



# Policy and Procedure Manual

Effective: July 1, 2022

The current RFP can be found on the CSU ARI website at:

<https://ari.calstate.edu/>.

## Fresno State Campus Addendum

### ARI Policy & Procedures

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The following are Fresno State Jordan College of Agricultural Sciences and Technology Campus Specific Policies for the 2023-24 ARI Proposal Cycle:

**\*NEW** - Per the CSU ARI PPM - *“Yearly submission of an annual progress report is required for projects on August 15 – in each year of the project – including the year when the project is completed.”*

*“Final reports for all projects are due within 90 days after a project’s scheduled end date.” [9/30]*

**Fresno State will freeze spending for a PI’s ongoing ARI projects while an Annual Assessment or Final Report is overdue.**

**\*NEW** - Per the CSU ARI PPM - *“For Member Campus funded projects, 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 Principal Investigator and accompanied with an appropriate written justification.”*

**Fresno State campus No Cost Extensions are capped at 2 per project, as per the PPM. This does not guarantee a PI two NCEs. A second NCE will only be approved based on extenuating circumstances and thorough justification is required. The PI should not plan on receiving a NCE.**

**\*NEW - Part VII – Award Administration** - Page 20, ARI RFP FY 2022-23

E. Indirect Charges - Per the Request for Proposals - *“the ARI does not allow the imposition of any indirect charges to ARI State General Fund funded projects”*

**The University Agriculture Laboratory does not receive indirects from the current Fresno State F&A rate agreement. As of the 2023-24 proposal cycle, all projects conducting research on the UAL will be required to include Farm Use Fees in their budgets. An appropriate fee structure is to be determined. The PPM addendum will be updated to include those costs at a later date.**

**\*NEW - Campus Intent to Apply Deadline - November 21, 2022, 11:59 p.m. PST** – All PIs must submit an Intent to Apply. Submissions must be received by November 21st, 2022. Any submissions after this date run the risk of not having a campus budget completed by the proposal deadline. PI must contact Maral Kismetian after submitting their ITA to schedule a budget/proposal submission meeting.

**\*NEW - Campus Application Deadline – February 13, 2022, 11:59 p.m. PST** – Please work through your center or the Dean’s Office to prepare your proposal according to the current Request for Proposals, as well as the ARI Policies and Procedures Manual (PPM). Proposals not meeting the guidelines in the RFP and PPM will not move forward to the review process.

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**Submission limit** – As of the 2022-23 ARI Campus/Seed proposal cycle, PI’s are limited to one proposal per cycle. The CSU ARI limits apply to all Campus/Seed proposals. Campus grants can be funded for a maximum of 3 years with a maximum request of \$150,000 per year. Seed grants are funded for one year with a maximum request of \$10,000.

Updated: October 4, 2022

**Seed Proposals** - Seed grants are available to new faculty at Fresno State. A maximum of 2 seed grants can be awarded in your first 3 years at Fresno State to help establish your research program. However, if you have applied for and received a campus or system award during this time, you will no longer be eligible for seed awards.

## **B. Types of Applications – Page 7, ARI RFP FY 2022-23**

### **4. New Investigator Funding – Not Available at Fresno State**

Per the Call for Proposals, *“Please check with your campus ARI office for the specifics and available funding, if any, for this type of application. A campus is not obligated to fund New Investigator grants in a given funding cycle.”*

**Fresno State campus will only accept proposals for System, Campus and Seed funding.**

## **B. Allowable Costs – Pages 15 – 16, ARI PPM FY 2023-24**

### **5. Project Personnel Added Compensation Policy – Fresno State Campus Policy**

- Additional Employment during the semester, or “overload,” is permissible with Match Funding only, at the Dean’s discretion. The Dean will consider the PI’s ability to meet deadlines on all research projects in determining whether to approve overload or release time.
- Additional employment during the summer, or “summer pay,” is allowed with ARI funds and is limited to (1) release time for 12-month faculty, or (2) summer salary for 9-month faculty.

### **6. Travel – Fresno State Campus Policy**

- **ARI PI Meeting – System projects, and Campus Projects at \$150,000 or more** - Travel to the Annual ARI PI meeting is mandatory for the PI, every year, during the lifetime of the grant. Be sure to include funds in your travel budget for you and at least one student to attend the Annual ARI PI meeting in Sacramento each Fall. Starting in 2022, there is a \$75 registration fee for all faculty and students.
- **ARI PI Meeting – Campus Projects less than \$150,000 or \$75,000 in a single year** – At least once during the lifetime of the project, Fresno State campus requires; 1) A PI or Co-PI to attend the meeting, 2) at least one student to attend the meeting, 3) apply to present either an oral, lightning or poster presentation. Be sure to include funds in your travel budget for the Annual ARI PI meeting in Sacramento each Fall. Starting in 2022, there is a \$75 registration fee for all faculty and students.

**“Crowd-funded” Cash Match** – As of the 2022-23 proposal cycle, cash match obtained through “crowdfunding” donations is allowable. However, there are strict guidelines in place for using these funds as match, for audit purposes.

