



# REQUEST FOR PRE-APPLICATION Specialty Crop Research Initiative (SCRI)

**MODIFICATION: Page 13**

**FUNDING YEAR:** Fiscal Year 2021

**PRE-APPLICATION DEADLINE:** January 26, 2021

**LETTER OF INTENT DEADLINE:** Not Required

**ANTICIPATED AVAILABLE FUNDING:** \$80,000,000

**ASSISTANCE LISTING-(CFDA) NUMBER:** 10.309

## INITIAL ANNOUNCEMENT

National Institute of Food and Agriculture, United States (U.S.) Department of Agriculture  
(USDA)

**Catalog of Federal Domestic Assistance.** The Specialty Crop Research Initiative (SCRI) is listed in the Assistance Listings under the Catalog of Federal Domestic Assistance number 10.309.

**Table 1: Key Dates and Deadlines**

Task Description	Deadline
Application:	5:00 P.M. Eastern Standard Time, January 26, 2020
Letter of Intent:	Not Required
Applicants Comments:	Within six months from the issuance of this notice (NIFA may not consider comments received after the sixth month)

**Stakeholder Input.** The National Institute of Food and Agriculture (NIFA) seeks comments on all request for applications (RFAs) so it can deliver programs efficiently, effectively, with integrity, and with a focus on customer service. NIFA considers comments, to the extent possible when developing RFAs and use comments to help meet the requirements of [Section 103\(c\)\(2\) of the Agricultural Research, Extension, and Education Reform Act of 1998 \(7 U.S.C. 7613\(c\)\(2\)\)](#). Applicants may submit written comments to [Policy@usda.gov](mailto:Policy@usda.gov) (email is for comments only). Please use the following subject line: Response to the Specialty Crop Research Initiative (SCRI) request for pre-application (RFPA).

**Centers of Excellence.** Applicants are encouraged to visit the NIFA's [Center of Excellence \(COE\)](#) for information on COE designation process, including COE criteria, and a list of programs offering COE opportunities. A recording of COE outreach and COE implementation webinars are also available.

## **EXECUTIVE SUMMARY**

This notice identifies the objectives for Specialty Crop Research Initiative (SCRI) projects, deadlines, funding information, eligibility criteria for projects and applicants, and application forms and associated instructions. NIFA requests pre-applications for the SCRI for fiscal year (FY) 2021 to solve critical United States specialty crop issues, priorities, or problems through the integration of research and extension activities that use systems-based, trans-disciplinary approaches.

The intent of the SCRI program is to address the needs of the various specialty crop industries through the promotion of collaboration, open communication, the exchange of information, and the development of resources that accelerate application of scientific discovery and technology. The priorities of SCRI reflects the needs of the specialty crops industries.

This RFA is being released prior to the passage of an appropriations act for 2021. Enactment of additional continuing resolutions or an appropriations act may affect the availability or level of funding for this program. The anticipated amount available for support of this program in FY 2021 is approximately \$80 million.

**TABLE OF CONTENTS**

**INITIAL ANNOUNCEMENT..... 2**

**EXECUTIVE SUMMARY ..... 3**

**TABLE OF FIGURES..... 5**

**PART I. FUNDING OPPORTUNITY DESCRIPTION ..... 6**

A. Legislative Authority .....6

B. Purpose and Priorities .....6

**PART II. AWARD INFORMATION ..... 10**

A. Available Funding .....10

B. Project Types .....10

C. Ethical Conduct of Funded Projects .....12

**PART III. ELIGIBILITY INFORMATION..... 13**

A. Eligible Applicants .....13

B. Cost Sharing or Matching .....13

C. Centers of Excellence .....13

**PART IV. APPLICATION AND SUBMISSION ..... 14**

A. Method of Application .....14

B. Content and Form of the Pre-Application.....15

B. Funding Restrictions.....17

**PART V. APPLICATION REVIEW REQUIREMENTS ..... 18**

A. NIFA’s Evaluation Process .....18

B. Evaluation Criteria.....18

C. Center of Excellence.....19

**APPENDIX I: AGENCY CONTACTS ..... 20**

**APPENDIX II: GLOSSARY OF TERMS..... 21**

**APPENDIX III: DEFINITIONS ..... 22**

## TABLE OF TABLES

Table 1: Key Dates and Deadlines .....	2
Table 2. Steps to Obtain Application Materials .....	14
Table 3. Help and Resources .....	14
Table 4. Key Application Instructions .....	15

