

# **Integrated Research, Education, and Extension Competitive Grants Program – National Integrated Food Safety Initiative**

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## **FY 2005 Request for Applications**

**Application Deadline:**

**December 17, 2004**

**For Special Emphasis Grants Only,  
Letter Of Intent Deadline:**

**November 17, 2004**



**U.S. Department of Agriculture**



**Cooperative State Research, Education, and Extension Service**

**CATALOG OF FEDERAL DOMESTIC ASSISTANCE:** This program is listed in the Catalog of Federal Domestic Assistance under 10.303, Integrated Research, Education, and Extension Competitive Grants Program.

**DATES:** Applications must be received by close of business (COB) on December 17, 2004 (5:00 p.m. Eastern Time). Applications received after this deadline will not be considered for funding. Applicants submitting special emphasis grant applications (see Part I, B., 2.(b)) are strongly encouraged to submit letters of intent via e-mail by November 17, 2004. Comments regarding this Request for Applications (RFA) are requested within six months from the issuance of this notice. Comments received after that date will be considered to the extent practicable.

**STAKEHOLDER INPUT:** The Cooperative State Research, Education, and Extension Service (CSREES) is requesting comments regarding this RFA from any interested party. These comments will be considered in the development of the next RFA for the program. Such comments will be used to meet the requirements of section 103(c)(2) of the Agricultural Research, Extension, and Education Reform Act of 1998 (7 U.S.C. 7613(c)(2)). This section requires the Secretary to solicit and consider input on a current RFA from persons who conduct or use agricultural research, education and extension for use in formulating future RFAs for competitive programs. Comments should be submitted by the deadline provided in the **DATES** portion of this Notice.

Written stakeholder comments should be submitted by mail to: Policy and Program Liaison Staff; Office of Extramural Programs; USDA-CSREES; STOP 2299; 1400 Independence Avenue, SW; Washington, DC 20250-2299; or via e-mail to: [RFP-OEP@csrees.usda.gov](mailto:RFP-OEP@csrees.usda.gov). (This e-mail address is intended only for receiving comments regarding this RFA and not requesting information or forms.) In your comments, please state that you are responding to the Integrated Research, Education, and Extension Competitive Grants Program – National Integrated Food Safety Initiative RFA.

**EXECUTIVE SUMMARY:** CSREES requests applications for the Integrated Research, Education, and Extension Competitive Grants Program – National Integrated Food Safety Initiative for fiscal year (FY) 2005 to support integrated, multifunctional agricultural research, extension, and education activities that address food safety priorities in the United States. CSREES anticipates that approximately \$12.6 million will be available for support of this program in FY 2005.

This notice identifies the objectives for the Integrated Research, Education, and Extension Competitive Grants Program – National Integrated Food Safety Initiative projects, the eligibility criteria for projects and applicants, and the application forms and associated instructions needed to apply for an Integrated Research, Education, and Extension Competitive Grants Program – National Integrated Food Safety Initiative (hereafter referred to as National Integrated Food Safety Initiative) grant. CSREES additionally requests stakeholder input from any interested party for use in the development of the next RFA for this program.

**SUPPLEMENTARY INFORMATION:**

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## **PART I—FUNDING OPPORTUNITY DESCRIPTION**

### ***A. Legislative Authority and Background***

Section 406 of the Agricultural Research, Extension, and Education Reform Act of 1998 (AREERA) (7 U.S.C. 7626) authorized the Secretary of Agriculture to establish a research, education, and extension competitive grants program to provide funding for integrated, multifunctional agricultural research, extension, and education activities. Subject to the availability of appropriations to carry out this program, the Secretary may award grants to colleges and universities (as defined by section 1404 of the National Agricultural Research, Extension, and Teaching Policy Act of 1977 (NARETPA) (7 U.S.C. 3103)) on a competitive basis for integrated research, education, and extension projects. Grants are to be awarded to address priorities in United States agriculture that involve integrated research, education, and extension activities as determined by the Secretary in consultation with the National Agricultural Research, Extension, Education, and Economics Advisory Board (NAREEEAB). Section 7206 of the Farm Security and Rural Investment Act of 2002 amended section 406(b) of AREERA to add the 1994 Land-Grant Institutions as eligible to apply for grants under this authority.

CSREES will administer the Integrated Research, Education and Extension Competitive Grants Program by determining priorities in U.S. agriculture through Agency stakeholder input processes in consultation with the NAREEEAB. Each RFA will be developed each fiscal year based on these established priorities and approaches to solving the critical agricultural issues. While the overall approach to solving critical agricultural issues, priorities, or problems will be through an integration of research, education, and extension activities within each individual program, component RFAs, depending on the priority addressed, may request applications that are research, education, or extension only, or a combination thereof.

In June 2003, CSREES and the Agricultural Research Service hosted a national Stakeholder Listening Session on Food Safety Research Priorities in Denver, Colorado. Industry, university, consumer, and Federal stakeholders presented their top five food safety priorities through year 2008 in an open forum. Where appropriate, identified food safety priorities were incorporated into the FY 2004 and FY 2005 RFA. In April 2004, all individuals on the competitive review panel for the National Integrated Food Safety Initiative were given the opportunity to provide stakeholder input on the FY 2005 RFA, the competitive process, and the panel proceedings. Their comments and suggestions were incorporated into the FY 2005 RFA. In addition, stakeholder input from all interested parties was solicited with the release of the FY 2004 RFA for the National Integrated Food Safety Initiative. This ongoing process will be repeated with the release of the FY 2005 RFA.

### ***B. Purpose and Priorities***

The purpose of the National Integrated Food Safety Initiative is to support food safety projects that demonstrate an integrated approach (as defined in Part VIII, E.) to solving problems in applied food safety research, education, or extension. The National Integrated Food Safety Initiative requests integrated research, education, and extension applications that address a broad spectrum of food safety concerns – from on-farm production, post-harvest processing, and

distribution, to food selection, preparation, and consumption. Various models for integration of applied research, education, and extension will be considered for funding. Applications describing multi-state, multi-institutional, multidisciplinary, and multifunctional activities (and combinations thereof) are encouraged. Applicants are strongly encouraged to assemble project teams that include those with expertise in research, extension, and/or education. All members of the project team should be involved in the development and writing of the application. For tips on developing integrated grant applications, applicants may visit <http://www.csrees.usda.gov/nea/food/pdfs/tipsheet.pdf> on the web.

The National Integrated Food Safety Initiative creates opportunities for new collaborations between individuals and institutions in an effort to address problems in new ways and/or improve communication with high risk, under-served, or hard-to-reach audiences. In order to fully realize these potential benefits, CSREES strongly encourages applicants to develop applications describing integrated activities that include collaboration with 1890 Land-Grant Institutions, 1994 Land-Grant Institutions, Hispanic-serving institutions, and/or other institutions that serve high risk, under-served, or hard-to-reach populations. Collaborations with local, state, and/or Federal governments, professional associations, public or private organizations, and/or international entities are also strongly encouraged.

Applicants are strongly encouraged to address at least two of the three functional areas of research, education, and extension (i.e., research and extension, research and education, or extension and education). Applications that focus on one functional area (i.e., research only, education only, or extension only) will also be considered for funding, but only if they: (1) provide a strong rationale for the limited focus; and (2) explain clearly how addressing that separate functional area will meet the overall goal of a total integrated, multifunctional research, education, and extension approach (as defined in Part VIII, E.). A focus has been prescribed for each function or component of the National Integrated Food Safety Initiative:

## 1. Scope of Projects

**(a) Research.** The research component will focus on applied food safety research. The outcome of the applied research should enable extension and/or education personnel in applying the results of the research to solving food safety problems and/or enhancing educational curricula in food safety. Basic research will be considered for funding only under special circumstances for which adequate justification has been provided. In addition to traditional laboratory and field research, applied research may include educational research, behavioral or social research, and/or research focused on defining the behavioral determinants of food safety practices.

**(b) Education.** The education component will address food safety education and training implemented in a formal classroom setting. This may include elementary, secondary, undergraduate, or graduate education.