- All donors must sign a donation card with their donation that has a checkbox that is marked stating that the donor understands that these funds will be used for research purposes on campus, for audit purposes
- Crowdfunding events must be held through Ag One Foundation
- Crowdfunding funds must be deposited in a cash match account specific to that project. The account application must detail how these funds are sourced, and they are to be used as cash match for the funded project
- A copy of all donation cards must accompany the checks for deposit at Fresno State Foundation, for audit purposes

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# GENERAL POLICIES AND PROCEDURES

## Part 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 and natural resources.

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

### B. Mission

Enable applied research – through the power of the California State University (CSU) system – that benefits California agriculture, natural resources and food systems while cultivating the next generation of agricultural leaders.

### C. Vision

The Agricultural Research Institute will be a leading catalyst for timely, applied research and student development making California's agriculture, natural resources and food systems more resilient and sustainable.

### D. Values

At ARI, we value:

- **Innovation:** We seek knowledge breakthroughs through innovative thinking, ideas and approaches.
- **Collaboration:** We work with a variety of partners who share our commitment to making California's agriculture and food systems more resilient and sustainable.
- **Engagement:** We involve students, faculty and various stakeholders in dialogue and solution creation.
- **Scientific Integrity:** We fund sound, peer-reviewed science held to the highest standards of ethical conduct, transparency and best practices.
- **Accountability:** We are responsible and efficient stewards of public funds and trust.

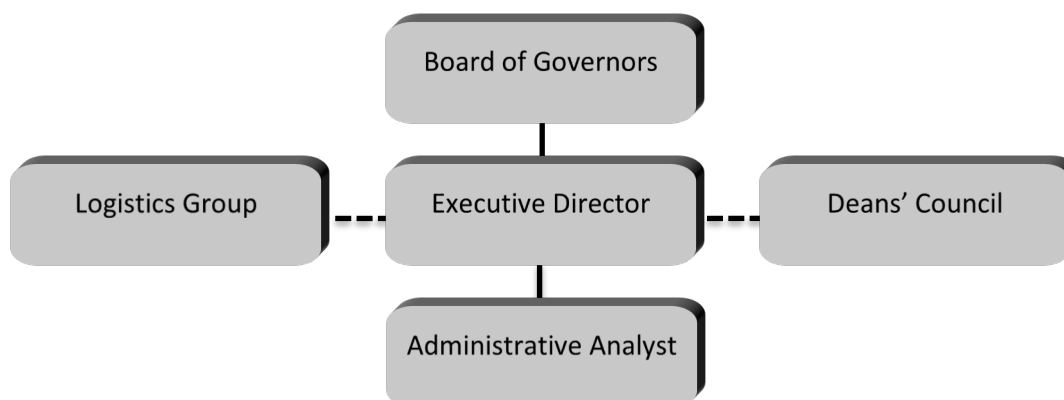
- **Diversity and Inclusion:** We seek out a diversity of ideas, disciplines and backgrounds.

## E. Strategic Priorities

1. Set research focus areas and align the organization – including its processes – to support those focus areas and the vision.
2. Communicate with and engage key stakeholder groups in collaborative strategies supporting the vision.
3. Develop and implement long-term sustainable funding and faculty capacity strategies.

## F. Organization

A Board of Governors serves as the policy and funding authority for the ARI. It consists of the six 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 six 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

*Jeffrey Armstrong*, President, California Polytechnic State University, San Luis Obispo

*Joseph Castro*, President, California State University, Fresno

*Soraya Coley*, President, California State Polytechnic University, Pomona

*Glenda Humiston*, University of California, Agriculture and Natural Resources

*Gayle Hutchinson*, President, California State University, Chico

*Tom Jackson, Jr.*, President, Cal Poly, Humboldt University

*AG Kawamura*, Orange County Produce

*Gregory Kelley*, past President & CEO, California Olive Ranch

*Eduardo M. Ochoa*, President, California State University, Monterey Bay

*William S. Smittcamp*, President, Wawona Frozen Foods  
*Donn Zea*, Executive Director, California Prune Board

### Deans' Council

*Dale Oliver*, Dean, College of Natural Resources and Sciences, Cal Poly, Humboldt University  
*Lisa Kessler*, Interim Dean, Don B. Huntley College of Agriculture, California State Polytechnic University, Pomona  
*Andrew Lawson*, Dean, College of Science, California State University, Monterey Bay  
*Dennis Nef*, Dean, Jordan College of Agricultural Sciences and Technology, California State University, Fresno  
*Andrew J. Thulin*, Dean, College of Agriculture, Food and Environmental Sciences, California Polytechnic State University, San Luis Obispo  
*John Unruh*, Dean, College of Agriculture, California State University, Chico

## **G. 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
- Annual evaluation of Executive Director by Chair and Vice-chair; in-depth evaluation by Board every third year.

Participants: Six CSU Presidents from California Polytechnic State University, San Luis Obispo (Cal Poly, SLO), California State Polytechnic University, Pomona (Cal Poly, Pomona), California State University, Chico (Chico State) and California State University, Fresno (Fresno State), Cal Poly, Humboldt University, and California State University, Monterey Bay (CSU Monterey Bay), and UC Vice President of Agriculture and Natural Resources, four industry representatives (one selected by each CSU Member Campus) and the 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 a two-year term, 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 elects a vice chairperson every two years. 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 Member Campuses (Cal Poly, Pomona, Cal Poly, SLO, Chico State, Fresno State, the two deans from the Associate Member Campuses (Cal Poly, Humboldt University and CSU Monterey Bay), 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, Logistics Group, 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
- 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
- Coordinate the solicitation, review and approval of system-wide proposals
- Identify and pursue opportunities of collaboration with other CSU Affinity groups and the UC System.
- Identify and pursue Federal, State and Commodity funding opportunities to support the ARI mission.
- Provide administrative oversight to the 19 non-member campuses that participate in the system-wide competitive grant program.
- Conduct an annual assessment of the effectiveness, a three-year rolling window and an overall comprehensive impact of the ARI program.
- Initiate coordinate and hire ARI staff in accordance with administrative campus Human Resources procedures.
- Conduct performance evaluations of ARI staff in accordance with administrative campus Human Resources procedures
- Track all CSU/ARI research, continuing education and information dissemination activity