## TABLE OF FIGURES

Figure 1. Three Main Sectors of the Specialty Crop Industry .....	7
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## **PART I. FUNDING OPPORTUNITY DESCRIPTION**

### **A. Legislative Authority**

The Specialty Crop Research Initiative (SCRI) is reauthorized by Section 7305 of the Agricultural Improvement Act of 2018, which amends [Section 412 of the Agricultural Research, Extension, and Education Reform Act \(AREERA\) of 1998 \(7 U.S.C. 7632\)](#). Section 412 of the AREERA of 1998 established a specialty crop research and extension initiative to address the critical needs of the specialty crop industry by developing and disseminating science-based tools to address needs of specific crops and their regions. [Section 7306 of the Agricultural Act of 2014](#) added a requirement that, in addition to the scientific peer review NIFA regularly conducts, a panel of specialty crop industry representatives review and rank SCRI applications for merit, relevance, and impact.

The regulations for SCRI may be found in Subpart F of [7 CFR 3430](#).

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

In FY 2021, applicants will compete for the SCRI program in two stages. Applicants will be required to submit a pre-application containing a Stakeholder Relevance Statement (SRS). The content required in an SRS is described in [Part IV § B](#) of this RFP. Panels of industry representatives from various specialty crop sectors will review and rank the pre-applications for merit, relevance and impact. The industry representatives for each specialty crop sector will decide which pre-applicants should be invited to submit full applications. NIFA will provide details of the full-application process to invitees in a separate RFA. Review criteria for the SRS can be found in [Part V § A](#) of this RFP.

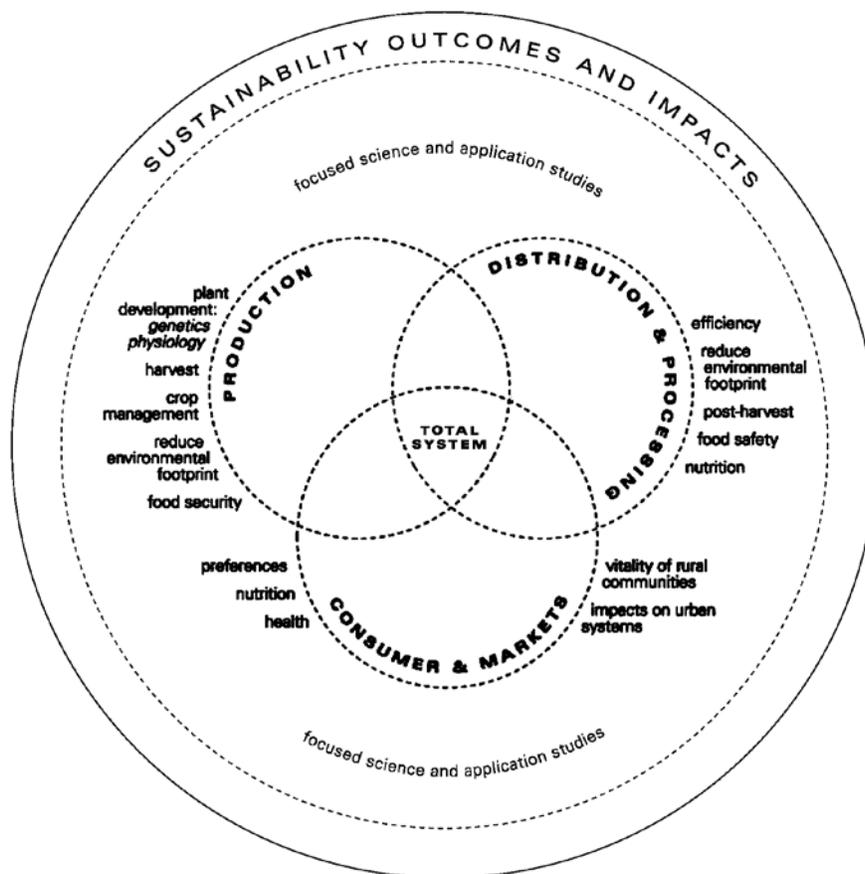
The purpose of the SCRI program is to address the critical needs of the specialty crop industry (as defined in [Appendix III](#)) by awarding grants to support research and extension that address key challenges of national, regional, and multi-state importance in sustaining all components of food and agriculture, including conventional and organic food production systems. The program recognizes that for some specialty crops which are grown on in a limited number of states, multi-state nature of projects can be difficult to address. Except for Research and Extension Planning Projects, the SCRI program only considers projects that integrate research *and* extension activities. Applicants are strongly encouraged to propose a unique approach to solving problems facing the specialty crop industry using a [systems approach](#).

