project Management

The decision to support a proposed project is based to a considerable extent on the qualifications of the proposed Project Director and other personnel. The named Project Director is ultimately responsible for all aspects of the project (see Project Director in Glossary). In the event that a Project Director is unable to complete their obligation to a project, they should notify the

appropriate Campus Coordinator, who shall take the necessary actions to ensure completion or closure of the project.

- When a Project Director transfers to another CSU-ARI member or associate campus, the project funding balance may be transferred. If project funding needs to be transferred between ARI campuses, the process shall be for the receiving campus to invoice for the funds.
- When a Project Director cannot continue in that role while on campus or if a Project Director moves to any other organization than an ARI member or associate campus, they have the option to select a replacement from their campus (who meets the eligibility criteria) and request a transfer of Project Directorship through the procedures in place on that campus for this purpose.
- If a Project Director moves away from an ARI member or associate campus and does not opt for a change of Project Directorship, the project will be closed. The original Project Director remains responsible for a Final Report which is due within 90 days of project close.

VI. Reports

A. General Information

While Campus Coordinators, their respective designee(s), and other appropriate administrative staff will make every reasonable effort to assist Project Directors in meeting 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.

ARI reports must be completed in the following formats using the appropriate printable interactive Annual or Final Report Templates available in the (Post-award) Forms section of the ARI website at www.ari.calstate.edu. Project Directors should submit all reports directly to their respective Campus Coordinator or their designee, per campus guidelines.

B. Annual Reports

Yearly submission of an annual report to the Campus Coordinator is required for all multi-year projects within 60 days of each anniversary of the project start date, except in the year when the project is completed, in which case a final report is due within 90 days after a project's scheduled completion date.

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

If no-cost extensions are approved, additional annual reports will be required within 60 days of each anniversary of the project start date, except for the final year when the project is completed, in which case a final report is due within 90 days after project completion.

D. Final Reports

Final reports for all projects are due within 90 days after a project's scheduled completion date.

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. Executive Summaries of Final Reports should be written with this in mind.

VII. Poor Performance

Project Directors are expected to fulfill all obligations as defined in the Glossary. Less than satisfactory performance on a CSU-ARI project can result in suspension of current or future funding at the discretion of the Campus Coordinator/Dean.

Poor performance can include, but is not limited to the following:

- Late submittal of a required Annual or Final Report – defined as more than 60 days late after a reminder from the Campus Coordinator.
- Extremely late Reports – defined as more than 180 days past due with at least 2 reminders from the Campus Coordinator.
- Unapproved change in scope.
- Exceeding budget line items by more than 20%.
- Exceeding the awarded project fund total.

VIII. Allocation Process for Campuses

ARI funding is allocated annually by formula to member campuses for projects and administration. Additional System competitive research funding, as awarded, will also be allocated.

In addition, associate campus research funding was implemented for the FY14-15 and FY 15-16 years.

A. Notification

The Executive Director will notify member and associate campuses when the annual CSU ARI funds have been received from the Chancellor's Office.

B. Dean's Allocation Request and Certification Letter

Each Campus Dean is to send the Allocation Request Letter (see Appendix III) to the Executive Director for campus and system competitive research funding (if applicable), certifying: 1) the proposals/projects are in the appropriate format; 2) meet/exceed minimal ARI requirements and match; and 3) Project Directors are in compliance with all previous ARI awarded project reporting requirements. Campuses are also to provide their procedures for ensuring that match is documented and uploaded to the OPM system and that all data entry into the OPM is accurate.

C. Allocation Spreadsheet

Campuses are to include a spreadsheet with the following elements:

1. Separate sections for: system projects, first year of new campus projects, second year of funded campus projects, and third year of funded campus projects.
2. ARI Project Number – format is AA-BB-CCC where AA is the round number, BB is the campus designation (see notes below), and CCC is actual project number.
3. Project Director Name – last name, first name

4. Project Title
5. Current Year ARI Funding Amount
6. Current Year Total Match Received (this should be a sum of all 7b plus all 8b.)
7. Use as many lines as necessary
 - a. Cash Amount-to-Date (per sponsor)
 - b. Cash Amount Current Year (per sponsor)
 - c. Sponsor Name
 - d. Sponsor Category
8. Use as many lines as necessary
 - a. In-Kind Amount-to-Date (per sponsor)
 - b. In-Kind Amount Current Year (per sponsor)
 - c. Sponsor Name
 - d. Sponsor Category
9. Total ARI dollar value of project for all years (ONLY ARI awards)
10. Total value of project, including match received-to-date (sum of #9 plus all 7a's and 8a's)
11. If any project is receiving less ARI dollars for the current year than previously awarded, please indicate the received amount and note this project on both the spreadsheet and OPM.
12. Add all Current Funding Year Amounts (#5).
13. Include Adjustments – usually prior projects closed with positive balances (list all)
14. Include amount for Campus Administration.