All educational interventions must include a referenced research base that fully justifies the choice of the intervention, and provides a rationale for the selection of the specific target audience(s). All educational interventions also must include an evaluation of the effectiveness of

the educational intervention in accomplishing intended objectives (e.g., improving knowledge, changing behavior, attitudes, or perceptions).

(c) **Extension.** The extension component will address food safety education and training implemented in a non-formal setting. Where there is no extension program, outreach activities that deliver science-based knowledge and informational education to people in a variety of non-formal settings are an acceptable substitute. In addition to education and training, extension components may include the development and distribution of educational materials such as pamphlets, fliers, fact sheets, training curricula, videotapes, audiotapes, CD ROMS, interactive software, website development, and a variety of other audiovisual and print media.

All extension interventions must include a referenced research base that fully justifies the choice of the intervention, and provides a rationale for the selection of the specific target audience(s). All extension interventions must also include an evaluation of the effectiveness of the extension intervention in accomplishing intended objectives. If the extension intervention is primarily focused on the distribution of educational materials, audio-visual, or other print media, the application must include: (a) an evaluation of the effectiveness of the distribution mechanism(s); and/or (b) an evaluation of the effectiveness of the materials in accomplishing their intended objective(s) (e.g., improving knowledge, changing behavior, attitudes, or perceptions). The focus should be on behavior change or adoption of safe practices, rather than on information dissemination.

## **2. Applied Priority Areas for Fiscal Year 2005**

(a) **Standard Grants.** Two types of standard grants will be awarded in FY 2005. Standard grants for a maximum of \$600,000 for up to 3 years will be awarded. In addition, larger standard grants entitled “**special emphasis grants**” will be awarded for a maximum of \$2,500,000 for up to 4 years (total award, not per year).

Applied priority areas have been established for applications seeking standard grants for a maximum of \$600,000 for up to 3 years (described in Part II, C., 1.). These include the following:

- (111.A) Food safety training and certification for industry and retail**
- (111.B) Food safety education for consumers, including youths and adults**
- (111.C) Sources, incidence and control measures for microbial pathogens in meat and poultry**
- (111.D) The impact of alternative food processing technologies on food safety**
- (111.E) National support and coordination of integrated food safety programs and resources**

Applications for national support and coordination of integrated food safety programs and resources (111.E) will support the development of integrated food safety resources and outreach programs that facilitate national and international networking and coordination among the various users of food safety information, from production to consumption (e.g., farmers, producers, growers, packers, shippers, retailers, food service workers, processors, inspectors, veterinarians, sanitarians, educators, researchers, consumers). Integrated food safety resources may include the development of databases and interactive software that support decision-making and problem solving among food safety researchers, educators, consumers, and others. Outreach-related applications may include support of international, national, and regional conferences, multi-user distance education programs, satellite video-teleconferences, and other communication transfer technologies.

**(b) Special Emphasis Grants.** Applied priority areas have been established for applications seeking special emphasis grants for a maximum of \$2,500,000 for up to 4 years. These include the following:

**(111.F) Control of *Listeria monocytogenes* in ready-to-eat meats**

**(111.G) Food Biosecurity: Threat prevention, threat response, risk management and communication, and public education**

Special emphasis grants will only be awarded for applied priority areas 111.F and 111.G. Only one special emphasis grant will be awarded for each of the two priority areas. All special emphasis grant applications must involve multi-disciplinary teams from multiple states and/or multiple institutions. There must be strong evidence of integration, and equally strong evidence that individuals from collaborating institutions worked cooperatively to develop the grant application.

For special emphasis area 111.F, multi-disciplinary teams may include, among others, specialists in food science, food processing, food technology, food microbiology, public health, nutrition education, extension education, and program evaluation.

For special emphasis area 111.G, multi-disciplinary teams may include, among others, specialists in food safety and biosecurity, food science, nutrition education, extension, communication, public health, media, marketing, safety and/or law enforcement, program development, and program evaluation. For this special emphasis area only, applicants will need to clearly describe how their proposals differ from those funded by other Federal agencies.

**Applicants submitting special emphasis grant applications are strongly encouraged to submit letters of intent via e-mail by November 17, 2004. Letters of intent should be submitted to Jan Singleton at [jsingleton@csrees.usda.gov](mailto:jsingleton@csrees.usda.gov). Letters should not exceed 2 pages and must include a brief overview of the proposed objectives, procedures, target audience(s), expected outcomes, and a management plan that spans the entire project period. Program Leaders will review the letters of intent and provide feedback to applicants regarding the scope and content of the proposed project. Failure to submit a letter of intent will not preclude consideration of an application.**

Applications for FY 2005 will only be accepted for applied priority areas 111.A through 111.G. However, in Fiscal Years 2006 and 2007, potential priority areas or special emphasis areas may include: (1) Improving the safety of fresh fruits and vegetables/Good Agricultural Practices (GAPS) and Good Management Practices (GMPS); (2) Seafood and aquaculture safety; (3) Risk assessment (developing and testing new models); (4) Rapid detection methods; (5) Allergens; (6) Hazard Analysis and Critical Control Points (HACCP) model development, testing, implementation, and evaluation; and (7) Antibiotic resistant microbial pathogens.

(c) **Conference Grant.** Applications are being solicited for professional meetings that bring together food safety researchers, educators, and extension professionals to identify targeted areas in food safety that can best be addressed using an integrated approach. Professional meetings will focus on: (1) enhancing collaboration among food safety researchers, educators, and extension professionals; (2) updating information and advancing the field of food safety; and (3) identifying future research, outreach, and educational needs. An evaluation plan for the conference should be included. Applicants considering submission under this category are strongly advised to consult the program contact for the Integrated Research, Education, and Extension Competitive Grants Program – National Integrated Food Safety Initiative before preparation and submission of this application. It is expected that grantees will plan and conduct a national and/or international food safety conference that results in the publication of conference proceedings. Publication in refereed journals is highly encouraged.



## **PART II—AWARD INFORMATION**

### ***A. Available Funding***

There is no commitment by USDA to fund any particular application or to make a specific number of awards. CSREES expects that approximately \$12.6 million will be made available to fund new projects in FY 2005.

### ***B. Types of Applications***

In FY 2005, applications may be submitted to the National Integrated Food Safety Initiative as one of the following three types of requests:

**1. New application.** This is a project application that has not been previously submitted to the National Integrated Food Safety Initiative. All new applications will be reviewed competitively using the selection process and evaluation criteria described in Part V—Application Review Requirements.

**2. Renewal application.** This is a project application that requests additional funding for a project beyond the period that was approved in an original or amended award. Applications for renewed funding must contain the same information as required for new applications, and additionally must contain a Progress Report (see Part IV, B., 6.). Renewal applications must be received by the application due date, will be evaluated in competition with other pending applications in the appropriate area to which they are assigned, and will be reviewed according to the same evaluation criteria as new applications.

**3. Resubmitted application.** This is an application that had previously been submitted to the National Integrated Food Safety Initiative but was not funded. Project Directors (PDs) must respond to the previous review panel summary (see Part IV, B., 5., Response to Previous Review.). Resubmitted applications must be received by the application due date, will be evaluated in competition with other pending applications in the appropriate area to which they are assigned, and will be reviewed according to the same evaluation criteria as new applications.

### ***C. Project Types***

In FY 2005, the National Integrated Food Safety Initiative will award standard grants, conference grants, and bridge grants. The following definitions and restrictions will apply:

**1. Standard Grant.** This is a funding mechanism whereby the Department agrees to support a specified level of effort for a predetermined time period without the announced intention of providing additional support at a future date. In FY 2005, for applied priority areas 111.A through 111.E (listed in Part 1, B, 2(a)), the maximum award is \$600,000 (total, not per year) and project periods may not exceed three years. For these priority areas, applications requesting smaller grants for one- to two-year project periods also are encouraged.

**2. Special Emphasis Grant.** This is a funding mechanism whereby the Department agrees to support a specified level of effort for a predetermined time period without the announced intention of providing additional support at a future date. For special emphasis grants (applied priority areas 111.F and 111.G in Part 1, B, 2(b)), the maximum award is \$2,500,000 (total, not per year) and project periods may not exceed four years.

