SECTION 3:

RESEARCH AREA INDIVIDUAL PROJECT PRE-PROPOSALS

Category 3 - Individual Research Area
Project Pre-Proposals

INTRODUCTION

If your research is in one the following research areas, and if the primary focus is <u>not</u> on Uniform Fungicide/Biological Control Trials or Integrated Management Studies, you should complete your pre-proposals using the instructions and forms provided in this section of the FY14 RFP.

 ❖ FHB Management (MGMT)
 ❖ Food Safety, Toxicology, and Utilization of Mycotoxin-contaminated Grain (FSTU)
 ❖ Gene Discovery and Engineering Resistance (GDER)
 ❖ Pathogen Biology and Genetics (PBG)

OVERVIEW OF THE ELECTRONIC SUBMISSION PROCESS

Individual Pre-proposals will be submitted using the USWBSI's Electronic Pre-Proposal Submission (EPS) System. Pre-proposal must be organized and saved as three (four if submitting a multi-PI budget) separate Adobe PDF files for the purpose of uploading to the EPS System. Below are the steps you will take to complete and submit your individual project pre-proposal:

 a. **Pre-Registration Process** - All PIs must complete the Pre-Registration Process in order to submit their pre-proposal via the EPS System.
   i. <u>User Registration Form</u>: You will only complete this step if you do not already have a User ID or previously used the EPS System. The submission of this form will set up the PI's user account within the EPS System. Form may be accessed at http://scabusa.org/modules/profile/register.php. You may have already completed this step if you have created a user ID for the Scab Website (i.e. Discussion Boards, Photo Library, Scab Blog, etc.). If you are not sure whether you already have a user ID for the Scab Website, please contact the NFO at scabusa@scabusa.org.
   ii. <u>Proposed Research Form</u>: Information submitted on this form pertains to the proposed research being submitted. After logging in on the USWBSI's home page, click on the link below and then follow the instructions included on the form. Form may be accessed at http://www.scabusa.org/pre_reg.php.

   Following successful completion of the Pre-Proposal Registration process (both steps), you will receive a confirmation e-mail containing a 'Help Document' that will aid you in navigating the EPS System. **NOTE**: You do not have to complete the 'Pre-Registration Process' before you begin working on your Pre-proposal.

   Deadline: August 30, 2013

 a. You will complete your pre-proposal by following the instructions provided in this RFP and using the forms which may be downloaded from the FY14 RFP website at: http://www.scabusa.org/research_rfp14. Your final pre-proposal must be completed by creating three files organized as follows:

- **FILE 1** – **Body of Pre-Proposal** – Contains the following:
    - Application for Funding Cover Page
    - Project Summary Form
    - Summary of Progress for Ongoing Related Project(s)
    - Project Description
    - References to Project Description
    - Facilities and Equipment
    - Collaborative Arrangements
    - Letters of Intent from Collaborators and Co-Investigators–(*may be in the form of e-mail messages copied and pasted into your pre-proposal document)*
    - Budget Justification Form
    - Budget Page (**Note:** If you are using the 'Multi-PI Budget' which is in Excel format in place of the Single Budget Page, please refer to the instructions on page 34).

- **FILE 2 – Curriculum Vitae and Publication List (CV/Pubs):** The PI and each Co-PI is responsible for uploading his/her own CV/Pubs file. CV/Pubs for secondary project personnel should be included in the PI's file.

- **FILE 3 – Current and Pending Support (CPS) Form:** The PI and each Co-PI is responsible for uploading his/her own CPS form.

Log in to the EPS System using the information received after successful completion of the 'Pre-Registration Process.' Following the instructions in the 'Help Document' (included in e-mail from the Networking & Facilitation Office), proceed to upload the three separate files (Body of Pre-Proposal, Curriculum Vitae/Publication List, and Current and Pending Support Form). The files you upload must be in Adobe PDF format.

Because the USWBSI does not require signatures by the Authorized Organizational Representatives (AORs) on pre-proposals, institutional AOR's will not be granted access to the EPS System.

Important Dates and Deadlines for submission of Pre-Proposals via the EPS System:

July 15:   Pre-registration begins (you will receive your access information on or within 48 business hours after August 1).
August 5:   EPS System Opens
August 30: Pre-Registration Process ends.
Sept. 17:   Deadline for final submission of pre-proposals and supporting documents.