Campus Numbers:

- 01 = System
- 02 = Fresno
- 03 = Cal Poly, SLO
- 04 = Cal Poly, Pomona
- 05 = Chico

Campuses update the OPM with all project information, upload proposals and match documentation, and update the screens for first, second and third year of funding. Since this is the system all campuses will use for ARI, all screens should be completed for all ARI projects.

Once approved by the Executive Director, the ARI administrative office will request the transfer of funds to the respective campuses.

D. Allocations

Campuses may request more than one allocation order per year. A partial allocation request may be submitted as soon as one project has enough match to meet OPM allocation order requirements.

E. Insufficient Match

Occasionally, research projects may fall short of required matching funds 1) prior to campus allocation of ARI funds or 2) after ARI allocations are sent to the campus.

1. Pre-Allocation Match Shortfall

If campus projects fall short of matching funds (within the 12 month period allowed to document and verify these), excess match from other ARI campus projects that year may be used to meet the campus aggregate match requirement. If a campus lacks overall matching funds from ARI campus projects equal to its required aggregate match, ARI policy allows partial funding allocation (via CPO from the ARI Administrative office) reflecting the amount of shortfall. The unallocated campus ARI funds for that year will be available for use on next year's campus projects for that campus' use.

If a system project falls short of match, a partial funding allocation will be made to the campus hosting that project. The unallocated ARI funds for such projects will be available for use by future system projects among the eligible campuses.

2. Post-Allocation Match Shortfall

If a campus lacks matching funds from ARI campus projects equal to its required aggregate match after the final allocation of that year's ARI funds has been received, the subsequent year's allocation to that campus will be reduced by this shortfall amount. The unallocated campus ARI funds in that year will then be available for use by the following year's campus projects for that campus' use.

If a system project falls short of match, the next year's allocation to the campus hosting that project will be reduced by the shortfall amount. The unallocated ARI funds for such projects will be available for use by future system projects among the eligible campuses.

Associate (non-member) campuses must cover any match shortfall in the final year of a system project or campus competitive project; or return unmatched project funds to the ARI administrative office at project's end.

An annual campus aggregate funding request must include at a minimum a one-to-one external match for projects. At least 25% of the minimum required match must be cash.

IX. Recordkeeping

A. Responsibility

Campuses are responsible for all project financial information and retention. System administration is only responsible for keeping its own financial information.

B. Grant/Project Closeout

Grant closeout is the process by which CSU-ARI determines that all required work and applicable administration has been completed. All expenditures must occur prior to the end date of the project. Grants are considered closed 90 days after the end date or with the submittal of the Final Report, whichever occurs last. (See Reporting.)

Any remaining funds in a CSU-ARI project should be transferred to a rollover account at the administering campus. These funds should be used first for future awards. These amounts should be reported on the annual Allocation spreadsheet. (See Allocations.)

C. File Retention Policy

All ARI project records must be kept for a period of three years following the submission and acceptance of a final report.

If no final report is received, all project records will be kept for a period of three years following the end date of the project. Campuses are responsible for demonstrating that due diligence was done to obtain the missing report.

GLOSSARY

Additional Employment (pay)	Project personnel additional employment is guided by the CSU Additional Employment policy HR 2002-05 (http://www.calstate.edu/HRAdm/pdf2002/HR2002-05.pdf) and the State of California Public Contract Code section 10831 (http://www.leginfo.ca.gov/cgi-bin/displaycode?section=pcc&group=10001-11000&file=10830-10833).
Associate Campuses	CSU Monterey Bay and Humboldt State University.
ARI	The California State University Agricultural Research Institute.
Campus Coordinator	Campus Coordinators are the individuals at each ARI member campus responsible for ARI campus administration, local program oversight and collaboration with the ARI Executive Director.
Campus Funding	Campus funding is ARI funding disbursed directly to member or associate campuses in support of intra-campus competitive agricultural and natural resources applied research.
Campus Point Person	The individual on member and associate campuses with primary oversight of the campus' entries into the Online Proposal Management (OPM) system. This individual has the responsibility to ensure completeness, accuracy and compliance with the Call for Proposals in the pre-award phase and proper data entry for the project/post-award phase.
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.
Collaborator	Collaborators are scientifically and/or practically qualified individuals with key expertise and responsibility for completion of a significant portion of a project's goals and objectives.
Cooperator	Cooperators are scientifically and/or practically qualified individuals with specific expertise in project topics that provide advice, guidance and consultation to the Project Director and Co-investigators.
Co-investigator	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.