**3. Conference Grant.** This is a funding mechanism whereby the Department agrees to support professional meetings that bring together researchers, educators, extension professionals and others to identify needs, update information, or advance an area recognized as integral to research, education, and extension. A limited number of such meetings will be considered for partial or total support. For conference grants, the maximum award is \$50,000 (total, not per year). Project periods may not exceed two years.

**4. Bridge Grant.** A bridge grant is designed to assist small, mid-sized, and minority-serving institutions by enhancing collaboration among institutions, states, disciplines and functions (research, education, and extension) that might lead to future funding opportunities. Following the review of all applications submitted to the National Integrated Food Safety Initiative, bridge grants are awarded to eligible applicants (as defined in Part III, A.) who have submitted project applications that are considered meritorious, but: (a) rank below the funding cut-off during the peer review process; and (b) are identified as likely to benefit from continued funding for project development. For bridge grants, the maximum award is \$100,000 (total). **Applicants may not apply directly for bridge grants.**

## **PART III—ELIGIBILITY INFORMATION**

### ***A. Eligible Applicants***

Colleges and universities (as defined in section 1404 of NARETPA) (7 U.S.C. 3103) are eligible to submit applications for the National Integrated Food Safety Initiative. For the purposes of this program, the terms “college” and “university” mean an educational institution in any state which (1) admits as regular students only persons having a certificate of graduation from a school providing secondary education, or the recognized equivalent of such a certificate; (2) is legally authorized within such state to provide a program of education beyond secondary education; (3) provides an educational program for which a bachelor’s degree or any other higher degree is awarded; (4) is a public or other nonprofit institution; and (5) is accredited by a nationally recognized accrediting agency or association. Applications also may be submitted by 1994 Land-Grant Institutions (as defined in Part VIII, E.). A research foundation maintained by a college or university is not eligible to receive an award under this program.

All special emphasis grant applications must involve multi-disciplinary teams from multiple states and/or multiple institutions.

Award recipients may subcontract to organizations not eligible to apply provided such organizations are necessary for the conduct of the project.

### ***B. Cost Sharing or Matching***

If a grant provides a particular benefit to a specific agricultural commodity, the grant recipient is required to match the USDA funds awarded on dollar-for-dollar basis from non-Federal sources with cash and in-kind contributions. (See Part IV, B., 12.(c) for details.)

CSREES may waive the matching funds requirement for a grant if CSREES determines that: (a) the results of the project, while of particular benefit to a specific agricultural commodity, are likely to be applicable to agricultural commodities generally; or (b) the project involves a minor commodity, the project deals with scientifically important research, and the grant recipient is unable to satisfy the matching funds requirement.

## **PART IV—APPLICATION AND SUBMISSION INFORMATION**

### ***A. Address to Request Application Package***

Program application materials are available at the CSREES Funding Opportunities web site (<http://www.csrees.usda.gov/funding/forms.html>). If you do not have access to the web page or have trouble downloading material and you would like a hard copy, you may contact the Proposal Services Unit, Competitive Programs, USDA/CSREES at (202) 401-5048. When calling the Proposal Services Unit, please indicate that you are requesting the RFA and associated application forms for the Integrated Research, Education, and Extension Competitive Grants Program – National Integrated Food Safety Initiative. These materials also may be requested via Internet by sending a message with your name, mailing address (not e-mail) and phone number to [psb@csrees.usda.gov](mailto:psb@csrees.usda.gov). State that you want a copy of the RFA and the associated application forms for the Integrated Research, Education, and Extension Competitive Grants Program – National Integrated Food Safety Initiative.

### ***B. Content and Form of Application Submission***

Applications should be prepared following the guidelines and the instructions below. Each application must contain the required elements in the order indicated.

**1. General.** Use the following guidelines to prepare an application. Proper preparation of applications will assist reviewers in evaluating the merits of each application in a systematic, consistent fashion:

(a) Prepare the application on only one side of the page using standard size (8 1/2" x 11") white paper, one-inch margins, typed or word processed using no type smaller than 12 point font, and single or double spaced. Use an easily readable font face (e.g., Geneva, Helvetica, Times Roman).

(b) Number each page of the application sequentially, starting with the Project Description, including the budget pages, required forms, and any appendices.

(c) Staple the application in the upper left-hand corner. Do not bind. An original and fourteen (14) copies (fifteen (15) total) must be submitted in one package, along with ten (10) additional copies of the "Project Summary," Form CSREES-2003, as a separate attachment.

(d) Include original illustrations (photographs, color prints, etc.) in all copies of the application to prevent loss of meaning through poor quality reproduction.

(e) The contents of an application should be assembled in the following order:

- (1) Proposal Cover Page (Form CSREES-2002)
- (2) Table of Contents
- (3) Project Summary (Form CSREES-2003)
- (4) Response to Previous Review (if applicable)

- (5) Project Description
- (6) References
- (7) Appendices to Project Description
- (8) Key Personnel
- (9) Collaborative Arrangements (including Letters of Support)
- (10) Conflict-of-Interest List (Form CSREES-2007)
- (11) Budget (Form CSREES-2004)
- (12) Budget Narrative
- (13) Matching
- (14) Current and Pending Support (Form CSREES-2005)
- (15) Assurance Statement(s) (Form CSREES-2008)
- (16) Compliance with the National Environmental Policy Act (NEPA) (Form CSREES-2006)
- (17) Page B, Proposal Cover Page (Form CSREES-2002), Personal Data on Project Director

## **2. Proposal Cover Page (Form CSREES-2002)**

### **Page A**

Each copy of each grant application must contain a Proposal Cover Page, Form CSREES-2002. One copy of the application, preferably the original, must contain the pen-and-ink signature(s) of the proposing PDs and the authorized organizational representative (AOR), the individual who possesses the necessary authority to commit the organization's time and other relevant resources to the project. If there are more than three co-PDs for an application, please list additional co-PDs on a separate sheet of paper (with appropriate information and signatures) and attach to the Proposal Cover Page (Form CSREES-2002). Any proposed PD or co-PD whose signature does not appear on Form CSREES-2002 or attached additional sheets will not be listed on any resulting award. Complete both signature blocks located at the bottom of the Proposal Cover Page form. Please note that Form CSREES-2002 is comprised of two parts - Page A, which is the Proposal Cover Page, and Page B, which is the Personal Data on Project Director.

Form CSREES-2002 serves as a source document for the CSREES grant database; it is therefore important that it be accurately completed in its entirety, especially the e-mail addresses requested in Blocks 4.c. and 18.c. However, the following items are highlighted as having a high potential for errors or misinterpretations:

(a) Type of Performing Organization (Block 6.a. and 6.b.). For Block 6.a., a check should be placed in the appropriate box to identify the type of organization which is the legal recipient named in Block 1. Only one box should be checked. For Block 6.b., please check as many boxes that apply to the affiliation of the PD listed in Block 16.

(b) Title of Proposed Project (Block 7.). The title of the project must be brief (140-character maximum, including spaces), yet represent the major thrust of the effort being proposed. Project titles are read by a variety of nonscientific people; therefore, highly technical words or phraseology should be avoided where possible. In addition, introductory phrases such as "investigation of," "research on," "education for," or "outreach that" should not be used.

(c) Program to Which You Are Applying (Block 8.). Enter Integrated Research, Education, and Extension Competitive Grants Program – National Integrated Food Safety Initiative, and the one code (111.A through 111.G) that most closely corresponds to the priority area addressed (see Part I, B., 2.(a)).

(d) DUNS NO. (Data Universal Numbering System) (Block 11.). A DUNS number must be included for the legal recipient named in Block 1. (except applications from individuals). See Part VIII, G.

(e) Type of Request (Block 14.). Check the block for “New”, “Resubmission”, or “Renewal.”

(f) Project Director (PD) (Blocks 16.-19.). Blocks 16.-18. are used to identify the PD and Block 19. to identify co-PDs. If needed, additional co-PDs may be listed on a separate sheet of paper and attached to Form CSREES-2002, the Proposal Cover Page, with the applicable co-PD information and signatures. Listing multiple co-PDs, beyond those required for genuine collaboration, is discouraged.