The philosophy of the SCRI program is: Truly effective, long-term solutions to specialty crop industry challenges can best be achieved by understanding and treating those problems as complex systems of many interacting components. This perspective requires projects that are larger in scope and complexity, and that demand more resources than have traditionally been allocated to individual research and extension projects. In doing so, projects should focus on entire primary systems, including the production system, the processing and distribution system, and the consumer and marketing system, (as defined in [Appendix III](#)) or on areas where two or more primary systems overlap.

Meeting the challenges faced by these industries can best be handled by considering the full breadth of system components (see example components listed for each primary system), rather than treating each component in isolation and ignoring important interactions and conflicts

among components that may reduce the viability of component-specific solutions in the long term.

**Figure 1.** Three Main Sectors/Primary Systems of the Specialty Crop Industry



Specialty crops are defined in law as fruits and vegetables, tree nuts, dried fruits, and horticulture and nursery crops, including floriculture. USDA has developed a more detailed description of specialty crops that is now in use by all USDA agencies (see [Specialty Crop Research Initiative](#)). Collectively, these crops face many challenges. The SCRI program seeks to address these challenges by funding systems-based, trans-disciplinary approaches (as defined in [Appendix III](#)). It is anticipated that successful applications will:

1. Engage stakeholders in collaborative ways to identify those priorities of greatest need;
2. Bring together multi-state, multi-institutional teams of biological, physical, and social scientists to develop strategies and actions emphasizing systems-based, trans-disciplinary approaches for meeting the identified priorities;
3. Address priorities through research and extension;
4. Present plans for documenting the impacts of funded applications that include stakeholder involvement; and
5. Include explicit mechanisms to communicate results to producers and the public.

The SCRI program has five legislatively mandated focus areas to address the critical needs of the specialty crop industry by developing and disseminating science-based tools to address needs of specific crops and their regions, including the following:

1. Research in plant breeding, genetics, genomics, and other methods to improve crop characteristics, such as:
  - a. product, taste, quality, and appearance;
  - b. size-controlling rootstocks for perennial crops;
  - c. climate adaptation, environmental responses and tolerances;
  - d. nutrient management, including plant nutrient uptake efficiency;
  - e. pest and disease management, including resistance to pests and diseases resulting in reduced application management strategies; and
  - f. enhanced phytonutrient content.
2. Efforts to identify and address threats from pests and diseases, including
  - a. threats to specialty crop pollinators;
  - b. emerging and invasive species; and
  - c. a more effective understanding and utilization of existing natural enemy complexes.
3. Efforts
  - a. to improve production efficiency, handling and processing, productivity, competitiveness in trade, and profitability over the long term (including specialty crop policy and marketing); and
  - b. to achieve a better understanding of
    - i. the soil rhizosphere microbiome;
    - ii. pesticide application systems and certified drift-reduction technologies; and
    - iii. systems to improve and extend the storage life of specialty crops.
4. New innovations, data-driven predictive tools using Artificial Intelligence, and technology, including –
  - a. mechanization and automation of labor-intensive tasks in production and processing;
  - b. technologies that delay or inhibit ripening;
  - c. decision support systems driven by phenology and environmental factors;
  - d. improved monitoring systems for agricultural pests; and
  - e. effective systems for pre-harvest and postharvest management of quarantine pests.
5. Methods to prevent, detect, monitor, control, and respond to potential food safety hazards in the production and processing of specialty crops, including fresh produce.