Equipment

Any single item with total cost of \$5,000 or greater.

Executive Director

The Executive Director is the individual responsible for the ARI’s overall administration, day-to-day operational management and oversight, promotion, and program and financial accountability.

External Match

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 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.

Faculty Release

Faculty release is an ARI project budgeted 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.

Fair Market Value

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. 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.

Full Proposal

A full proposal is a detailed scientific research, information dissemination and technology transfer strategic plan that identifies an agricultural or natural resources problem 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.

In-kind Match

In-kind match is defined as any contribution, other than cash (see Cash Match 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 General Fund allocation and/or cash and

in-kind contributions which have been previously utilized as ARI or ARI master grant match.

Key Personnel Key personnel are project personnel with significant identified project-related responsibilities (Project Directors, Co-investigators and Collaborators).

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

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).

Pending Match 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.

Pre-proposal 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.

Project Director The Project Director is the individual ultimately responsible for all pre-award 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.

System Collaboration 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 UC, industry and/or other qualified research organization’s faculty or research scientists. 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 the Collaborator(s) to the Project Director’s campus. System proposals involving multiple CSU campuses will receive priority.

System Funding System funding is ARI funding which supports collaborative research partnerships addressing issues of statewide or regional importance.

Technical Review Committees Technical review committees are comprised of campus and outside subject matter experts who review campus proposals for technical merit and make funding recommendations to the agriculture college Dean.

Helpful Links

ARI website:

<https://ari.calstate.edu>

ARI OPM Login:

<https://ari.calstate.edu/opm/login.aspx>

CSU Chancellor's Office Executive Orders:

<http://www.calstate.edu/eo/>

OMB Circulars:

http://www.whitehouse.gov/omb/circulars_default

Cal Poly, Pomona Campus ARI Website:

<https://www.csupomona.edu/~ari/>

Cal Poly, San Luis Obispo Campus ARI website:

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

Chico State Campus ARI Website:

<http://www.csuchico.edu/resp/funding/ARI/index.shtml>

Fresno State Campus ARI Website:

<http://www.fresnostate.edu/jcast/ari/>

APPENDIX I.
Cost Share & Intellectual Property Agreement - Example

THIS Agreement is between Industry Match/Partner ("Co-Sponsor") and any CSU auxiliary ("Auxiliary"), a separate non-profit auxiliary organization for the California State University ("University"), otherwise referred to as ("Parties").

RECITALS

WHEREAS, The Co-Sponsor and Auxiliary intend to conduct a joint research project ("Project") under the administration of the California State University Agricultural Research Institute (ARI) to foster the development and evaluation of new and promising technologies that have the potential for improving food safety, environmental stewardship, economic performance, and long-term sustainability of California's agriculture industry; and

WHEREAS, the Co-Sponsor is providing cost share in this Project matching in cash, on at least a 100% (dollar-for-dollar) basis with California State University Agricultural Research Institute (ARI); and

WHEREAS, This Agreement is of mutual interest and benefit to the University, Auxiliary and to the Co-Sponsor, and will further benefit the instructional and research programs of the University in a manner consistent with its status as a non-profit, tax-exempt, educational institution, and may derive benefits for the Sponsor, University, and Auxiliary through improvements, inventions and/or discoveries.

NOW THEREFORE, The Parties hereto agree to the following terms and conditions:

COST SHARE

The Co-Sponsor will provide \$XXXXX match in cash and/or in-kind during the period of this Agreement.

OWNERSHIP OF RESEARCH RESULTS

Auxiliary may hold University intellectual property, and manage the rights to such Intellectual Property consistent with University regulation and policy. All rights and title to Intellectual Property whether patentable or copyrightable or not, relating to Project made solely by employees and/or students of University or Auxiliary shall belong to University and shall be subject to the terms and conditions of this Agreement.

All rights and title to Intellectual Property, whether patentable or copyrightable or not, relating to Project made and/or owned solely by employees of Co-Sponsor shall belong to Co-Sponsor. Such inventions, improvements, and/or discoveries shall not be subject to the terms and conditions of this Agreement.

All rights and title to Intellectual Property, whether or not patentable or copyrightable, relating to Project made jointly by the parties shall belong jointly to the parties.