(g) Other Possible Sponsors (Block 21.). List the names or acronyms of all other public or private sponsors including other agencies within USDA to which your application has been or might be sent. In the event you decide to send your application to another organization or agency at a later date, you must inform the identified CSREES program contact as soon as practicable. Submitting your application to other potential sponsors will not prejudice its review by CSREES; however, submitting the same (i.e., duplicate) application to another CSREES program is not permissible.

### **Page B**

Page B should be submitted only with the original signature copy of the application and should be placed as the last page of the original copy of the application. This page contains personal data on the PD(s). CSREES requests this information in order to monitor the operation of its review and awards processes. This page will not be duplicated or used during the review process. Please note that failure to submit this information will in no way affect consideration of your application.

### **3. Table of Contents**

For consistency and ease in locating information, each application must contain a detailed Table of Contents immediately following the Proposal Cover Page. The Table of Contents should contain page numbers for each component of the application. Page numbering should begin with the first page of the Project Description.

### **4. Project Summary (Form CSREES-2003)**

The application must contain a “Project Summary,” Form CSREES-2003. The summary should be approximately 250 words, contained within the box, placed immediately after the Table of Contents, and not numbered.

For standard grant applications, the names and affiliated organizations of all PDs and co-PDs should be listed on this form, in addition to the title of the project. The summary should be a self-contained, specific description of the activity to be undertaken and should focus on: overall project goal(s) and supporting objectives; plans to accomplish project goal(s); and relevance of the project to the goals of the Integrated Research, Education, and Extension Competitive Grants Program – National Integrated Food Safety Initiative. The importance of a concise, informative Project Summary cannot be overemphasized. If there are more than three co-PDs for an application, please list additional co-PDs on a separate sheet of paper (with appropriate information) and attach to the Project Summary (Form CSREES-2003).

For conference grant applications, applicants should state the objectives of the conference, symposia, or workshop, as well as the proposed location and probable inclusive date(s) on the form. The box marked “Conference” (in the upper right-hand corner of Form CSREES-2003) should be checked.

## **5. Response to Previous Review**

This requirement only applies to “Resubmitted Applications” (as described in Part II, B., 3.). PDs must respond to the previous review panel summary on no more than one page, titled “RESPONSE TO PREVIOUS REVIEW,” which is to be placed directly after the “Project Summary,” Form CSREES-2003.

## **6. Project Description**

**PLEASE NOTE:** For all grant applications, the Project Description may not exceed a total of eighteen (18) single- or double-spaced pages, including figures and tables. This page limit was established to ensure fair and equitable competition.

**For standard grant applications, the Project Description must include all of the following:**

**Justification:** This section should include the following, when applicable:

(a) A statement at the beginning that clearly identifies the priority area(s) (in Part I, B., 2.(a)) that is (are) addressed in the application;

(b) Estimates of the magnitude of the food safety issues to be addressed and their relevance to stakeholders’ needs, as well as ongoing state and national research, education, and extension programs; and

(c) Reasons for having the work performed by the applying institution.

**Objectives:** Clear, concise, complete, and logically arranged statement(s) of specific aims of the proposed effort must be included in all proposals.

**Methods:** The procedures or methods to be applied to the proposed effort should be explicitly stated. This section should include, but should not necessarily be limited to:

(a) A description of the proposed activities and the sequence in which they will be carried out;

**For special emphasis grant applications addressing applied priority 111.G, Food Biosecurity,** the description should include the following components: (1) threat prevention; (2) threat response; (3) risk management and communication; and (4) public awareness and education.

(b) Procedures, techniques, methods, or approaches to be employed, including their feasibility;

(c) Means by which data will be analyzed or interpreted;

(d) Evaluation methods or means by which education and extension or outreach activities will be evaluated;

(e) Kinds of results or expected outcomes;

(f) Details of plans to communicate results to stakeholders or to the public;

(g) Pitfalls that might be encountered and possible solutions; and

(h) Limitations to proposed procedures, techniques, methodologies, or approaches.

**Literature Review:** A summary of pertinent publications, with emphasis on their relationship to the effort being proposed, should be provided and should include all important and recent publications from other institutions, as well as those from the applicant institution. The citations themselves should be accurate, complete, and written in an acceptable journal format.

**Current Work:** Relevant unpublished institutional activities should be described.

**Cooperation and Institutional Units Involved:** Applications describing multi-state, multi-institutional, multidisciplinary, and multifunctional activities (and combinations thereof) are encouraged. Special emphasis grant applications must involve multi-disciplinary teams from multiple states and/or multiple institutions. Identify each institutional unit contributing to the project and designate the lead institution or institutional unit. When appropriate, the project should be coordinated with the efforts of other state and/or national programs. Clearly define the roles and responsibilities of each institutional unit of the project team, if applicable.

**Equipment and Facilities:** All facilities which are available for use or assignment to the project during the requested period of support should be reported and described briefly. Any potentially hazardous materials, procedures, situations, or activities, whether or not directly related to a particular phase of the effort, must be explained fully, along with an outline of the precautions to be exercised. Examples include work with pathogenic organisms, toxic chemicals and experiments that may put human subjects or animals at risk. All items of major instrumentation



available for use or assignment to the proposed project should be itemized. In addition, items of non-expendable equipment needed to conduct and bring the project to a successful conclusion should be listed, including dollar amounts. Justification must be provided if funds are requested for their acquisition (see Part IV, B., 12.(b), Budget Narrative).

**Project Timetable:** The application should outline all important phases as a function of time, year by year, for the entire project, including periods beyond the grant funding period.

**For special emphasis grant applications addressing applied priority area 111.G, Food Biosecurity, the Project Description also must include:**

**Collaboration Plan:** The application must describe how the project team will collaborate with Federal, university, and industry partners who are working to develop similar plans and strategies for reducing threats to the food supply. Potential partners include, among others, researchers at the Department of Homeland Security and Cooperative Extension System personnel working with the Extension Disaster Education Network.

**For standard grant applications that are renewal applications (as defined in Part II, B., 2.) the Project Description also must include:**

**Progress Report:** A progress report must be included within the page limitation set for the Project Description portion of the application.

**For conference grant applications, the Project Description must describe the conference proposed, and include all of the following:**

- (a) Justification for the meeting;
- (b) Recent meetings on the same subject with dates and locations;
- (c) Names and organizational affiliations of the chairperson and other members of the organizing committee;
- (d) Proposed program (or agenda for the conference), including a listing of scheduled participants and their institutional affiliations; and
- (e) Method of announcement or invitation to be used.

## **7. References**

All references to works cited should be complete, including titles and all co-authors, and should conform to an acceptable journal format. References are not considered in the page-limitation for the Project Description.

## **8. Appendices to Project Description**

Applications may include Appendices to the Project Description, if the information is directly germane to the proposed project. The addition of appendices should not be used to circumvent the page limitation.

## **9. Key Personnel**

All applications must clearly describe the roles and responsibilities of the submitting PD. Standard grant applications should also clearly describe the roles and responsibilities of each co-PD and/or collaborator.

All applications must include the curriculum vitae of the submitting PD, and a listing of his/her relevant publications. Standard grant applications should also include vitae for each co-PD, senior associate, and all key persons who are expected to work on the project, whether or not CSREES funds are sought for their support.

### **Vitae should be limited to two (2) pages each in length, excluding publications listings.**

Vitae should include a presentation of academic and research credentials, as applicable, e.g., earned degrees, teaching experience, employment history, professional activities, honors and awards, and grants received. A chronological list of **all** publications in **refereed journals** during the past **four (4) years**, including those in press, must be provided for each project member for whom a curriculum vitae is provided. Also list only those **non-refereed** technical publications that have **relevance** to the proposed project. All authors should be listed in the same order as they appear on each paper cited, along with the title and complete reference as these usually appear in journals.