In coordination with and assistance from the Logistics Group:

- 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
- Assist Campus Coordinators with the management and reporting of state and related external matching research funds
- Initiate and oversee the request for proposals (RFPs)
- Coordinate a comprehensive annual dissemination plan including dissemination meetings, research notes, bulletins, pamphlets and reports
- 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

Performance Evaluation: Reviewed by the Chair and Vice-Chair annually; in-depth evaluation by Board every third year. (Effective 4/19/17)

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 and associate 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. 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 InfoReady
- 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: Individuals are identified by Campus Coordinators, as being 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. One person is selected by the Campus Coordinator to serve as Campus Point Person, the individual responsible for the online management of proposals and projects.

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. Administrative Analyst**

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.

## **H. Funding Allocation**

The four ARI member campuses collectively receive \$4.00 million annually in State General Funds from the California legislature to support applied agriculture and natural resource research. The Chancellor's Office provides supplemental funding to support the ARI applied research mission on Associate Campuses (Cal Poly, Humboldt and Monterey Bay). The Board of Governors serves as the funding authority for the ARI and approves the annual budget and system-wide competitive research projects. 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 and are allocated as below. Historical allocation data is available upon request to the ARI System office.

Allocation Summary	2022-23 Amounts
System-wide	\$1,125,666
Cal Poly Pomona	\$697,615
Cal Poly, San Luis Obispo	\$800,551
Chico State	\$575,617
Fresno State	\$800,551
CSU Monterey Bay**	\$100,000
Cal Poly, Humboldt**	\$250,000
Associate Campus Administrative Oversight	\$20,000
<b>Total</b>	<b>\$4,370,000</b>

Allocation Detail	2022-23 Amounts
System - admin	\$363,178
System – projects***	\$762,488
Cal Poly, Pomona - admin*	\$80,000
Cal Poly, Pomona - competitive***	\$617,615
Cal Poly, San Luis Obispo - admin*	\$80,000
Cal Poly, San Luis Obispo – competitive***	\$720,551
Chico State - admin*	\$80,000
Chico State – competitive***	\$495,617
Fresno State - admin*	\$80,000
Fresno State – competitive***	\$720,551
CSU Monterey Bay - competitive**	\$90,000
CSU Monterey Bay – pass-through, competitive	\$10,000
CSU Monterey Bay – admin	\$10,000
Cal Poly, Humboldt -- competitive**	\$225,000
Cal Poly, Humboldt – pass-through, competitive**	\$10,000
Cal Poly, Humboldt - admin	\$25,000
<b>Total</b>	<b>\$4,370,000</b>

\* Effective FY 2013-14, Member campus administrative funds were increased to \$85,000 yearly by providing an additional \$5,000 from System Administration carryforward funds (a total of \$20,000 per year). Beginning FY 2021-22, Member campuses will not receive the \$5,000 supplemental funding .

\*\*Effective FY 2019-20, Associate campus will receive administrative funds of \$10K and \$25K for Humboldt and CSU Monterey, respectively. Research funds, but not administrative funds, must be matched 1:1. Associate Campus Administrative Oversight funds will be passed through the ARI office to Humboldt and CSUMB to support research.

\*\*\*Beginning FY 2017-18 and continuing through FY 2021-22, the research allocations of the four Member campuses and system were proportionately decreased to support the increased time commitment for the Executive Director (from .5 to 1.0 FTE) and Administrative Analyst position. In FY 2019-20, the Administrative Analyst position increased from 0.75 to 1.0 FTE.

## **1. Research Focus and Topics**

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

- Water
- Labor
- Environment
- Regulations

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

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

## **Part II. Programmatic Terms, Conditions, Policies and Procedures**

### **A. Eligibility**

Principal Investigators for Campus (and Seed) ARI projects must be faculty (tenure-track or adjunct), lecturers or research scientists with campus-defined eligibility from the member or associate campus which receives the ARI allocation.

For System projects, Principal Investigators may be faculty (tenure-track or adjunct), lecturers or research scientists with campus-defined eligibility from their respective CSU campus.

## **B. Allowable Costs**

### **1. Administrative Costs**

Administrative costs are only allowable if they meet the [2 CFR 200 guidelines](#) for reasonability, allocability and consistency for such costs across all sponsored research at the recipient institution. Administrative costs, including accounting fees, processing fees, or any other indirect costs are not allowed on individual projects. Indirect costs defined as per uniform guidance (2 CFR 200) are unallowable 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. Principal Investigators are responsible for maintaining and servicing purchased equipment for the duration of the project.