INSTRUCTIONS

FILE 1: Body of Pre-Proposal

Application for Funding Cover Page

The pre-proposal must contain a completed 'Application for Funding Cover Page', which will be the first page of the application. In completing this form, please note the following:

- *Title of Proposal (Block 6).* The title of the project pre-proposal must be brief (**80-character maximum**), yet represent the major thrust of the project. Because this title will be used to provide information to those who may not be familiar with the proposed project, highly technical words or

phraseology should be avoided where possible. In addition, phrases such as "investigation of" or "research on" should not be used.

- *Principal Investigator/Co-Investigators (Block 10).* List the name of the proposing principal investigator in this block. All other participating scientists should be listed as co-investigators. The co-investigators should be limited to those required for major scientific collaboration.

- *Currently Funded Projects (Block 13).* List the titles of all individual research projects that are currently being funded in FY13 (approx. May 2013 – April 2014) in association with the USWBSI/ARS collaboration.

- *Research Area (Block 16).* Your Project Pre-Proposal should be constructed to address one or more of the Action Plan goals (http://scabusa.org/pdfs/uswbsi_action-plan_web.pdf). In Block 16, designate with an **'X'** one Research Category whose description and priorities your project is designed to address. Research Area Program Descriptions and Research Priorities (PD-RP) can be accessed through the Initiative's Web site at www.scabusa.org/research.html.

- *Signatures.* Signatures are not required for pre-proposals submitted via the Electronic Pre-Proposals Submission (EPS) System. However, a Letter of Intent (may be in the form of an e-mail) from all Co-Investigators must be included in the pre-proposal under the section titled "Collaborative or Sub Contractual Arrangements".

Project Summary Form

Each project pre-proposal must contain a completed Project Summary Page, which will be the second page of the project pre-proposal. The names and institutions of all of the principal and co-investigators should be listed on this form (if space for this information is insufficient, please enter "see attached" and provide the information on a separate sheet immediately following the Project Summary Page). The project summary itself must fit within the space indicated. The summary is not intended for the general reader; consequently, it may contain technical language relating to Fusarium head blight research. The project summary should be self-contained, include a specific description of the activity to be undertaken, and focus on the following:

- Overall project goal(s)
- Project Objectives (list in numbered format) and Expected Outcomes;
- Plans to accomplish project goal(s) within period of proposed work **(two years)**; and
- Relevance of the project to the goals of the U.S. Wheat and Barley Scab Initiative with specific reference to the research priorities listed in the FY14 Program Descriptions and Research Priorities (PD-RP).

A concise, informative project summary is essential. Project Summaries are considered part of the pre-proposal and are therefore confidential.

Summary of Progress for Ongoing Related Project(s) – *Limit to a single page*

The purpose of this section is to enable PI's to demonstrate that they have made (or are moving towards) effective use of funds for ongoing USWBSI-recommended projects **related to** the current pre-proposal. This includes projects which were funded this year (FY13). Include the following information for each **relevant** ongoing project:

➢ Project Title;
➢ brief summary of activities (including non-data generating items such as hiring of personnel, equipment acquisition, etc.), any results and/or accomplishments made to date (include actual data documenting progress made since FY13 funding was awarded; and
➢ any information that will help reviewers understand how the current pre-proposal builds upon the ongoing project.

Project Description

The Project Description should provide a clear statement of the work to be undertaken and must include: research objectives for the **period of the proposed work** and expected significance; relation to longer-term goals of the PI's project; and relation to the present state of knowledge in the field, to work in progress by the PI under other support and to work in progress elsewhere.

The Project Description should outline the general plan of work, including the broad design of activities to be undertaken, and, where appropriate, provide a **clear description** of experimental methods and procedures, and plans for preservation, documentation, and sharing of data, samples, physical collections, curriculum materials and other related research and education products.

iii.   **Format:** Brevity will assist reviewers and USWBSI/NFO staff /reviewers in dealing effectively with pre-proposals. **Therefore, the written text of the Project Description must be five pages or less (single spaced or equivalent); ten pages or less in total including figures and tables.** The Project Description should be formatted using Times New Roman (Normal type except headings and 12 point or higher) with one-inch margins. **NOTE:** Bold formatting should only be used for section headings or used minimally to emphasize importance or significance. Conformance to the format requirements will be strictly enforced.

iv.   **Content:**

- *Title.* Same as Application for Funding Cover Page (***80-Character Maximum***).

- *Introduction.* A clear statement of the goal(s) and supporting objectives or research questions of the proposed project should be included. The most significant published work in the field under consideration, including the work of key project personnel on the current application, should be reviewed. The current status of research in this field of science should also be described **including, but not limited to, any ongoing USWBSI-recommended work currently underway**. **Preliminary data pertinent to the proposed research may be included in this section**. Present and discuss published literature that is directly related to, and supports, the proposed research (research objectives, materials and methods).