## **10. Collaborative Arrangements**

If it will be necessary to enter into formal consulting or collaborative arrangements with others, such arrangements should be fully explained and justified. If the consultant(s) or collaborator(s) are known at the time of application, a vitae or resume should be provided. In addition, evidence (e.g., letter of support) should be provided that the collaborators involved have agreed to render these services. The applicant also will be required to provide additional information on consultants and collaborators in the budget portion of the application. See instructions in the application forms for completing Form CSREES-2004, Budget.

## **11. Conflict-of-Interest List (Form CSREES-2007)**

A Conflict-of-Interest List, Form CSREES-2007, must be provided for each individual who has submitted a vitae in response to item 9. of this part. Conference grant applications must include conflict-of-interest lists for conference organizers and (to the extent that they are known in advance) for speakers, as well.

Each Form CSREES-2007 should list alphabetically, by the last names, the full names of the individuals in the following categories: (a) all co-authors on publications within the past four years, including pending publications and submissions; (b) all collaborators on projects within the past four years, including current and planned collaborations; (c) all thesis or postdoctoral

advisees/advisors within the past four years; and (d) all persons in your field with whom you have had a consulting or financial arrangement within the past four years, who stand to gain by seeing the project funded. This form is necessary to assist program staff in excluding from application review those individuals who have conflicts of interest with the personnel in the grant application. The program contact must be informed of any additional conflicts of interest that arise after the application is submitted.

## **12. Budget**

### **(a) Budget Form (Form CSREES-2004)**

Prepare the Budget, Form CSREES-2004, according to the instructions provided with the application forms. For standard grant applications, a budget form is required for each year of requested support. In addition, a cumulative budget is required detailing the requested total support for the overall project period. Indirect costs should be calculated as specified under Part IV, D., and identified on Line L. of the Budget (Form CSREES-2004). All budgets should include reasonable amounts for transportation and subsistence costs for appropriate personnel to make two trips to Washington, DC for project presentations and updates. Conference grant applications must include an estimated total Budget (Form CSREES-2004) for the conference and an itemized breakdown of all support requested from the National Integrated Food Safety Initiative. The budget for a conference grant application may include a reasonable amount for transportation and subsistence costs for participants.

Budget forms may be reproduced as needed by applicants. Funds may be requested under any of the categories listed on the form, provided that the item or service for which support is requested is allowable under the authorizing legislation, the applicable statutes, regulations, and Federal cost principles, and these program guidelines, and can be justified as necessary for the successful conduct of the proposed project. Applicants also must include a budget narrative to justify their budget requests (see section (b) below).

### **(b) Budget Narrative**

The budget narrative should be based on the cumulative budget. All budget categories, with the exception of Indirect Costs, for which support is requested, must be individually listed (with costs) in the same order as the budget and justified on a separate sheet of paper and placed immediately behind the Budget form. If matching is required, a budget narrative is also required for the matching portion.

### **(c) Matching Funds**

If an applicant concludes that matching funds are not required as specified under Part III, B., a justification should be included in the Budget Narrative. CSREES will consider this justification when ascertaining final matching requirements or determining if required matching can be waived. CSREES retains the right to make final determinations regarding matching requirements.

For those grants where matching funds are required as specified under Part III, B., applications should include written verification of commitments of matching support (including both cash and in-kind contributions) from third parties. Written verification means:

For any third party cash contributions, a separate pledge agreement for each donation, signed by the authorized organizational representative of the donor organization and the applicant organization, which must include: (1) the name, address, and telephone number of the donor; (2) the name of the applicant organization; (3) the title of the project for which the donation is made; (4) the dollar amount of the cash donation; and (5) a statement that the donor will pay the cash contribution during the grant period.

For any third party in-kind contributions, a separate pledge agreement for each contribution, signed by the authorized organizational representatives of the donor organization and the applicant organization, which must include: (1) the name, address, and telephone number of the donor; (2) the name of the applicant organization; (3) the title of the project for which the donation is made; (4) a good faith estimate of the current fair market value of the third party in-kind contribution; and (5) a statement that the donor will make the contribution during the grant period.

The sources and amounts of all matching support from outside the applicant institution should be summarized on a separate page and placed in the application immediately following the Budget Narrative. All pledge agreements should be placed in the application immediately following the summary of matching support.

The value of applicant contributions to the project shall be established in accordance with the applicable cost principles. Applicants should refer to OMB Circular A-21, Cost Principles for Educational Institutions, for further guidance and other requirements relating to matching and allowable costs.

### **13. Current and Pending Support (Form CSREES-2005)**

All applications must contain Form CSREES-2005 listing other current public or private support (including in-house support) to which personnel identified in the application (i.e., individuals submitting a vitae in response to item 9. of this part) have committed portions of their time, whether or not salary support for the person(s) is included in the budget. Please follow the instructions provided on this form. Time commitments for all projects (both current and pending) should not exceed 100% for any individual. Concurrent submission of identical or similar applications to the possible sponsors will not prejudice application review or evaluation by CSREES. However, an application that duplicates or overlaps substantially with an application already reviewed and funded (or to be funded) by another organization or agency will not be funded under this program. **Please note that the project being proposed should be included in the pending section of the form.**

### **14. Assurance Statement(s) (Form CSREES-2008)**

A number of situations encountered in the conduct of projects require special assurances, supporting documentation, etc., before funding can be approved for the project. In addition to any other situation that may exist with regard to a particular project, applications involving any of the following elements must comply with the additional requirements as applicable.

**(a) Recombinant DNA or RNA Research**

As stated in 7 CFR Part 3015.205 (b)(3), all key personnel identified in the application and all endorsing officials of the proposing organization are required to comply with the guidelines established by the National Institutes of Health entitled, “Guidelines for Research Involving Recombinant DNA Molecules,” as revised. If your project proposes to use recombinant DNA or RNA techniques, you must so indicate by checking the “yes” box in Block 20 of Form CSREES-2002 (the Proposal Cover Page) and by completing Section A of Form CSREES-2008. For applicable applications recommended for funding, Institutional Biosafety Committee approval is required before CSREES funds will be released. Please refer to the application forms for further instructions.

**(b) Animal Care**

Responsibility for the humane care and treatment of live vertebrate animals used in any grant project supported with funds provided by CSREES rests with the performing organization. Where a project involves the use of living vertebrate animals for experimental purposes, all key personnel identified in an application and all endorsing officials of the proposing organization are required to comply with the applicable provisions of the Animal Welfare Act of 1966, as amended (7 U.S.C. 2131 et seq.), and the regulations promulgated thereunder by the Secretary in 9 CFR Parts 1, 2, 3, and 4 pertaining to the care, handling, and treatment of these animals. If your project will involve these animals, you should check “yes” in Block 20 of Form CSREES-2002 and complete Section B. of Form CSREES-2008. In the event a project involving the use of live vertebrate animals results in a grant award, funds will be released only after the Institutional Animal Care and Use Committee has approved the project. Please refer to the application forms for further instructions.

**(c) Protection of Human Subjects**

Responsibility for safeguarding the rights and welfare of human subjects used in any grant project supported with funds provided by CSREES rests with the performing organization. Guidance on this issue is contained in the National Research Act, Pub. L. No. 93-348, as amended, and implementing regulations promulgated by the Department under 7 CFR Part 1c. If you propose to use human subjects in your project, you should check the “yes” box in Block 20 of Form CSREES-2002 and complete Section C of Form CSREES-2008. In the event a project involving human subjects at risk is recommended for award, funds will be released only after the Institutional Review Board (IRB) has approved the research plan and CSREES has accepted documentation of the IRB approval. Please refer to the application forms for additional instructions.

**15. Certifications**

Note that by signing Form CSREES-2002 the applicant is providing the certifications required by 7 CFR Part 3017, regarding Debarment and Suspension and Drug-Free Workplace, and 7 CFR Part 3018, regarding Lobbying. The certification forms are included in the application package for informational purposes only. These forms should not be submitted with the application since by signing Form CSREES-2002 your organization is providing the required certifications. If the project will involve a subcontractor or consultant, the subcontractor/consultant should submit a Form AD-1048, Certification Regarding Debarment, Suspension, Ineligibility and Voluntary Exclusion - Lower Tier Covered Transactions, to the grantee organization for retention in their records. This form should not be submitted to USDA.