PATENTS

Title to any invention conceived or first reduced to practice by Auxiliary and University employees and/or students will remain with University or Auxiliary as an agent for University in Intellectual Property, which will have the sole right to determine disposition of any patents or other rights resulting there from. Such disposition shall be calculated to protect the public interest, as well as the rights and equities of both parties. This will not, however, give Auxiliary any rights to the title of any invention conceived or first reduced to practice prior to this Agreement or performed by the Co-Sponsor, and/or Co-Sponsor employees or other Co-Sponsor subcontractors, during the time period of this Agreement, which may be required to further the research under this Agreement.

Notwithstanding the foregoing, any license grant by the Auxiliary as an agent of the University shall not preclude rights to use licensed Project Intellectual Property for its own education, research and internal, non-commercial use.

PUBLICATIONS AND COPYRIGHTS

Auxiliary shall have the right to publish the results obtained from Project conducted hereunder. Publication of information that had previously been researched by the Co-Sponsor but presented to Auxiliary personnel as a component of the Project performed under this Agreement requires prior written approval of the Co-Sponsor. During the performance of this Agreement, Auxiliary agrees to provide Co-Sponsor with a manuscript of any proposed presentation and/or publication at least thirty (30) days prior to submission thereof for presentation and/or publication. Co-Sponsor shall have thirty (30) days to review any such publication and/or presentation and to request an additional delay of up to thirty (30) days so that Co-Sponsor's proprietary information, subject to the exceptions of the following subparagraphs (a) through (e), can be deleted from the presentation and/or publication.

- (a) information which is or becomes publicly known through no fault of a party;
- (b) information learned from a third party entitled to disclose such information;
- (c) information already known to or developed by a party prior to receipt hereunder, as shown by the party's prior written records;
- (d) information which is published in the necessary course of the prosecution of patent applications based upon inventions developed pursuant to this Agreement; or
- (e) information required to be disclosed by operation of law or court order.,

If Co-Sponsor does not respond with comments within thirty (30) days from the initial submission, Auxiliary shall be free to proceed with publication and/or presentation. Title to and the right to determine the disposition of any copyrights, or copyrightable material, first produced in the performance of the Project shall remain with the University or Auxiliary as an agent for University in Intellectual Property.

In order for the Auxiliary to preserve its intellectual property rights and copyrights, the following statement on any materials, publications, presentations, website postings, video clips, lesson plans, or other copyrightable materials will be required. Appropriate copyright notice is as in the following example: "Copyright © 2014, California Polytechnic State University and Cal Poly Corporation, Inc. All rights reserved."

CONFIDENTIALITY

If necessary, the parties will exchange information, which they consider to be confidential. The recipient of such information agrees to accept the disclosure of said information which is marked as confidential at the time it is sent to the recipient, and to employ all reasonable efforts to maintain the information secret and confidential, such efforts to be no less than the degree of care employed by the recipient to preserve and safeguard its own confidential information. If the disclosing party originally discloses information in non-written form (e.g., orally or visually), the recipient shall protect such information as confidential to the extent that the disclosing party: (a) identifies the information as confidential at the time of original disclosure; (b) summarizes the confidential information in writing; (c) marks the writing clearly and conspicuously with an appropriate confidential legend; and (d) delivers the writing to the recipient within fifteen (15) working days following the original disclosure. The information shall not be disclosed or revealed to anyone except employees of the recipient who have a need to know the information and who have entered into a secrecy agreement with the recipient under which such employees are required to maintain confidential the proprietary information of the recipient and such employees shall be advised by the recipient of the confidential nature of the information and that the information shall be treated accordingly.

The obligations of this paragraph shall extend until three (3) years after the termination of this Agreement.

Exceptions. The recipient's obligations under this section shall not extend to any part of the information:

that can be demonstrated to have been in the public domain or publicly known and readily available to the trade or the public prior to the date of the disclosure; or

that can be demonstrated, from written records to have been in the recipient's possession or readily available to the recipient from another source not under obligation of secrecy to the disclosing party prior to the disclosure; or

that becomes part of the public domain or publicly known by publication or otherwise, not due to any unauthorized act by the recipient; or

that is demonstrated from written records to have been developed by or for the receiving party without reference to confidential information disclosed by the disclosing party; or

that is required to be disclosed by law, government regulation or court order.

ACKNOWLEDGEMENT OF FUNDING SUPPORT:

An acknowledgement of support and disclaimer must appear in each publication of materials, whether copyrighted or not, based on or developed under this Agreement.