NIFA will address all focus areas by funding projects that emphasize systems-based, trans-disciplinary approaches. In addition, for the purposes of this program, NIFA interprets new innovations and technology to include, among other things, automation, robotics, sensor technology, and precision agriculture for specialty crops. NIFA also recognizes the importance of specialty crops in enhancing human nutrition and health.

In an increasingly interconnected world, scientific advances have global importance, and may require information and cooperation from beyond our borders. To address critical United States specialty crop issues, priorities, or problems through the integration of research and extension

activities, applicants are encouraged to include international partnerships or engagement in proposals, as appropriate. Any proposed activity (e.g., partnerships, exchanges, training, and/or travel), must support the domestic objectives of SCRI. Applicants must clearly describe and demonstrate how international activities proposed in applications submitted to SCRI will contribute to advances in U.S. specialty crop industries. When proposing international activities, applicants must describe the metrics that will be used for reporting beneficial outputs and outcomes. These metrics should reflect how the proposed international collaboration adds value to achieving the SCRI program's objectives by introducing innovative technologies/approaches, promoting synergistic science, addressing issues of mutual concern, or other means. Additional guidance on including international activities in SCRI applications is provided on the [Center for International Programs](#) webpage that includes Frequently Asked Questions, descriptions of existing MOUs, and other resources to assist applicants interested in enhancing the potential for global engagement.

The intent of this program is not to fund start-up businesses; however, a small business may apply. Projects must address only scientific research and extension activities. A small business must not propose technical assistance, demonstration projects, classified research, or financial assistance to start, create, or expand a company or submit patent applications.

The SCRI program is aligned with the following [USDA Strategic Goals](#):

1. Strategic Goal 1: Ensure USDA Programs Are Delivered Efficiently, Effectively, With Integrity and a Focus on Customer Service;
2. Strategic Goal 2: Maximize the Ability of American Agricultural Producers to Prosper by Feeding and Clothing the World;
3. Strategic Goal 4: Facilitate Rural Prosperity and Economic Development;
4. Strategic Goal 5: Strengthen the Stewardship of Private Lands Through Technology and Research.

In addition, the program focus areas align with [USDA Science Blueprint](#) goals of sustainable agricultural intensification, agricultural climate adaption, and food and nutritional translation. In addition, it emphasizes research and innovation themes of the USDA's [Agriculture Innovation Agenda](#). By emphasizing the use of biotechnology approaches, automation, artificial intelligence and other data-driven approaches, this RFA also addresses OSTP's priority to advance [Industries of the Future](#), including AI and biotechnology. SCRI fulfills 5(a) of the United State Trade Representative's joint plan with the U.S. Department of Commerce and USDA entitled ***Plan to Support American Producers of Seasonal and Perishable Fruits and Vegetables***, as published in the September 2020 [Report on Seasonal and Perishable Products in U.S. Commerce](#), as SCRI expands research opportunities for seasonal and perishable products, as well as supports projects intended to increase the competitiveness of seasonal produce through new innovations and technology.