## **16. Compliance with the National Environmental Policy Act (NEPA) (Form CSREES-2006)**

As outlined in 7 CFR Part 3407 (the CSREES regulations implementing NEPA), the environmental data for any proposed project is to be provided to CSREES so that CSREES may determine whether any further action is needed. In some cases, however, the preparation of environmental data may not be required. Certain categories of actions are excluded from the requirements of NEPA.

In order for CSREES to determine whether any further action is needed with respect to NEPA, pertinent information regarding the possible environmental impacts of a particular project is necessary; therefore, Form CSREES-2006, "NEPA Exclusions Form," must be included in the application indicating whether the applicant is of the opinion that the project falls within a categorical exclusion and the reasons therefore. If it is the applicant's opinion that the proposed project falls within the categorical exclusions, the specific exclusion(s) must be identified.

Even though a project may fall within the categorical exclusions, CSREES may determine that an Environmental Assessment or an Environmental Impact Statement is necessary for an activity, if substantial controversy on environmental grounds exists or if other extraordinary conditions or circumstances are present which may cause such activity to have a significant environmental effect.

### ***C. Submission Dates and Times***

While not required, for special emphasis grant applicants only, letters of intent must be received by November 17, 2004. All grant applications must be received by COB on December 17, 2004 (5:00 p.m. Eastern Time). Applications received after this deadline will not be considered for funding.

### ***D. Funding Restrictions***

The FY 2004 Consolidated Appropriations Act (Public Law 108-199) limited indirect costs to 20 percent of the total Federal funds provided under each award. CSREES anticipates that the FY 2005 Appropriations Act will include a similar limitation. Therefore, when preparing budgets, applicants should limit their requests for recovery of indirect costs to the lesser of their institution's official negotiated indirect cost rate or the equivalent of 20 percent of total Federal

funds awarded. Another method of calculating the maximum allowable is 25 percent of the total direct costs. Please note that if the 2005 Appropriations Act contains a different indirect cost limitation CSREES will contact each successful applicant to apply the correct rate prior to the award of a grant.

Funds awarded under this program may not be used for the renovation or refurbishment of research, education, or extension space; the purchase or installation of fixed equipment in such space; or the planning, repair, rehabilitation, acquisition, or construction of buildings or facilities.

## ***E. Other Submission Requirements***

### **1. What to Submit**

An original and fourteen (14) copies of the application must be submitted. An additional ten (10) copies of the application's Project Summary must also be submitted. All copies of the application and the Project Summary must be submitted in one package.

### **2. Where to Submit**

Applicants are strongly encouraged to submit completed applications via overnight mail or delivery service to ensure timely receipt by the USDA. The address for hand-delivered applications or applications submitted using an express mail or overnight courier service is:

Integrated Research, Education, and Extension  
Competitive Grants Program – National  
Integrated Food Safety Initiative  
c/o Proposal Services Unit  
Cooperative State Research, Education, and Extension Service  
U.S. Department of Agriculture  
Room 1420, Waterfront Centre  
800 9<sup>th</sup> Street, SW  
Washington, DC 20024

Telephone: (202) 401-5048

Applications sent via the U.S. Postal Service must be sent to the following address:

Integrated Research, Education, and Extension  
Competitive Grants Program – National  
Integrated Food Safety Initiative  
c/o Proposal Services Unit  
Cooperative State Research, Education, and Extension Service  
U.S. Department of Agriculture  
STOP 2245  
1400 Independence Avenue, SW

Washington, DC 20250-2245

The receipt of all applications will be acknowledged by e-mail. Therefore, applicants are strongly encouraged to provide accurate e-mail addresses, where designated, on the Form CSREES-2002. If the applicant's e-mail address is not indicated, CSREES will acknowledge receipt of the application by letter. If the applicant does not receive an acknowledgment within 60 days of the submission deadline, please contact the program contact. Once the application has been assigned an application number, please cite that number on all future correspondence.



## **PART V—APPLICATION REVIEW REQUIREMENTS**

### ***A. General***

Each application will be evaluated in a two-part process. First, each application will be screened to ensure that it meets the administrative requirements as set forth in this RFA. Second, applications that meet these requirements will be technically evaluated by a review panel.

Reviewers will be selected based upon training and experience in relevant scientific, extension, or education fields, taking into account the following factors: (a) the level of relevant formal scientific, technical education, or extension experience of the individual, as well as the extent to which an individual is engaged in relevant research, education, or extension activities; (b) the need to include as reviewers experts from various areas of specialization within relevant scientific, education, or extension fields; (c) the need to include as reviewers other experts (e.g., producers, range or forest managers/operators, and consumers) who can assess relevance of the applications to targeted audiences and to program needs; (d) the need to include as reviewers experts from a variety of organizational types (e.g., colleges, universities, industry, state and Federal agencies, private profit and non-profit organizations) and geographic locations; (e) the need to maintain a balanced composition of reviewers with regard to minority and female representation and an equitable age distribution; and (f) the need to include reviewers who can judge the effective usefulness to producers and the general public of each application.

### ***B. Evaluation Criteria***

#### **Standard Grants (including Special Emphasis Grants)**

The evaluation criteria below will be used in reviewing applications submitted in response to this RFA:

#### **1. Overall Merit of the Application.**

- (a) Proposed goal, approach, or hypothesis is conceptually adequate and related to selected applied priority area(s) (see Part I, B., 2.(a) and (b));
- (b) Objectives are clearly described and related to selected applied priority area(s) (see Part I, B., 2.(a) and (b));
- (c) Need for proposed project is demonstrated;
- (d) Target audience(s) is identified (where appropriate);
- (e) Proposed technique, procedure, or methodology is clearly described;
- (f) Technique, procedure, or methodology is suitable and feasible for proposed project;

(g) Evaluation procedures, or means by which data will be analyzed and interpreted, are clearly described and suitable for proposed project;

(h) Expected results or outcomes are clearly stated; and

(i) There is a high probability that the proposed project will be successful.

**2. Qualifications of Proposed Project Personnel, Adequacy of Facilities and Budget Request.**

(a) Roles of project personnel are clearly defined;

(b) Evidence that project personnel have sufficient expertise to complete proposed project is provided;

(c) Evidence of quality partnerships with other disciplines and institutions is provided, where appropriate;

(d) Sufficient time has been allocated for systematic attainment of objectives;

(e) Evidence is provided of institutional experience and competence in the selected applied priority area(s) (see Part I, B., 2.(a));

(f) Support personnel, facilities, and instrumentation are adequate;

(g) All necessary budget information is provided and all figures are correctly tallied;

(h) Budget narrative provides adequate justification for all budget categories; and

(i) Proposed budget is appropriate for scope of proposed project.

**3. Relevance of Proposed Project to Current Issues in Food Safety and Related Topical Areas.**

(a) Description of relevance to current issues in food safety is included; and

(b) Proposed project makes a unique and original contribution to food safety.

**Additional evaluation criteria for Special Emphasis Grants in priority areas 111.F and 111.G are as follows:**

**Priority Area 111.F: Control of Listeria monocytogenes in ready-to-eat meats**

4. Research, education and/or extension activities proposed are coherent and complement the ultimate goal of developing a strategy or solution that can be implemented to control Listeria monocytogenes in ready-to-eat meats.

5. Project team is likely to be able to respond quickly to provide timely research, education and/or extension data during a foodborne outbreak related to Listeria monocytogenes.

**Priority Area 111.G: Food Biosecurity: Threat prevention, threat response, risk management and communication, and public education**

4. Research, extension and/or education activities proposed are coherent and complement the ultimate goal of developing a plan or strategy for reducing threats to the U.S. food supply. Plan includes the following components: (a) threat prevention; (b) threat response; (c) risk management and communication; and (d) public awareness and education.

5. Plan for project team to collaborate with Federal, university, and industry partners working to develop similar plans and strategies for reducing threats to the food supply is feasible.

6. Project team is likely to be able to respond quickly to provide timely research, education and/or extension data to Federal, state, and local governments, retail and other foodservice establishments, health professionals, educators, and consumers, during a perceived threat to the U.S. food supply, whether the threat is intentional or unintentional.