“Partial funding for this project has been provided by the California State University Agricultural Research Institute (ARI).”

IN WITNESS WHEREOF, this Agreement shall take effect as of when it has been executed below by the duly authorized representatives of the Parties.

Example

Cal Poly Corporation

Co-Sponsor

XXXXXXXXXX

XXXXXXX

(Date)

(Date)

CONCURRENCE

California Polytechnic State University

By: _____

Date: _____

APPENDIX II.
Proposal Review Sheet (PRS) Page 1

Proposal Information	
Proposal #:	
Campus:	
Principal Investigator:	
Proposal Title:	
Research Focus Area:	
Project Duration:	
Funding Type:	
Total ARI Request:	
Technical Evaluation Criteria	
<p>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 others.</p>	
Comments:	Points A: (20 max)
<p>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 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?</p>	
Comments:	Points B: (25 max)
<p>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.</p>	
Comments:	Points C: (10 max)
<p>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. 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.</p>	
Comments:	Points D: (15 max)

Proposal Review Sheet (PRS) Page 2

E. 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 of all the key personnel have been clearly defined. Student Involvement is strongly encouraged.

Comments:	Points E: (10 max)
-----------	--------------------

F. Budget Appropriateness (15 points): Evaluate whether the resources requested are appropriate to the work proposed and whether there are more efficient ways to conduct the project. Determine whether there is a clear relationship between the resources requested and the work proposed.

Comments:	Points F: (15 max)
-----------	--------------------

G. Proposal 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.

Comments:	Points G: (5 max)
-----------	-------------------

Total Scientific Points for Proposal (100 max):	0
--	----------

Additional Reviewer Comments

Recommendation				
-----------------------	--	--	--	--

Fund as Submitted	Fund with Minor Revisions	Fund with Major Revisions	Do not Fund	Total Points: 0
Reviewer's Name (print)			Reviewer's Signature:	Date

**APPENDIX III.
Dean's Allocation Request Letter**

Date

Dr. Mark Shelton, Executive Director
Agricultural Research Institute (ARI)
College of Agriculture, Food & Environmental Sciences
California Polytechnic State University
1 Grand Avenue
San Luis Obispo, CA 93407-0250

Re: *[fiscal year]* ARI Allocation Request

Dear Mark,

As decided by the Board of Governors for the Agricultural Research Institute, the funds allocated for each campus and its projects are to be transferred directly from Cal Poly State University. In return for this transfer, the Deans of the Colleges of Agriculture on each of the four principal campuses assume administrative responsibility.

[Full Allocation Request]

In accordance with this policy, I am requesting that a total of \$*[funding amount]* of the *[fiscal year]* ARI funds be transferred immediately to our campus as per the attached spreadsheet. This money represents the third year of funding for projects initiated in *[fiscal year]*, the second year of funding for the projects initiated in *[fiscal year]* and the first year funding for projects which began in *[fiscal year]* for both our campus-funded projects and our system-wide projects. Please have this amount transferred to our CMS chartfield: _____.

[Partial Allocation Request]

In accordance with this policy, I am requesting that a total of \$*[funding amount]* of the *[fiscal year]* ARI funds be transferred immediately to our campus per the attached spreadsheet. This money is a partial allocation request and represents the third year of funding for *[number of projects]* projects initiated in *[fiscal year]*, the second year of funding for *[number of projects]* projects initiated in *[fiscal year]* and the first year funding for *[number of projects]* projects which began in *[fiscal year]* for both our campus-funded projects and our system-wide projects. Should sufficient match be secured for the *[number of projects]* outstanding projects, an additional allocation request will be submitted within the appropriate timeframes. Please have this amount transferred to our CMS chartfield: _____.

[Rollover Request for Unallocated Funds]

In accordance with this policy, I am requesting that a total of \$*[funding amount]* of the *[fiscal year]* ARI funds be transferred immediately to our campus per the attached spreadsheet. This money represents the unallocated project funds for *[fiscal year]* which resulted from a combination of *[new/ongoing]* projects *[not receiving as much match as planned/old projects closing with higher than anticipated balances]*. Please have this amount transferred to our CMS chartfield: _____.

I certify that the projects submitted for campus funding are complete and in compliance with the prescribed ARI format, are complete and up-to-date in the ARI Online Project Management System, meet and/or exceed all appropriate ARI campus funding requirements and that prospective project directors are in compliance with all previous ARI awarded project reporting requirements. By signing this letter I also agree to abide by ARI terms and conditions.

