

# **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 not on Barley or Integrated Management Studies, or was rejected by one of the Coordinated Projects, you should complete your pre-proposal using the instructions and forms provided in this section of the FY18-19 RFP.

- ❖ FHB Management (MGMT)
- ❖ Food Safety and Toxicology (FST)
- ❖ Gene Discovery and Engineering Resistance (GDER)
- ❖ Pathogen Biology and Genetics (PBG)

### PRE-REGISTRATION AND 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 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:

- Step 1: Setting up User access to EPS System:** All PIs and Co-PIs submitting a pre-proposal for the first time must complete this step in order to have access to the EPS System. Complete the user registration form at <https://scabusa.org/user/register>. NOTE: This step must be completed before you can complete step 2. If you are unsure if you already have a user account, contact the NFO.
- Step 2: Proposed Research Form:** Information submitted on this form pertains to the proposed research being submitted. You must complete a separate form for each pre-proposal you are submitting. After logging in on the USWBSI's home page, click on the link below and then follow the instructions included on the form - [https://scabusa.org/pre\\_reg.php](https://scabusa.org/pre_reg.php).

You will complete your pre-proposal by following the instructions provided in this RFP and using the forms which may be downloaded from the USWBSI's Website at [https://scabusa.org/research\\_rfp18-19](https://scabusa.org/research_rfp18-19). Your final pre-proposal must be completed and organized as follows:

- **FILE 1 – Body of Pre-Proposal** – Contains the following:
  - Application for Funding Cover Page
  - Project Summary
  - 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' (Excel format) in place of the Single Budget Page, please refer to the instructions on page 39).

- **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 files associated with your pre-proposal.

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. If PI's institution requires approval from the Authorized Organizational Representative (i.e. Sponsored Programs Administration/Office) on 'pre-proposals', included in the RFP is a special form that can be used at the institutional level for obtaining approval by the PI's sponsored programs office. The form can be downloaded from the USWBSI's Website at [https://scabusa.org/research\\_rfp18-19](https://scabusa.org/research_rfp18-19) under 'SPECIAL FORMS' on the FY18-19 RFP web page.

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

- August 1: Pre-registration Process begins. Upon successful completion of the pre-registration process, PIs and Co-PIs will receive their EPS access information via email on or within 48 business hours.
- August 3: EPS System Opens
- August 31: Pre-Registration Process ends.
- Sept. 19: Deadline for final submission of 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 (**85-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 block 10a. All other participating scientists should be listed as co-investigators in b-f. The co-investigators should be limited to those required for major scientific collaboration.

- *Research Area (Block 13)*. Designate with an 'X' one Research Area whose description and priorities your project is designed to address. Research Area Program Descriptions and Research Priorities (PD-RP) can be accessed through the USWBSI's Website at <https://scabusa.org/research> and are also included the FY18-19 Request for Pre-Proposals ([https://scabusa.org/research\\_rfp18-19](https://scabusa.org/research_rfp18-19)).
- *Research Area Specific Research Priorities (Block 14)*. Your Project Pre-Proposal should be constructed to address one or more research priority of the Research Area designated in Block 13. List the relevant Research Priority(s) in this block. Refer to the [FY18-19 PD-RP](#).

## Project Summary Form

Each project proposed research project must contain a completed Project Summary Page, which will be the second page of the project pre-proposal. The text for the project summary **should not exceed 400 words**. The project summary should include a description of the activity to be undertaken, and focus on the following (**all four bullets below must be addressed**):

- Overall project goal(s)
- Project Objectives (list in numbered format) and Expected Outcomes;
- Plans to accomplish project goal(s) within period of proposed work; and
- Statement of Mutual Interest (i.e. how will stakeholders/end-users benefit from this research).

The Project Summary should be concise and focused; specific details of the experimental design, materials and methods, etc. should be elaborated on in the Project Description.

## 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.

- Format:** Brevity will assist reviewers and USWBSI/NFO staff 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. Digital images inserted into the Project Description must only be included within the page limits (10 pages total). The **maximum size of images** to be included should be approximately 1200 x 1500 pixels using 256 colors. Figures must be readable as printed on an 8.5" x 11" page at normal (100%) scale.

**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.

ii. **Content:**

- *Title.* Same as Application for Funding Cover Page (**85-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 FY18-19 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 all collaborators must 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 ‘**FY18-19 Individual Project Pre-Proposal Budget Justification Form**’ by following the instructions on the form. You must also complete a budget using either ‘**FY18-19 Individual Project Pre-Proposal Budget**’ form or the ‘**FY18-19 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. In most cases, your pre-proposal should include a ‘Year 1’ and ‘Year 2’ budget request. **NOTE:** In the majority of cases, the total for direct and indirect costs for Years 1 and 2 should be the same amount.