**Conference Grants**

The following evaluation criteria will be applied to applications that seek support for conferences:

1. Relevance of Proposed Conference to Food Safety in Fostering Interaction among Food Safety Researchers, Educators, Extension Professionals and Others;
2. Qualifications of Organizing Committee and Appropriateness of Invited Speakers to Topic Areas Being Covered;
3. Uniqueness and Timeliness of Conference; and
4. Appropriateness of Budget Request.

**Bridge Grants**

For standard grant applications under consideration for bridge grants, depending on the applied priority area addressed, all of the appropriate evaluation criteria will be applied. In addition, applications under consideration for bridge grants will be evaluated based on the potential that further funding of the proposed project would: (1) help to foster important collaborations and activities that might lead to future program success; or (2) lead to success in obtaining National Integrated Food Safety Initiative and/or other grant funding in the future.

### ***C. Conflicts of Interest and Confidentiality***

During the peer evaluation process, extreme care will be taken to prevent any actual or perceived conflicts of interest that may impact review or evaluation. For the purpose of determining conflicts of interest, the academic and administrative autonomy of an academic institution shall be determined by reference to the current edition of the Higher Education Directory, published by Higher Education Publications, Inc., 6400 Arlington Boulevard, Suite 648, Falls Church, VA 22042. Phone: (703) 532-2300. Web site: <http://www.hepinc.com>.

Names of submitting institutions and individuals, as well as application content and peer evaluations, will be kept confidential, except to those involved in the review process, to the extent permitted by law. In addition, the identities of peer reviewers will remain confidential throughout the entire review process. Therefore, the names of the reviewers will not be released to applicants. At the end of the fiscal year, names of panelists will be made available in such a way that the panelists cannot be identified with the review of any particular application.

## **PART VI—AWARD ADMINISTRATION**

### ***A. General***

Within the limit of funds available for such purpose, the awarding official of CSREES shall make grants to those responsible, eligible applicants whose applications are judged most meritorious under the procedures set forth in this RFA. The date specified by the awarding official of CSREES as the effective date of the grant shall be no later than September 30 of the Federal fiscal year in which the project is approved for support and funds are appropriated for such purpose, unless otherwise permitted by law. It should be noted that the project need not be initiated on the grant effective date, but as soon thereafter as practical so that project goals may be attained within the funded project period. All funds granted by CSREES under this RFA shall be expended solely for the purpose for which the funds are granted in accordance with the approved application and budget, the regulations, the terms and conditions of the award, the applicable Federal cost principles, and the Department's assistance regulations (parts 3015 and 3019 of 7 CFR).

### ***B. Organizational Management Information***

Specific management information relating to an applicant shall be submitted on a one-time basis as part of the responsibility determination prior to the award of a grant identified under this RFA, if such information has not been provided previously under this or another CSREES program. CSREES will provide copies of forms recommended for use in fulfilling these requirements as part of the preaward process. Although an applicant may be eligible based on its status as one of these entities, there are factors which may exclude an applicant from receiving Federal financial and nonfinancial assistance and benefits under this program (e.g., debarment or suspension of an individual involved or a determination that an applicant is not responsible based on submitted organizational management information).

### ***C. Award Notice***

The grant award document shall include, at a minimum, the following:

1. Legal name and address of performing organization or institution to whom the Administrator has issued an award under the terms of this request for applications;
2. Title of project;
3. Name(s) and institution(s) of PDs chosen to direct and control approved activities;
4. Identifying award number assigned by the Department;
5. Project period, specifying the amount of time the Department intends to support the project without requiring recompetition for funds;

6. Total amount of Departmental financial assistance approved by the Administrator during the project period;
7. Legal authority(ies) under which the award is issued;
8. Appropriate Catalog of Federal Domestic Assistance (CFDA) number;
9. Applicable award terms and conditions (see <http://www.csrees.usda.gov/business/awards/awardterms.html> to view CSREES award terms and conditions);
10. Approved budget plan for categorizing allocable project funds to accomplish the stated purpose of the award; and
11. Other information or provisions deemed necessary by CSREES to carry out its respective granting activities or to accomplish the purpose of a particular grant.

#### ***D. Administrative and National Policy Requirements***

Several Federal statutes and regulations apply to grant applications considered for review and to project grants awarded under this program. These include, but are not limited to:

7 CFR Part 1, subpart A—USDA implementation of the Freedom of Information Act.

7 CFR Part 3—USDA implementation of OMB Circular No. A-129 regarding debt collection.

7 CFR Part 15, subpart A—USDA implementation of Title VI of the Civil Rights Act of 1964, as amended.

7 CFR Part 331 and 9 CFR Part 121 – USDA implementation of the Agricultural Bioterrorism Protection Act of 2002.

7 CFR Part 3015—USDA Uniform Federal Assistance Regulations, implementing OMB directives (i.e., OMB Circular Nos. A-21 and A-122) and incorporating provisions of 31 U.S.C. 6301-6308 (formerly the Federal Grant and Cooperative Agreement Act of 1977, Pub. L. No. 95-224), as well as general policy requirements applicable to recipients of Departmental financial assistance.

7 CFR Part 3017—USDA implementation of Governmentwide Debarment and Suspension (Nonprocurement) and Governmentwide Requirements for Drug-Free Workplace (Grants).

7 CFR Part 3018—USDA implementation of Restrictions on Lobbying. Imposes prohibitions and requirements for disclosure and certification related to lobbying on recipients of Federal contracts, grants, cooperative agreements, and loans.

7 CFR Part 3019—USDA implementation of OMB Circular A-110, Uniform Administrative Requirements for Grants and Other Agreements With Institutions of Higher Education, Hospitals, and Other Nonprofit Organizations.

7 CFR Part 3052—USDA implementation of OMB Circular No. A-133, Audits of States, Local Governments, and Non-profit Organizations.

7 CFR Part 3407—CSREES procedures to implement the National Environmental Policy Act of 1969, as amended.

29 U.S.C. 794 (section 504, Rehabilitation Act of 1973) and 7 CFR Part 15b (USDA implementation of statute)—prohibiting discrimination based upon physical or mental handicap in Federally assisted programs.

35 U.S.C. 200 et seq.—Bayh-Dole Act, controlling allocation of rights to inventions made by employees of small business firms and domestic nonprofit organizations, including universities, in Federally assisted programs (implementing regulations are contained in 37 CFR Part 401).

### ***E. Expected Program Outputs and Reporting Requirements***

Grantees are required to submit annual and summary evaluation reports via CSREES' Current Research Information System (CRIS). CRIS is an electronic, Web-based inventory system that facilitates both grantee submissions of project outcomes and public access to information on Federally-funded projects.

## **PART VII—AGENCY CONTACT**

Applicants and other interested parties are encouraged to contact Dr. Jan Singleton; National Program Leader; Food Science and Food Safety; Plant and Animal Systems Unit; Cooperative State Research, Education, and Extension Service; USDA; STOP 2220; 1400 Independence Ave., SW; Washington, DC 20250-2220; Telephone: (202) 401-1954; Fax: (202) 401-9862; E-mail: [jsingleton@csrees.usda.gov](mailto:jsingleton@csrees.usda.gov).



## **PART VIII—OTHER INFORMATION**

### ***A. Access to Review Information***

Copies of reviews, not including the identity of reviewers, and a summary of the panel comments will be sent to the applicant PD after the review process has been completed.

### ***B. Use of Funds; Changes***

#### **1. Delegation of Fiscal Responsibility**

Unless the terms and conditions of the award state otherwise, the grantee may not in whole or in part delegate or transfer to another person, institution, or organization the responsibility for use or expenditure of grant funds.

#### **2. Changes in Project Plans**

(a) The permissible changes by the grantee, PD(s), or other key project personnel in the approved project grant shall be limited to changes in methodology, techniques, or other similar aspects of the project to expedite achievement of the project's approved goals. If the grantee or the PD(s) is uncertain as to whether a change complies with this provision, the question must be referred to the Authorized Departmental Officer (ADO) for a final determination. The ADO is the signatory of the award document, not the program contact.