Thank you for your prompt attention. If you have any questions on this matter, please contact

_____.

Sincerely,

Attachment

Cc:

-- SAMPLE --

Campus procedures for ensuring that match is documented and uploaded into the ARI-OPM system

- Project award notification sent out to PI's, center reps and center directors.
- Timeline identified for documenting match.
- Match completed and approved on the ARI match form.
- Match forms forwarded to Dean/Campus Coordinator for approval.
- When approved email is sent to PI, Center Rep and foundation grant analyst to initiate a project meeting to review and finalize budget.
- During the project meeting the Final Budget Approval form is completed and approved. This form is a recap of project that is forwarded along with the approved budget to Dean/Campus Coordinator for 'final approval'.
- Email sent to PI when project is fully approved for expending funds.
- Project info is updated in the OPM system and then checked by a second individual to ensure project information has been updated and scanned documents can be opened.

APPENDIX IV.

Research Priority Areas and Definitions

Agricultural Business

Historians will identify the current agricultural period as the second agricultural revolution. Mechanization, hybrid seeds, synthetic fertilizers and chemical pesticides highlighted the first revolution starting in the 19th century. Information management and changing consumer demands are driving 21st century agribusiness and agricultural production. Global positioning satellites and geographic information systems are now making possible "precision farming". The Internet is making possible everything from services and supply purchasing to commodity trading and marketing in an increasingly global marketplace. As technology continues to develop, we see more farmers managing their operations each day from their mobile devices, instead of from a pickup truck. Consumers are increasingly interested in food and health and are driving the market for nutritious, locally-produced, organic, environmentally responsible and humanely-produced products.

Biodiversity

California's impressive biodiversity is most readily demonstrated by the number of native species found within its borders: 750 vertebrates, 6,800 plant species, and 25,000 insect species – more than any other state in the continental United States. Almost one-third of California's plant and fish species, and many of its natural communities, are found nowhere else on earth. At times, tensions may arise between agricultural interests and society's desire to preserve nature. For agriculture, including forestry and range management, to thrive in California, research is needed on best practices to ensure sustainably managed and natural ecosystems.

Biotechnology

The world's population is forecast to exceed 9 billion by the year 2050, while its arable land will rapidly be depleted. California's expanding urban growth has consistently reduced prime agricultural land and competes with food production for the state's limited developed natural resources, especially water. If California agriculture is to provide food and fiber for the state's burgeoning population as well as for a positive agricultural export trade balance, development of new technologies to produce more nutritious and higher value food and fiber products is essential. Today's agriculture depends on the tools of modern science and engineering, from genomics and molecular biology to robotics and chemical engineering. Agricultural biotechnology is the new laboratory proving ground for advanced sustainable agricultural systems to meet these demands.

Food Science/Safety/Security

Agriculture's need to produce more nutritious and higher value food products, the consumer's demand for convenience, and industry's increased awareness of consumer safety concerns continue to drive industry's product development, processing practices, and marketing strategies. According to the Food Marketing Institute, an average grocery store now contains more than 26,000 items, with more than 10,000 new products needed each year to keep the shelves filled. Food safety and the "ready to eat" convenience of meals and snacks are expectations of the modern food shopper. Recent increases in foodborne illness and food product recalls have

heightened consumer awareness and increased regulatory agencies' efforts to scrutinize the food production chain, from farm to fork. Applied research is needed to ensure a safe, nutritious and value-added food supply that meets consumer expectations.

Natural Resources

California's climate and its abundance of high quality natural resources is the basis for its population growth and agricultural/economic development. California is unusually rich in minerals, timber, fertile soil and watersheds, supporting some of the best farmland, forests, grazing land and watersheds in the world. Competing urban, agricultural and environmental interests have sparred for decades over ownership, allocation, and utilization of the state's natural resources. Recently, the Association of Public and Land-grant Universities Boards on Natural Resources and Oceans, Atmosphere and Climate identified six grand challenges in their Roadmap for Natural Resources (2014): 1) Sustainability; 2) Water; 3) Climate Change; 4) Agriculture; 5) Energy; and 6) Education. The CSU colleges of agriculture have a collective wealth of shared knowledge, experience and access to natural resources to support successful applied research to investigate and develop conservation and restoration techniques, compatible and sustainable multiple use systems, and environmentally sound management practices.