## PART II. AWARD INFORMATION

### A. Available Funding

The anticipated amount available for support of this program in FY 2021 is approximately \$80,000,000. This RFA is being released prior to the passage of an appropriations act for FY 2021. Enactment of additional continuing resolutions or an appropriations act may affect the availability or level of funding for this program. The **SCRI** Pre-Application process does **not** result in award recommendations. However, an estimate of project costs is required. **Applicants must use** the information in Part II § B of this RFPA to develop the estimate.

### B. Project Types

The SCRI program offers three project types in FY 2021. Applicants should decide which project type is best suited to the objectives of their research and extension project and develop a preliminary budget that fits the objectives. Applicants are discouraged from developing a project (and selecting a project type) based on a budget request target. The three SCRI project types include:

1. *Standard Research and Extension Projects (SREPs)*
  - a. Project Period – Up to four years.
  - b. Budget – Normally, Federal funds will not exceed \$1,000,000 per year. Requests less than \$250,000 per project are discouraged.
  - c. Purpose – To support targeted problem-solving efforts that would not qualify in scope for support as a Coordinated Agricultural Project (CAP).
  - d. Statistical Analysis of previous funding (FY 2008-2020). It is anticipated that the total multi-year funding for most funded SREP awards for FY2021 will be close to the historical median:
    - i. Mean award: \$2,268,961
    - ii. Median award: \$1,911,861
    - iii. Minimum award: \$226,905
    - iv. Maximum award: \$6,010,232

SREP awards will support targeted problem-solving efforts that contribute to the overall sustainability of a primary system or one of its components (see Figure I), and that would not otherwise qualify in scope and effort for support as a CAP. Applications should bring together both research and extension components of the agricultural knowledge system around a problem area or activity. For each SREP award, there is an expectation that an advisory panel will be formed to inform the project throughout its life, including the identification and prioritization of research and extension objectives. SREPs represent the “focused science and application studies” portion of Figure 1.

2. *Coordinated Agricultural Projects (CAPs)*
  - a. Project Period – Up to four years.
  - b. Budget – Normally, Federal funds will not exceed \$2,000,000 per year.
  - c. Purpose – To address specific multiple components of a primary system or multiple components of areas where primary systems overlap (see Figure 1).
  - d. Statistical analysis of previous funding (FY 2008-2020). It is anticipated that the total multi-year funding for most funded CAP awards for FY 2021 will be close

to the historical median.

- i. Mean award: \$5,578,284
- ii. Median award: \$5,661,050
- iii. Minimum award: \$1,912,178
- iv. Maximum award: \$10,898,772

CAPs will be awarded to consortia or groups of qualified applicants to address multiple components of a primary system, an entire primary system or problems that cut across primary systems, with the expectation that the project will make significant contributions to the sustainability of the system or system component (see Figure 1). CAP applications are expected to demonstrate coherent and complementary integrated activities with the ultimate goal of developing a strategy or solution that could be implemented for specialty crops. Applications are expected to take advantage of recent advances in biological, physical, and social and economic sciences and to translate basic discoveries and knowledge to practical applications. Applications are expected to demonstrate the potential to develop a national strategy or solution as an ultimate goal. This would include the intent to promote collaboration, open communication, the exchange of information and development of resources that accelerate the application of scientific discovery and technology to address the needs of various specialty crop industries. Such a national CAP should aim to reduce duplication of efforts and integrate activities among individuals, institutions, states, and regions.

### 3. *Research and Extension Planning Projects*

- a. Project period – One year.
- b. Budget – Federal funds up to \$50,000 per project.
- c. Purpose – To provide assistance to applicants in the development of quality future SREP or CAP proposals (grant planning). Funds may also be requested to provide assistance to consumer, producer, or industry groups for developing strategic research and extension plans—including goals, objectives, priorities, etc. (strategic planning). The expectation is that developed plans could provide the relevance bases for future SCRI grant applications.
  - i. Research and Extension Planning Projects are intended to support two types of activities, either to:
    - 1. provide assistance to applicants in the development of quality future SREP or CAP proposals (grant planning) or
    - 2. provide assistance to consumer, producer, or industry groups for developing strategic research and extension plans—including goals, objectives, priorities, etc. (strategic planning).