(b) Changes in approved goals or objectives shall be requested by the grantee and approved in writing by the ADO prior to effecting such changes. In no event shall requests for such changes be approved which are outside the scope of the original approved project.

(c) Changes in approved project leadership or the replacement or reassignment of other key project personnel shall be requested by the grantee and approved in writing by the ADO prior to effecting such changes.

(d) Transfers of actual performance of the substantive programmatic work in whole or in part and provisions for payment of funds, whether or not Federal funds are involved, shall be requested by the grantee and approved in writing by the ADO prior to effecting such transfers, unless prescribed otherwise in the terms and conditions of the award.

(e) Changes in Project Period: The project period may be extended by CSREES without additional financial support, for such additional period(s) as the ADO determines may be necessary to complete or fulfill the purposes of an approved project, but in no case shall the total project period exceed five years. Any extension of time shall be conditioned upon prior request by the grantee and approval in writing by the ADO, unless prescribed otherwise in the terms and conditions of the award.

(f) Changes in Approved Budget: Changes in an approved budget must be requested by the grantee and approved in writing by the ADO prior to instituting such changes if the revision will

involve transfers or expenditures of amounts requiring prior approval as set forth in the applicable Federal cost principles, Departmental regulations, or award.

### ***C. Confidential Aspects of Applications and Awards***

When an application results in a grant, it becomes a part of the record of CSREES transactions, available to the public upon specific request. Information that the Secretary determines to be of a confidential, privileged, or proprietary nature will be held in confidence to the extent permitted by law. Therefore, any information that the applicant wishes to have considered as confidential, privileged, or proprietary should be clearly marked within the application. The original copy of an application that does not result in a grant will be retained by the Agency for a period of one year. Other copies will be destroyed. Such an application will be released only with the consent of the applicant or to the extent required by law. An application may be withdrawn at any time prior to the final action thereon.

### ***D. Regulatory Information***

For the reasons set forth in the final Rule-related Notice to 7 CFR part 3015, subpart V (48 FR 29114, June 24, 1983), this program is excluded from the scope of the Executive Order 12372 which requires intergovernmental consultation with State and local officials. Under the provisions of the Paperwork Reduction Act of 1995 (44 U.S.C. chapter 35), the collection of information requirements contained in this Notice have been approved under OMB Document No. 0524-0039.

### ***E. Definitions***

*1890 Land-Grant Institution* means one of those institutions eligible to receive funds under the Act of August 30, 1890 (26 Stat. 419, chapter 841, 7 U.S.C. 321 et seq.) including Tuskegee University and West Virginia State University.

*1994 Land-Grant Institution* means one of those institutions as defined in 532 of the Equity in Education Land-Grant Act of 1994 (7 U.S.C. 301 note) as amended. These institutions are commonly referred to as Tribal Colleges or Tribal Universities.

*Administrator* means the Administrator of the Cooperative State Research, Education, and Extension Service (CSREES) and any other officer or employee of the Department to whom the authority involved may be delegated.

*Authorized Departmental Officer* means the Secretary or any employee of the Department who has the authority to issue or modify grant instruments on behalf of the Secretary.

*Authorized Organizational Representative* means the president or chief executive officer of the applicant organization or the official, designated by the president or chief executive officer of the applicant organization, who has the authority to commit the resources of the organization.

*Budget period* means the interval of time (usually 12 months) into which the project period is divided for budgetary and reporting purposes.

*Cash contributions* means the applicant's cash outlay, including the outlay of money contributed to the applicant by non-Federal third parties.

*Department or USDA* means the United States Department of Agriculture.

*Education activity* means formal classroom instruction, laboratory instruction, and practicum experience in the food and agricultural sciences and other related matters such as faculty development, student recruitment and services, curriculum development, instructional materials and equipment, and innovative teaching methodologies.

*Extension activity* means an act or process that delivers science-based knowledge and informal educational programs to people, enabling them to make practical decisions.

*Grant* means the award by the Authorized Departmental Officer of funds to an eligible recipient for the purpose of conducting the identified project.

*Grantee* means an organization designated in the award document as the responsible legal entity to which a grant is awarded.

*Hispanic-serving Institution* means an institution of higher education that: (1) is an eligible "college" or "university" (as defined in Part III, A.); (2) at the time of application, has an enrollment of undergraduate full-time equivalent students that is at least 25 percent Hispanic students; and (3) provides assurances that not less than 50 percent of the institution's Hispanic students are low-income individuals.

*Integrated* means to bring the three components of the agricultural knowledge system (research, education, and extension) together around a problem area or activity.

*Matching* means that portion of allowable project costs not borne by the Federal Government, including the value of in-kind contributions.

*Peer review* means an evaluation of a proposed project for scientific or technical quality and relevance performed by experts with the scientific knowledge and technical skills to conduct the proposed work or to give expert advice on the merits of a proposal.

*Project Director or PD* means the single individual designated by the grantee in the grant application and approved by the Authorized Departmental Officer who is responsible for the direction and management of the project, also known as the principal investigator for research activities.

*Prior approval* means written approval evidencing prior consent by an Authorized Departmental Officer.

*Project* means the particular activity within the scope of the program supported by an award.

*Project period* means the total length of time, as stated in the award document and modifications thereto, if any, during which Federal sponsorship begins and ends.

*Research activity* means a scientific investigation or inquiry that results in the generation of knowledge.

*Secretary* means the Secretary of Agriculture and any other officer or employee of the Department to whom the authority involved may be delegated.

*Third party in-kind contributions* means non-cash contributions of property or services provided by non-Federal third parties, including real property, equipment, supplies and other expendable property, directly benefiting and specifically identifiable to a funded project or program.

*Total integrated, multifunctional research, education, and extension approach* means that the combination of grants (although the individual grants may involve only research, education, or extension activities or a combination thereof) awarded under the fiscal year's program components will work together to address the priorities in United States agriculture as determined by the Secretary of Agriculture in consultation with the Advisory Board, that involve integrated research, extension, and education activities.

#### ***F. CSREES' Grants.gov Implementation Plans***

Grants.gov is an Internet web site for grant and other financial assistance information (e.g., allows grant seekers to find funding opportunities). It also will serve to facilitate electronic transmission of information pertaining to grants and other financial assistance information (e.g., electronic application submission). In FY 2004, CSREES initiated the receipt of applications electronically through the Grants.gov (<http://www.grants.gov>) storefront for limited programs. As a result of this initiative, it was evident that improvements were necessary prior to further implementation of electronic applications. CSREES is working hard to provide Grants.gov as an option for programs in the future. More information about CSREES' Grants.gov plans, including important announcements, program implementation, and detailed requirements, is posted on the CSREES' web site, [http://www.csrees.usda.gov/business/other\\_links/egov/egov.html](http://www.csrees.usda.gov/business/other_links/egov/egov.html), which will be updated as appropriate. It is suggested that this site be visited periodically for important updates.

Grants.gov is not available for the submission of applications in response to this RFA. See Part IV, E. for information about the format (i.e., hard copy or electronic) for the submission of applications under this RFA.

#### ***G. DUNS Number***

A Dun and Bradstreet (D&B) Data Universal Numbering System (DUNS) number is a unique nine-digit sequence recognized as the universal standard for identifying and keeping track of

over 70 million businesses worldwide. A *Federal Register* notice of final policy issuance (68 FR 38402) requires a DUNS number in every application (i.e., hard copy and electronic) for a grant or cooperative agreement (except applications from individuals) submitted on or after October 1, 2003. Therefore, potential applicants should verify that they have a DUNS number or take the steps needed to obtain one. For information about how to obtain a DUNS number go to <http://grants.gov>. Please note that the registration may take up to 14 business days to complete.

#### ***H. Required Registration for Grants.gov***

The Central Contract Registry (CCR) is a database that serves as the primary Government repository for contractor information required for the conduct of business with the Government. This database will also be used as a central location for maintaining organizational information for organizations seeking and receiving grants from the Government. Such organizations must register in the CCR prior to the submission of applications via grants.gov (a DUNS number is needed for CCR registration). For information about how to register in the CCR visit <http://grants.gov>. Allow a minimum of 5 days to complete the CCR registration.