Production and Cultural Practices

California continues to be the leading farm state with 400 agricultural commodities valued at over \$45 billion in farm gate. High quality and quantity output remains the backbone of any agricultural production system. Exponential advances in increasing both were achieved during the 20th century, in large part due to the development of hybrid seeds, synthetic fertilizers and chemical pesticides. While continued increases in quality and production are anticipated during the 21st century, they will most likely result from the application of precision information systems (GPS, GIS, etc.), biotechnology, new production systems, and improved management practices. Agricultural producers will need to be highly efficient in water use, while facing the ongoing pressures of exotic pests and diseases, increasing regulations on plant protection materials, and conflicts at the ag-urban interface. Applied high tech production research and technology transfer in layman's terminology and industry continuing education is more important now than at any time in history. The CSU agricultural colleges are well positioned to provide these critical services.

Public Policy

California's future prosperity relies on hard and sometimes controversial policy choices about emerging technologies and utilization of the state's natural resources. The CSU colleges of agriculture, together with their research collaborators are well positioned to serve as non-partisan, scientifically-based resources for policy makers. Choices regarding land use, water cost, quality and allocation, air quality standards, farm worker safety, environmental protection and restoration, and agricultural and municipal waste management will heavily influence agriculture's future profitability, competitiveness, and sustainability. As fewer Americans are directly involved in farming, ranching and timber production, agricultural policy formation increasingly involves a diverse set of stakeholders. In 2010, the California Agricultural Vision: Strategies for Sustainability (Ag Vision) report identified 12 strategies to ensure a vibrant future for California agriculture. Public policy research is needed to address the Ag Vision strategies, including reducing

malnutrition, easing regulatory burdens on agriculture while maintaining health, safety and environmental standards, securing adequate water and labor for agriculture, adapting to climate change, and promoting regional markets for California producers.

Water and Irrigation Technology

Demands upon California's water resources and its aging conveyance infrastructure have reached the crisis stage. California faces a continuing challenge to balance its finite water supplies against the needs of agriculture, the environment, and a growing population, and to make timely deliveries from watersheds to diversion points. In large part because of California's limited developed surface water supply and its extensively over-drafted groundwater basins, agricultural and urban water districts and their users are required to implement water efficiency technologies and conservation practices. The CSU colleges of agriculture have been instrumental in the development, testing and evaluation of urban and agricultural irrigation equipment and systems for both public agencies and private business. Additionally, they have provided consumer education, industry training courses, and consulting services to irrigation and drainage personnel throughout California.

INDEX

A

Added compensation · 11
Additional employment · 11, 22, 24
Administrative Costs · 10
Associate campus · 10, 12, 17, 18, 19, 22
Aggregate funding/match · 20, 21
Agricultural Advisory Council (AAC) · 10
Agricultural Business (Research Priority) · 9, 37
Allocation · 6, 9, 11, 19, 20, 21, 23, 24, 33
Allocation spreadsheet · 19, 21
Animal Welfare Act · 14
Annual report · 5, 7, 18
ARI administrative office (system administration) · 9, 20, 21
ARI dollar value · 20
ARI project number · 19
ARI website · 9, 18, 26
Award (including sub, pre and post) · 13, 18, 19, 20, 21, 22, 24

B

Biodiversity (Research Priority) · 9, 37
Biotechnology (Research Priority) · 9, 37
Board member · 5, 6
Board of Governors · 4, 5, 6, 7, 10, 15, 16, 33
Budget · 4, 5, 7, 8, 9, 10, 11, 16, 23, 24, 35

C

California agriculture (agricultural) · 4, 9, 10, 16, 23, 24, 36, 37, 38
California Polytechnic State University, San Luis Obispo (Cal Poly, SLO) · 4, 5, 6, 20, 24, 26, 33
California State Polytechnic University, Pomona (Cal Poly, Pomona) · 4, 5, 6, 20, 24, 26, 33
California State University, Chico (Chico State, CSU Chico) · 4, 5, 6, 20, 24, 26, 33
California State University, Fresno (Fresno State) · 4, 5, 6, 20, 24, 26, 33
California State University, Humboldt (Humboldt State) · 10, 22
California State University, Monterey Bay (CSU Monterey Bay) · 10, 22

Call for Proposals (RFP) · 7, 12, 16, 17, 22

Campus Coordinator · 4, 6, 7, 8, 11, 17, 18, 19, 22, 35
Campus funding · 22, 34
Campus Point Person · 17, 22
Campus policy (policies) · 11, 13, 14, 17
Campus research ARI/administrative personnel · 7, 8, 15
Capitalized equipment · 10
Cash · 13, 19, 21, 22, 23, 24
Chairperson · 5, 6
Chancellor (CSU Chancellor's Office) · 5, 6, 12, 19, 26
Citations · 11
Closeout, grant/project · 18, 21
Co-sponsor (including sponsor) · 11, 19, 20, 27, 28
Collaboration (Collaborator, collaborate) · 10, 15, 16, 22, 24, 25
Competitive research funding (projects) · 5, 19
Confidentiality · 11, 15, 29
Conflict of Interest · 12
Contract(or), subcontract(or) · 10, 11, 12, 25, 28
Cost allowability · 10
Cost-share · 13, 15, 27