*Tuition Remission:* 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).

*Indirect Cost (IDC) Rate Policy:*

**USWBSI:** Because Fusarium head blight is such a severe problem for the U.S. wheat and barley industries, the USWBSI’s review process focuses on the **competitiveness of total projects costs** (i.e. direct and indirect) to maximize total funding used for research.

**USDA-ARS:** Per [U.S. Code Title 7, Chapter 64, Subchapter X, Section 3310](#): Limitation on indirect costs for agricultural research shall not exceed 22 percent of the total Federal funds.

**NOTE:** Indirect Costs are not applicable to ARS PIs (currently ARS PIs based in CA, KS, MN, MT, NY, NC, and ND are funded under the USWBSI).

*Small Business Innovated Research (SBIR) Fee:* In the event your proposed research is recommended for funding, the SBIR Fee will be assessed prior to the award made by USDA-ARS. The SBIR fee is mandated by Congress under [Public Law 112-81, Subtitle A, SEC. 5102 \(a\) \(1\) \(I\)](#) in support of the Small Business Act. The current rate for the SBIR fee is 3.2%.

This fee is charged to only projects that are funded through an extramural agreement with ARS (i.e. not applicable to ARS PIs). When applicable, PIs are advised to incorporate the Small Business Innovated Research (SBIR) fee into their budget request. Below is the formula to calculate the fee including an example:

Step 1: Total of Direct and Indirect Costs X SBIR Fee % [e.g. 0.032] = SBIR Fee Amount.

Step 2: Add the SBIR Fee Amount to the Total Amount for Direct and Indirect Costs to get the ‘Total Amount of Request.’

Example: Direct and Indirect Total: 34,500

Step 1:  $34,500 \times .032 = \$1,104$  (SBIR fee amount)

Step 2:  $34,500 + 1,104 = 35,604$  (Total Amount of Requested)

**Multi-PI Budget Worksheet:** The 'Multi-PI Budget Worksheet' was developed for use by PIs whose proposed research includes components at multiple institutions. In such cases, if a 'Multi-PI' pre-proposal is recommended for funding, the awards would go directly to the individuals' institution from USDA-ARS. This form should be used in place of the Single 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 must be included for each individual budget request. The 'Multi-PI Budget Worksheet' and 'Budget Justification Form' can be downloaded from the USWBSI's Website at [https://scabusa.org/research\\_rfp18-19](https://scabusa.org/research_rfp18-19) under the section 'SPECIAL FORMS' on the FY18-19 RFP web page. The file contains detailed instructions for completing the budget worksheets. It should be noted that the worksheets contain calculated fields (highlighted in yellow).

**Instructions for submitting Multi-PI Budget Worksheet:** The 'Multi-PI Budget Worksheet' must be converted to a single PDF file (must contain completed worksheets for both Year 1 and 2) before uploading to the EPS System. The Multi-PI Budget Worksheet must contain the Lead PI's signature.

## **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 must not exceed four pages per scientist. 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. CV/Pubs for all secondary scientists should be included in the PI's file. 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 19, 2017.**

### **FILE 3: Current and Pending Support (CPS) Form**

*CPS form can be downloaded from the FY18-19 RFP web page at [https://scabusa.org/research\\_rfp18-19](https://scabusa.org/research_rfp18-19).*

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. The CPS form must be converted to PDF format before uploading to the EPS System by **September 19, 2017**.

## IMPORTANT DATES/DEADLINES

### Pre-Registration/EPS System

- STEP 1: Setup User access to EPS System (*First time submitters only*)
- STEP 2: Complete Proposed Research Form

**Pre-Registration Begins:**

**August 1, 2017**

**EPS System Opens:**

**August 3, 2017**

**Pre-Registration Ends:**

**August 31, 2017**

### Check List of Required Items for Individual Project Pre-Proposals

- **FILE 1: Project Pre-Proposal**
  - Application for Funding Cover Page
  - Project Summary (*should not exceed 400 words*)
  - 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 Forms (*details required for all sections and subsections where funds are being requested*)
  - Budget Page (*e-signature required*)

NOTE: Use either Individual Project Budget Page or Multi-PI Budget Worksheet forms. If the 'Multi-PI Budget Worksheet' is used, it should be upload separately (from File 1) to the EPS System.
- **FILE 2: Curriculum Vitae and Publication List (*PI and Co-PIs*)**
- **FILE 3: Current and Pending Support Form (*PI and Co-PIs*)**

**Submission Deadline:**

**September 19, 2017**