### **3. Budget Revisions**

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

During periods of project disruptions, such as during pandemics or natural disasters, the 20% category deviation threshold that under normal circumstances requires a rebudget, will be waived. The budget must be rebalanced during the next funding period in accordance to local campus policy. Please see part IV. A., no-cost extensions due to project disruptions.

### **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. Each ARI Campus receives an allocation to support administration of the program on that campus; any additional administrative fees and/or indirect charges cannot be built into individual projects; this includes transaction fees charged by the campus Foundation or other auxiliary. Unrecovered indirect costs are not allowed as part of a match.

### **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

(<http://www.calstate.edu/hradm/pdf2002/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://leginfo.legislature.ca.gov/faces/codes\\_displaySection.xhtml?lawCode=PCC&sectionNum=10831](http://leginfo.legislature.ca.gov/faces/codes_displaySection.xhtml?lawCode=PCC&sectionNum=10831).)

Non-CSU collaborating personnel cannot receive additional compensation from ARI funds when their project contributions are related to and part of their official duties for their agency or employer for which they receive compensation.

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 expenditures 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 re-budget process.

- ARI PI Meeting – PI's with system grants are required to attend the annual PI meeting. PI's with a campus grant of \$150,000 over the lifetime of the grant or \$75,000 in a single year are required to attend. Travel funds should be requested in the proposed budget to support attendance of the meeting every year during the life of the grant. Please identify lodging, per diem and travel costs plus other anticipated costs.

## **7. Hospitality**

Administrative funds can be used to host or attend a conference or meeting that is consistent with its approved application and is reasonable and necessary for successful performance and to achieve the goals of the ARI administrative duties. In these cases, the primary purpose of the meeting is to disseminate technical information on specific programmatic requirements, best practices, coordinate work, or to conduct training or professional development. All applicable statutory and regulatory requirements in determining whether costs are reasonable and necessary are defined in [2 CFR 200 \(Uniform Guidance\)](#). Such allowable costs may include rental of facilities, speakers' fees, costs of meals and refreshments, local transportation, and other items incidental to such conferences unless further restricted by the terms and conditions provided in the ARI Policies and Procedures Manual. Meals and refreshments that are an integral and necessary part of the conference or meeting are allowable in as far as they are "working meals" where business is transacted.

## **C. Campus Policies vs. System Policies**

Where 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 Request for Proposals, 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 2015-05, entitled “Conflict of Interest Policy for Principal Investigators”. <http://www.calstate.edu/HRAAdm/pdf2015/HR2015-05.pdf> . In these cases, a Form 700-U is required to be filed by each CSU person with a Key Personnel role.

To prevent an actual or perceived conflict of interest, any person who would potentially benefit from ARI research funding shall not be involved in matters pertaining to those funding decisions. Any eligible campus member (defined under II.A), including those in management (MPP) roles, the

Executive Director, Campus Coordinators and faculty can submit to either System or their respective Campus competitions. In a granting cycle where a person submits their proposal for consideration of funding, they shall recuse themselves from participating in all matters pertaining to the review and funding recommendation of proposals being considered during that funding cycle. Should the Executive Director submit a proposal to the System competitive funding, they shall not be involved in any proposal-related activities normally performed (described in section C.3) for that funding cycle. Instead, the Administrative Analyst under the general direction of the Chair of the Deans' Council shall take over those duties for that funding cycle.

## **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. A declaration of pre-existing intellectual property must be noted on the "Data Sharing and Use of Preexisting Intellectual Property" form and submitted along with the proposal.

## **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.
- Match must be received by the PI or the Co-PI.
- Donor or program-related funds that have provisions to fund agricultural research can be provided to individual projects as a match at the discretion of the dean where the donation or program funding originated.
- Not from the CSU General Fund or other similar funds such as State Lottery funding for CSU, student fees, or unrecovered indirect costs.
- Project match must be documented and verified between six months prior and six months post either the start of the fiscal year (July 1) or notification by the ARI Executive Director of ARI fund availability, depending on campus policies and procedures. For match arriving prior to six months before the project start date, only the available balance at the six months prior date is allowed as project match.
- 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.
- Unrecovered indirect costs cannot be used as match.

These practices also meet the [2 CFR 200](#) criteria for “cash” and “in-kind” as defined in section, 200.306 Cost sharing or matching.

## **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 implementation of article 6 “Guidelines for Suspension of Members and/or Dissolution of ARI Program” in the EO 1103 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) (<https://osp.od.nih.gov/biotechnology/nih-guidelines/>) and applicable campus policy.

# **PROPOSAL POLICIES AND PROCEDURES**

## **Part 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**

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**

Campus proposals are reviewed by technical review committees comprised of campus and other subject matter experts chosen by the campus ARI personnel. See applicable guidelines under Part II.F. Conflict of Interest.

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

## **Part II. Proposal Evaluation Criteria**

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

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

#### **a. Problem/Issue to be Addressed (20 points)**

Determine whether the problem is addressed clearly and presented convincingly. The Principal Investigator 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 Principal Investigator demonstrated 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 if pitfalls and possible solutions were identified. Determine whether the proposal indicates data will be collected and analyzed, whether the major objectives and milestones of the proposal have been identified, and whether they are appropriate. Evaluate whether the timeline of proposed activities is realistic and appropriate to the work proposed, and whether the objectives can be achieved using the approach identified. If matching funds were required, has the relevance of those funds been addressed, including non-overlap of objectives except in the case of direct cost-share?

c. Dissemination Plan (10 points)

Determine whether the information dissemination activities proposed are adequate, that they primarily address California farmers', ranchers', and/or agribusiness concerns (a requirement for all ARI funded proposals), and that they are well thought out.