- *Rationale and Significance.* It is understood that head scab is a devastating disease. **Acknowledgment of this fact should require no more than one sentence**. Concisely present the rationale behind the proposed research; identify the gaps in the knowledge base that your pre-proposal is trying to fill. Relevance of the project to the goals of the U.S. Wheat and Barley Scab Initiative with specific reference to the priorities listed in the FY14 Program Descriptions and Research Priorities (PD-RP) should be clearly stated. If applicable, please indicate if the research proposed here could lead to successful acquisition of grant funds from other agencies.

- *Research Materials and Methods.* Specifically, this section must include:
  ➢ The hypotheses or questions being asked;

> ➢ A description of the investigations and/or experiments proposed **in the sequence** in which the investigation or experiments are to be performed;
> ➢ Techniques and methodologies to be used in carrying out the proposed project, including the feasibility of the techniques. (**Describe in step by step fashion exactly what techniques, materials and methods will be used.**);
> ➢ Results expected;
> ➢ Means by which experimental data will be analyzed or interpreted;
> ➢ Means of applying results or accomplishing technology transfer, where appropriate;
> ➢ Pitfalls that may be encountered;
> ➢ Limitations to proposed procedures; and
> ➢ A tentative schedule for conducting major steps involved in these investigations and/or experiments.

NOTE: Failure to address each of the issues in the bullet list will diminish the likelihood of the success of your pre-proposal being recommended for funding.

References to Project Description

All references cited in the Project Description should be included in bibliographic format. Although there is no established page limitation for the references, this section must include bibliographic citations only, and must not be used to provide parenthetical information outside of the project description.

Facilities and Equipment

All facilities and major items of equipment available for use or assignment to the proposed project during the requested period of support should be described. In addition, items of nonexpendable equipment necessary to conduct and successfully conclude the proposed project should be listed (including dollar amounts), and, if funds are requested for their acquisition, justification should be included in the Budget Justification.

Collaborative or Sub-contractual Arrangements

If the nature of the proposed project requires collaboration or contractual arrangements with other research scientists, corporations, organizations, agencies, etc, the applicant must identify the collaborator(s) and provide a **detailed explanation of the nature** of the collaboration. Evidence in the form of a letter of intent (may be in the form of an e-mail) from <u>all</u> collaborators <u>must</u> be provided to assure reviewers that collaborators or sub-contractors involved have agreed to render the indicated services. **The letter of intent must include specific details describing the services the collaborator will provide.**

Budget Requests

Please complete the '**FY14 Individual Project Pre-Proposal Budget Justification Form'** by following the instructions on the form. You must also complete a budget using either '**FY14 Individual Project Pre-Proposal Budget'** form or the '**FY14 Multi-PI Project Pre-Proposal Budget Worksheet'** (MS Excel file). If the 'Multi-PI Budget Worksheet' is used, please remove the budget form from File 1 before uploading to the EPS System. Your pre-proposal should include a 'Year 1' and 'Year 2' budget request. **NOTE:** In the majority of cases, total request for Year 1 and Year 2 should be the same amount.

<u>Multi-PI Budget Worksheet</u>: The 'Multi-PI Budget Worksheet' was developed for use by PIs whose proposed research includes components at multiple institutions. In such cases, if a pre-proposal is recommended for funding, the awards would go directly to the individual institutions from USDA-ARS. This form should be used in place of the 'Individual Project Pre-Proposal Budget' page, as it provides for both the individual budgets as well as the total requested amount for the proposed research. However, when using this form, separate Budget Justification Forms should be included for each individual budget request. This form can be downloaded from the Scab Website at http://scabusa.org/research_rfp14 under 'SPECIAL FORMS'. The file contains detailed instructions on completing the budget worksheet which contains calculated fields.

<u>Instructions for submitting Multi-PI Budget Worksheet</u>**:** You must first convert the Excel budget worksheets to a single PDF file before uploading (as a separate file i.e. do not merge with File 1) to the EPS System. Contact the NFO if you need assistance with this step.

<u>Tuition Remission</u>: Tuition remission is **permitted** under USDA-ARS **extramural agreements** with any type of recipient organization (i.e. universities). If tuition remission is budgeted as a direct cost, it should be included in the "Other Direct Costs" category of the Budget Page (Section H).