D

Dean's Allocation Request Letter · 19, 34, 35
Deans' Council · 4, 5, 6, 7, 15, 16
Dissemination (disseminate) · 7, 8, 11, 13, 16, 23, 24

E

Economic impact · 16
Eligibility · 10, 18, 21
Equipment (including capitalized) · 10, 23
Evaluation criteria · 15, 16
Excess match · 20
Executive Director · 4, 6, 7, 11, 15, 16, 17, 19, 20, 22, 23
Executive order · 13, 14, 26
Executive roles · 6
External match · 7, 8, 21, 23, 24

F

Fair market value · 23

File retention (recordkeeping) · 21
Final report · 18, 19, 21
Fiscal year · 11, 17, 33
Food Science/Safety/Security (Research Priority) · 10, 37
Full proposals · 15, 23, 33
Funding (including allocation, authority) · 4, 5, 9, 10, 11, 12, 13, 16, 17, 18, 19, 20, 21, 22, 24, 25

G

General Fund(s) · 4, 10, 13, 22, 23, 24
Grant closeout, project · 21

H

Human subjects · 14

I

In-hand · 13
In-kind · 13, 19, 20, 23, 24, 27
Indemnification · 12
Indirect charges (funds) · 11, 13
Industry Representative · 4, 5, 6, 10
Insufficient match (match shortfall) · 20, 21
Intellectual property (IP) · 12, 28, 29, 30

L

Line Item Flexibility · 10, 17
Logistics Group · 4, 7, 8

M

Match (matching) · 4, 6, 7, 8, 11, 12, 13, 15, 19, 20, 21, 22, 23, 24, 25, 35
Match shortfall (insufficient match) · 20, 21
Member campus · 4, 5, 6, 7, 10, 19, 22, 24, 25
Methodology · 15, 16, 23
Misconduct, research · 13

N

Natural Resources (Research Priority) · 10, 38
No-cost extension(s) · 17, 18

O

Objective(s) · 7, 8, 15, 16, 17, 22
OMB Circulars (i.e. A-110) · 10, 13, 26
Online Project Management (OPM) System · 8, 17, 19, 20, 22, 26, 34, 35
Organization (Program) · 4, 5
Orientation meetings (project director) · 17
Outcomes · 15, 16

P

Partial funding · 11, 20, 21, 30
Pending match · 24
Poor project management (poor performance) · 19
Post-award · 18, 22, 24
Pre-award · 22, 24
Production & Cultural Practices (Research Priority) · 10, 38
Project closeout, grant · 18, 21
Project Director · 10, 15, 16, 17, 18, 19, 22, 24, 25
Project management (direction) · 8, 17, 18, 24
Project start date · 13, 17, 18
Proposal evaluation criteria · 15, 16
Proposal review process, Campus · 15
Proposal review process, System · 15, 16
Proposal Review Sheet (PRS) · 16, 32, 33
Public Policy (Research Priority) · 10, 38, 39

Q

Qualifications, researcher · 16, 17

R

Rebudgets · 17
Recombinant DNA · 14
Recordkeeping (file retention) · 21
Reduction in funding · 13
Reporting delinquencies · 18
Reporting obligations · 18
Research priorities (priority areas) · 9, 15, 36
RFP (Call for Proposals) · 7, 11, 12, 16, 17, 22

S

Scope · 17, 19, 25
Sponsor (including co-sponsor) · 11, 19, 20, 27, 28

Start date (project) · 13, 17, 18
State General Fund(s) · 4, 10, 13, 22, 23, 24
Sub-award · 13
Subcontractor(s), contract(or) · 10, 11, 12, 25, 28
Subject Matter Expert (SME) · 15, 16, 25
System Administration (ARI Administrative Office) · 9, 20, 21
System policies · 11

T

Technical review committees · 8, 15, 25
Termination of funding · 13
Travel · 11

U

Unmatched project funds · 21

V

Vertebrate animals · 14
Vice Chairperson · 6
Volunteer time · 24

W

Water and Irrigation Technology (Research Priority) · 10, 39