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

Evaluate the value of the work proposed relative to California agriculture, agribusiness, food and natural resources. 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. Deliverables and Impact (5 Points)

Evaluate whether the methods proposed to assess the final project outcomes will determine whether or not objectives stated in the original proposal have been achieved. Evaluate if the deliverables appear reasonable and achievable. Evaluate if they have addressed the impact of the proposed research to the agriculture and natural resource industry, the consumer, and science.

f. Staff Needs/Researcher Qualifications and Collaboration (10 points):

Determine whether the proposal clearly describes the qualifications of the Principal Investigator 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 and their roles in the project should be clearly defined.

g. Budget Appropriateness (15 points)

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

### **Part III. Review Process for ARI System Proposals**

Steps in the review of System proposals:

1. The Executive Director will identify and contact 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 Request 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

## Part I. Principal Investigator Meetings

Principal Investigators (or their non-student designee) with system grants are required to attend the annual PI meeting. PI's with a campus grant of \$150,000 over the lifetime of the grant or \$75,000 in a single year are required to attend. In addition, Campus Coordinators are responsible to ensure that new Principal Investigators are provided an ARI orientation prior to the project start date.

## Part 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.

## Part III. InfoReady 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 Request for Proposals. Additionally, they must ensure proper, accurate and complete entries into the InfoReady for all project data.

## Part IV. No-Cost Extensions

For Member Campus funded projects, 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 Principal Investigator and accompanied with an appropriate written justification. Requests for no-cost extensions related to Member Campus funded projects 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.

Associate Campus funded projects may request a no-cost extension in consultation with their Campus Coordinator and/or campus Dean. Up to two separately requested, one-year, no-cost extensions can be allowed when requested by a Principal Investigator and accompanied with an appropriate written justification. Requests for no-cost extensions related to Associate Campus funded projects will be submitted to their local campus with an appropriate technical justification. No-cost extension requests must be submitted at least 30 days prior to the current project expiration date.

For all System funded projects, the Executive Director may approve up to two separately requested, one-year, no-cost extensions when requested by a Principal Investigator and accompanied with an appropriate written justification. Requests for no-cost extensions for System funded projects must be submitted to the Executive Director 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.

#### **A. Project Disruptions due to Pandemics or Natural Disasters**

Projects impacted by pandemics (e.g., COVID-19) or regional natural disasters (e.g., earthquakes, wildfires), can apply for a no-cost extension (one-month before their grant is scheduled to close) and should cite as part of their justification that lack of project progress was due to the impacts of the pandemic or natural disaster. A pandemic / natural disaster no-cost extension shall only be used when a given project has already used their two one-year no-cost extensions. Annual reporting will occur as normally scheduled, due on 15 August. Final reports are not impacted, and will be based on the new closing date.

The 20% category deviation threshold that under normal circumstances requires a rebudget will be waived for projects disrupted due to pandemics or regional natural disasters. The budget must be rebalanced during the next funding period in accordance to local campus policy.

### **Part 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 to Project 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 Principal Investigator 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 Principal Investigator and other personnel. The named Principal Investigator is ultimately responsible for all aspects of the project (see Principal Investigator in Glossary). In the event that a Principal Investigator 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 Principal Investigator 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 Principal Investigator cannot continue in that role while on campus or if a Principal Investigator 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 Principal Investigatorship through the procedures in place on that campus for this purpose.
- If a Principal Investigator moves away from an ARI member or associate campus and does not opt for a change of Principal Investigators, the project will be closed. The original Principal Investigator remains responsible for a Final Report which is due within 90 days of project close.

## **Part VI. Reports**

### **A. General Information**

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

ARI progress reports must be completed using the appropriate online interactive Annual Assessment or Final Report Templates available in the Progress Reports section of the [ARI website](#).

### **B. Annual Reports**

Yearly submission of an annual progress report is required for projects on August 15, annually, 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 on August 15 of the extension year, 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, Principal Investigators 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.

## **Part VII. Poor Performance**

Principal Investigators 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.

## **Part VIII. Allocation Process for Campuses**

Through state legislation, 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 funding is provided through a separate allocation from the Chancellor's Office. In FY 2020-21 it is anticipated that CSU Monterey Bay and Cal Poly, Humboldt University will receive \$110,000 and \$260,000, respectively. Of these allocations, CSU Monterey Bay will use \$10,000 and Cal Poly, Humboldt \$25,000 to support administration of the ARI program on their campus. In total, the annual research allocation for CSU Monterey Bay and Cal Poly, Humboldt is \$100,000 and \$235,000, respectively. Indirect or administrative costs cannot be included as a line item within any project budget.

### **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) Principal Investigators 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 InfoReady system and that all data entry into InfoReady is accurate.

### **C. Allocation Spreadsheet**

Campuses are to use the allocation spreadsheet template to list the details of each project, including its external match.

Each proposal will automatically be assigned a number upon submission. A proposal that has been selected for funding will retain the proposal number as its ARI project number. The proposal/project format number is "AA-BB-CCC" where "AA" is the fiscal year of initial funding, "BB" is the campus number designation and "CCC" is the project/proposal number assigned in the order received. The campus numbers are: 01=System; 02=Fresno; 03=Cal Poly, SLO; 04=Cal Poly, Pomona; 05=Chico State; 06=Humboldt; 07= CSU Monterey Bay. All non-ARI member campuses will apply through the System competition and will receive a campus number of "01" regardless of campus.