<u>Policy on Indirect Cost (IDC) Rate</u>: The USWBSI's review process focuses on the **competitiveness of total** project costs (<u>direct and indirect</u>). Because Fusarium head blight is such a severe problem for the U.S. wheat and barley industries, the USWBSI has set the rate limit for indirect costs at 5%.

FILE 2: Curriculum Vitae and Publication List (CV/Pubs)

Curriculum Vitae and Publication List (Maximum four pages for CV with Publication List per Scientist)

To assist peer reviewers in assessing the competence and experience of the proposed project staff, all personnel who will be involved in the proposed project must be identified clearly. The items listed below should be included for all personnel (PI, Co-Investigators, and secondary scientists (i.e. post-docs, graduate students)) who are expected to work on the project in a significant fashion (e.g. expectation of co-authorship on ensuing publications), whether or not funds are sought for this support:

- *Curriculum Vitae (C.V.).* The C.V. should be limited to a presentation of academic and research credentials, e.g., educational, employment and professional history, and honors and awards. Unless pertinent to the project, do not include meetings attended, seminars given, or personal data such as birth date, marital status, or community activities.

- *Publication List.* A chronological list of all publications in refereed journals during the past five years, including those in press, should be provided for each professional project member for whom a Curriculum Vitae is provided. Non-refereed technical publications that have relevance to the proposed project may be included.

The C.V. and Publication List combined <u>must not exceed four pages per scientist</u>. C.V. and Publication Lists for collaborators or sub-contractors are not required.

Submission Instructions: PIs and Co-PIs are responsible for uploading their own CV/Pubs to the EPS System. <u>CV/Pubs for all secondary scientists should be included in the PI's file.</u> The CV/Pubs will only need to be uploaded one time whether or not the investigator is connected to multiple pre-proposals. File must be uploaded to the EPS System by **September 17, 2013**.

FILE 3: Current and Pending Support (CPS) Form

CPS form can be downloaded from RFP website at http://scabusa.org/research_rfp14

All project pre-proposals must contain completed Current and Pending Support Forms for PI and all Co-PIs listing other current public or private support to which key personnel identified in the pre-proposal have committed portions of their time, whether or not salary support for person(s) involved is included in the budget. Analogous information must be provided for any pending proposals that are being considered by, or that will be submitted in the near future to, other possible sponsors, including other USDA Programs or agencies, and the USWBSI. Concurrent submission of identical or similar proposals to the other possible sponsors will not prejudice pre-proposal review or evaluation by the USWBSI for this purpose. However, a project pre-proposal that duplicates or overlaps substantially with a **proposal already reviewed and funded (or to be funded)** by another organization or agency will not be recommended under this program. The third column ('Requested/Award Amount') on the 'Current and Pending Support Page' has been divided into two sub-columns: Total $ Amount and PI $ Allocation. For each grant/proposal listed, **include both the total ('Total $ Amount') and the amount you have or may receive ('PI $ Allocation')**.

Submission Instructions: PIs and Co-PIs are responsible for uploading their own Current and Pending Support Form to the EPS System. The CPS Form will only need to be uploaded one time whether or not the investigator is connected to multiple pre-proposals. File must be uploaded to the EPS System by **September 17, 2013**.

IMPORTANT DEADLINES

Pre-Registration

➢ <u>User Registration Form</u>: The submission of this form will setup the PI's user account within the EPS System.

➢ <u>Proposed Research Form</u>: Information submitted on this form pertains to the proposed research being submitted and will be used by the NFO to configure the EPS System for each PI.

Pre-Registration Deadline: **August 30, 2013**

Check List of Required Items
for Individual Project Pre-Proposals

➢ **FILE 1: Project Pre-Proposal** *(complete in order below)*

- Application for Funding Cover Page

- Project Summary Form *(must fit within text box)*

- Summary of Progress for Ongoing Funded Project(s) – FY13 *(one page maximum per project)*

- Project Description *(five pages or less written text; ten pages or less in total including figures and tables)*

- References to Project Description

- Facilities and Equipment

- Description of Collaborative Arrangements

- Letters of intent from each collaborator and/or Co-PI

- Budget Justification Form

- Project Pre-Proposal Budget Form *(use either Individual or Multi-PI Budget forms; if 'Multi-PI Budget form is used, convert to PDF and upload separately (from File 1) to the EPS System)*

➢ **FILE 2: Curriculum Vitae and Publication List** *(maximum of four pages total per scientist)*

➢ **FILE 3: Current and Pending Support Form**

Submission of FY14 Pre-Proposal Deadline: **September 17, 2013**