Campuses update InfoReady with all project information, upload proposals and match documentation, and update the screens for first, second and third year of funding. Since all campuses will use InfoReady for their ARI applications, all screens should be completed for each ARI projects.

Once the allocation request has been received, the Executive Director will review the allocation request and proposals to ensure the submitted projects are consistent with ARI policies, mission and objectives. The program will fund the most meritorious applied agricultural research to leverage available resources to maximize impact and benefit in fulfilling the ARI mission in a way that does not dilute the mission, focus or effectiveness of the program.

Projects that fall outside the scope of the ARI policies, mission and objectives will be identified during the review by the Executive Director. Specific issues that contribute to the project's non-compliance will be identified in writing by the Executive Director and communicated to the Dean and Campus Coordinators of the respective campus. The Principal Investigator, working with the Dean and Campus Coordinator, will be provided an opportunity to address the issues to bring the project into compliance. When this is not possible, the project will not be funded.

## **D. Allocations**

An annual campus funding request must include at a minimum a one-to-one external match for individual research projects. It is expected that the annual campus funding will be matched at least one-to-one in aggregate to compensate for seed grants that do not require individual match. At least 25% of the minimum required match must be cash.

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 the InfoReady allocation order requirements.

## **E. Dynamic Reallocation of Campus and System Unmatched Funds**

Occasionally, individual 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. To ensure the timely use of

state funds, unmatched system or campus funds will be redirected to meritorious projects that have secured match, minimizing carry-forward funds. This will allow the ARI program to utilize its resources in a timely manner and serve to increase the broader impact of our research and student training.

## **1. Establishing the carryforward base:**

Beginning FY 2022-23, campus (both Member and Associate) and system allocations will be based on the carryforward funding amount averaged across the previous three years. Programs (campus and system) with carryforward funds that exceed a threshold will have a reduction in research funds as follows:

- a. The amount of carryforward funding at the end of the fiscal year (i.e., 30 June) will be used in calculating a three year rolling-window to determine future campus/system allocations. The starting point for calculating the three year rolling window will begin with FY 2019-20.
- b. The amount of research dollars left on 30 June of a given FY will be considered carryforward funds. A three-year average carryforward threshold of  $\geq 15\%$  of the campus or system research allocation may cause a reduction in future allocations. A campus or system three-year average carryforward amount at the end of the FY of  $< 15\%$  will be considered fully matched, and the annual future research funding allocation will not be reduced.
- c. A three-year rolling window average will be used to dynamically reallocate campus and system allocations. For those campuses and/or system that have exceeded the carryforward threshold of 15%, their allocation will be reduced by 25% of the three-year rolling window carryforward average.
- d. As per policy, the ARI Board of Governors approves budgets. The Executive Director and Deans' Council will work together to document and agree upon the amount of carry forward funds. The Executive Director and/or the Deans' Council will present to the Board, the circumstances that have contributed to carry-forward funds, steps that will be taken to ensure future allocations are fully matched and high quality projects are funded. The Board will take into consideration any unusual or special circumstances before reducing a campus or system allocation.
- e. Beginning FY 2022-23, allocations will be based on the dynamic reallocation system. This will replace the current policy, which allowed a campus and system to carry forward the full amount of unallocated research funds into successive fiscal years.

## **2. Unallocated funds will be pooled to fund existing or new proposals:**

### ***a. Priority 1: Fund Existing Proposals***

Beginning FY 2022-23, unallocated funds, defined as the three-year rolling window average of funds that have exceeded the carryforward threshold of 15% (as per

section E. 1.) from the previous FY will be pooled to fund system or campus proposals that were not funded, or only partially funded, due to lack of ARI funds available for that campus or system.

- i. The proposals will be reviewed by the Deans' Council (or their designee) and the Executive Director. Ad-hoc external reviewers, who can provide subject-specific expertise, will be included as needed.
- ii. Proposal reviews and funding decisions will be made within six weeks of the beginning of the fiscal year. For example, by 15 August 2022, unallocated funds from FY2021-22 must be encumbered and allocated.

***b. Priority 2: Solicit New Proposals***

Any unallocated funds remaining after funding high-quality existing proposals from pooled funds (i.e., E.2.), will be used to support new research proposals through issuing a new RFP.

- i. An RFP for the unallocated funds will be released on 16 August of the new FY. For example, on 16 August 2022, the RFP for unallocated funds from FY 2021-22 will be released.
- ii. Applications for the pooled FY 2021-22 unallocated funds will be due on the first Wednesday of October.
- iii. The competition will be open to any and only ARI campuses.
- iv. The proposals will be reviewed by the Deans' Council (or their designee) and the Executive Director. Ad-hoc external reviewers, who can provide subject-specific expertise, will be included as needed.
- v. Proposal reviews and funding decisions will be made by the second Wednesday of November.

**3. Establishment of funding amounts through dynamic reallocation**

Proposals funded under E.2.a or E.2.b will be used to establish the additional research/match capacity of their respective campus or system. The campus/system research funds for the next FY allocation will be increased in proportion to the percentage of the pooled funding the campus or system was awarded.

**F. Return of Unexpended Funds**

For Member and Associate ARI campuses, any System or Campus grant funds unexpended or uncommitted at the end of the grant period must be promptly transferred to a campus account (state, auxiliary, or foundation). The unexpended funds will be retained and used only to enhance the ARI mission. The expenditure of those funds will be approved by the campus Dean and subject to financial reporting. The only exception to this rule is a project where a no-cost extension has been granted due to the occurrence of natural events e.g. disease pandemic, earthquakes, etc.

For non-ARI campuses, any System or Campus funds unexpended or uncommitted at the end of the grant period must be promptly transferred to the ARI system administrative office and deposited in a state account. The unexpended funds will be retained and used only to enhance

the ARI mission. The expenditure of those funds will be approved by the Executive Director under advisement of the Board of Governors and subject to financial reporting.

## **Part 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

<b>Additional Employment (pay)</b>	Project personnel additional employment is guided by the CSU Additional Employment policy HR 2002-05 ( <a href="http://www.calstate.edu/HRAdm/pdf2002/HR2002-05.pdf">http://www.calstate.edu/HRAdm/pdf2002/HR2002-05.pdf</a> ) and the State of California Public Contract Code section 10831 ( <a href="https://leginfo.legislature.ca.gov/faces/codes_displaySection.xhtml?lawCode=PCC&amp;sectionNum=10831">https://leginfo.legislature.ca.gov/faces/codes_displaySection.xhtml?lawCode=PCC&amp;sectionNum=10831</a> .)
<b>Associate Campuses</b>	CSU Monterey Bay and Cal Poly, Humboldt University.
<b>ARI</b>	The California State University Agricultural Research Institute.
<b>Campus Coordinator</b>	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.
<b>Campus Funding</b>	Campus funding is ARI funding disbursed directly to member or associate campuses in support of intra-campus competitive agricultural and natural resources applied research.
<b>Campus Point Person</b>	The individual on member and associate campuses with primary oversight of the campus' entries into the InfoReady system. This individual has the responsibility to ensure completeness, accuracy and compliance with the Request for Proposals in the pre-award phase and proper data entry for the project/post-award phase.
<b>Cash Match</b>	Cash match is defined as any cash, check and/or other negotiable United States currency contribution made by non-CSU State General Fund sources that directly benefits and is specifically pertinent to an ARI or ARI master grant funded project. An allowable match directly benefits and is specifically pertinent to an ARI or ARI master grant funded project and must be received by the ARI P.I. or co-PI. For system projects, cash match from both the PI and co-PI CSU campuses will be counted and the cash must reside on one of the two CSU campuses.
<b>Cooperator</b>	Cooperators are scientifically and/or practically qualified individuals that provide materials, land, advice, guidance or consultation to the Principal Investigator and are necessary for the completion of a significant portion of a project's goals and objectives. A project consisting solely of a Principal Investigator and a cooperator will not qualify for a system proposal.

<b>Co-investigator (CI)</b>	Co-investigators (CI) are individuals involved with the PI in the scientific development and execution of the project. Co-investigators are scientifically qualified individuals with specific project-related expertise who work collaboratively with Principal Investigators to undertake key research activities, perform industry outreach, dissemination and technology transfer activities. All co-investigators are expected to have significant intellectual input to the project and are expected to submit a letter committing their participation and specific contributions to the project. A system project requires, at a minimum, a Principal Investigator and a Co-investigator, with the Co-investigator residing on another campus. In the event a PI must leave a project it is expected that the remaining CI(s) will direct the project and submit the requisite reports.
<b>Equipment</b>	Any single item with total cost of \$5,000 or greater.
<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 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 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.
<b>Fair Market Value</b>	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.
<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 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.

<b>In-kind Match</b>	An in-kind match is the portion of project costs not paid by ARI funds. The in-kind match includes any contributions, 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.
<b>Key Personnel</b>	Key personnel are project personnel with significant identified project-related responsibilities (Principal Investigators, Co-investigators and Collaborators).
<b>Match Allowability</b>	Cash or in-kind match originating from any CSU State General Fund allocation, any other ARI funded program, previously funded ARI projects or other donations which have been previously utilized as match for other projects is specifically prohibited from being used as external match. ARI and ARI master grant funding do not qualify as reciprocating match. Unrecovered indirect costs are not allowed as part of a match. CSU Project Personnel are not allowed to count their volunteer time on ARI projects as in-kind match. An allowable match directly benefits and is specifically pertinent to an ARI project or ARI master grant and must be received by the ARI project PD or co-PI.
<b>Member Campus</b>	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. It must be received prior to the release of project funds by the campus.
<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>Principal Investigator (PI) / Project Director (PD)</b>	The Principal Investigator (PI) (aka Project Director (PD)) is defined as the individual with the appropriate level of expertise to lead and direct the project intellectually and logistically. The PI has the authority and responsibility to direct the project supported by the grant and is responsible and accountable to the ARI program for the proper conduct of the project including the submission of all required reports. The PD is 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.

**System  
Collaboration**

System collaboration requires a research team including at least one CSU campus faculty or research scientist collaborating with another CSU campus faculty or research scientist from a UC, industry or another qualified research organization's faculty or research scientists. The off-campus collaborator must be designated as a Co-investigator with contributions to the project commensurate to that level of designation. The principal investigator must be from a CSU campus. System proposals must document the research collaboration in terms of financial support and scope of work, through subcontracts, standard agreements, and/or transfer of matching funds from the Collaborator(s) to the Principal Investigator'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. Each System research project is required to obtain 1:1 match to ARI funds provided with a minimum of 50% cash.

**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. See Section II.F. of the ARI Policies and Procedures Manual for the conflict of interest guiding the technical review committee.

## HELPFUL LINKS

ARI Chancellor's Office website:

<https://www2.calstate.edu/impact-of-the-csu/research/ari/>

ARI Agricultural Commons website:

<https://ari.calstate.edu>

ARI InfoReady Login:

<https://csuari.infoready4.com/>

2 CFR 200, Uniform Administrative Requirements, Cost Principles, and Audit Requirements for Federal Awards

<https://www.gpo.gov/fdsys/pkg/CFR-2014-title2-vol1/pdf/CFR-2014-title2-vol1.pdf>

Cal Poly, Pomona Campus ARI Website:

<https://www.cpp.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/>

Cal Poly, Humboldt Campus ARI Website:

<https://pmc.humboldt.edu/portal/agricultural-research-institute-ari-grants-2223>

CSU Monterey Bay Campus ARI Website:

<https://csumb.edu/spo/>

## APPENDIX I. PROPOSAL REVIEW SHEET (PRS)

Proposal Information				
Proposal #:				
Campus:				
Principal Investigator:				
Proposal Title:				
Research Focus Area:				
Project Duration:				
Funding Type:				
Total ARI Request:				
Technical Evaluation Criteria				
<b>A. Problem/Issue to be Addressed (20 points):</b> Determine whether the problem is addressed clearly and presented convincingly. The Principal Investigator 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 Principal Investigator demonstrated a thorough understanding of related work that has been reported by others.				
Comments:				Points A: (20 max)
<b>B. Statement of Methodology (25 points):</b> Determine whether the proposed methodology is sound and whether there are any significant limitations associated with the proposal design. Determine if pitfalls and possible solutions were identified. Determine whether the proposal indicates data will be collected and analyzed, whether the major objectives and milestones of the proposal have been identified, and whether they are appropriate. Evaluate whether the timeline of proposed activities is realistic and appropriate to the work proposed, and whether the objectives can be achieved using the approach identified. If matching funds were required, has the relevance of those funds been addressed, including non-overlap of objectives except in the case of direct cost-share?				
Comments:				Points B: (25 max)
<b>C. Dissemination Plan (10 points):</b> 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.				
Comments:				Points C: (10 max)
<b>D. Evidence of Economic Impact to the California Industry and Consumer (15 points):</b> Evaluate the value of the work proposed relative to California agriculture, agribusiness, food and natural resources and consumers. Determine whether the agricultural industry's recognition of this problem as being high priority was economically accurate. Establish that industry has provided adequate support for this project or justified why it cannot.				
Comments:				Points D: (15 max)
<b>E. Deliverables and Impact (5 Points):</b> Evaluate whether the methods proposed to assess the final project outcomes will determine whether or not objectives stated in the original proposal have been achieved. Evaluate if the deliverables appear reasonable and achievable. Evaluate if they have addressed the impact of the proposed research to the agriculture and natural resource industry, the consumer, and science.				
Comments:				Points E: (5 max)
<b>F. Staff Needs/Researcher Qualifications and Collaboration (10 points):</b> Determine whether the proposal clearly describes the qualifications of the Project Director and other key personnel to solve the identified proposal problem (training, education, demonstrated awareness of the issue) and whether the level of staffing is appropriate. Determine whether the roles and activities of all the key personnel have been clearly defined. Student involvement is strongly encouraged and their roles in the project should be clearly defined.				
Comments:				Points F: (10 max)
<b>G. Budget Appropriateness (15 points):</b> 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 G: (15 max)
<b>Total Scientific Points for Proposal (100 max):</b>				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 II. DEAN'S ALLOCATION REQUEST LETTER

Date

California State University Agricultural Research Institute  
Attn: Dr. David Still, Executive Director  
4102 South University Drive  
Pomona, CA 91768

Re: *[fiscal year]* ARI Allocation Request

Dear David,

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, Pomona. In return for this transfer, the Deans of the Colleges of Agriculture on each of the four principal campuses or applicable Associate Campus designee 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 Principal Investigators 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-InfoReady 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 InfoReady system and then checked by a second individual to ensure project information has been updated and scanned documents can be opened.

## **APPENDIX III. RESEARCH FOCUS and TOPICS**

### **Advanced Technologies**

Including research in bioenergy, biotechnology and nanotechnology.

### **Animals**

Including animal breeding, animal health, animal production and aquaculture.

### **Business and Economics**

Including markets and trade, natural resource economics and small business.

### **Environment**

Including climate change, ecosystems, invasive pests and diseases.

### **Farming and Ranching**

Including agricultural safety, agricultural technology, farmer education, organic agriculture, small and family farms and sustainable agriculture.

### **Food Science**

Including food quality, food safety and product development.

### **Health**

Including nutrition, obesity and wellness.

### **Human Sciences**

Including community vitality, family well-being and youth.

### **Natural Resources**

Including air, forests, grasslands and rangelands, soil and water.

### **Plants**

Including crop production, nematology, pest management, plant breeding and plant health.

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