The expectation is that developed “plans” could provide the relevance bases for future SCRI grant applications.

- ii. Priority will be given to applicants who can:
  - 1. demonstrate limited resources for either submitting large grant applications or for supporting strategic planning activities on their own,

2. articulate benefits to be accrued from formal planning activities, and
3. provide evidence of a high likelihood that quality future applications would be submitted for SCRI projects (desired for grant planning) or would result in a publicly available strategic plan, which could be used to support a variety of industry-relevant research and extension activities, including development of one or more future SCRI grant applications (desired for strategic planning).

Research and Extension Planning Project grants do not support preliminary research. However, support for stakeholder survey activities may be requested, where appropriate and necessary.

### **C. Ethical Conduct of Funded Projects**

In accordance with sections [2, 3, and 8 of 2 CFR Part 422](#), institutions that conduct USDA-funded extramural research must foster an atmosphere conducive to research integrity, bear primary responsibility for prevention and detection of research misconduct, and maintain and effectively communicate and train their staff regarding policies and procedures. In the event an application to NIFA results in an award, the Authorized Representative (AR) assures, through acceptance of the award that the institution will comply with the above requirements. Award recipients must, upon request, make available to NIFA the policies, procedures, and documentation to support the conduct of the training. See [Responsible and Ethical Conduct of Research](#) for further information.

## **PART III. ELIGIBILITY INFORMATION**

### **A. Eligible Applicants**

Pre-applications may only be submitted by Federal agencies, national laboratories, colleges and universities, research institutions and organizations, private organizations or corporations, State Agricultural Experiment Stations, individuals, or groups consisting of two or more of these entities.

For those new to Federal financial assistance, a [grants overview page](#) is available on the NIFA website. This page includes information about free Grants 101 Training and other resources that are highly recommended for those seeking an understanding of Federal awards.

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

~~Section 7614 of the Agricultural Improvement Act of 2018 repealed Subtitle P of the National Agricultural Research, Extension, and Teaching Policy Act of 1977 (7 U.S.C. 3371) and made several conforming amendments, including adding a new paragraph to Section 412(g) of the Agricultural Research, Extension, and Education Reform Act of 1998 (7 U.S.C. 7632(g)) that added a matching requirement to SCRI.~~

~~For grants awarded on or after December 20, 2018, the recipient of an award from the SCRI program must provide funds, in kind contributions, or a combination of both, from sources other than funds provided through such grant in an amount that is at least equal to the amount awarded by NIFA. Matching funds may include, but are not limited to, funds from an agricultural commodity promotion, research, and information program.~~

The matching requirement for SCRI awards has been waived for FY 2021 using authority granted by The Consolidated Appropriations Act, 2021 (P.L. 116-260, General Provision 752), which states: “The Secretary of Agriculture may waive the matching funds requirement under Section 412(g) of the Agricultural Research, Extension, and Education Reform Act of 1998 (7 U.S.C. 7632(g)).” This means that no matching funds will be required of FY 2021 applicants or awardees, and applicants will not need to submit a waiver request with their application.

### **C. Centers of Excellence**

Centers of Excellence cannot be requested in the pre-application phase.

**PART IV. APPLICATION AND SUBMISSION**

**A. Method of Application**

Applicants must apply to this RFPA electronically; no other method or response is accepted. The electronic application for this RFPA and additional resources are available on [Grants.gov](http://Grants.gov) and [Grants 101](#). **Table 2** provides instructions on how to obtain an electronic application. **Part II § 1** of the [NIFA Grants.gov Application Guide](#) (Application Guide) contains detailed information regarding the [Grants.gov](http://Grants.gov) registration process.

**Table 2.** Steps to Obtain Application Materials

Steps	Action
Step One: Register	<i>New Users</i> to <a href="http://Grants.gov">Grants.gov</a> must register early with <a href="http://Grants.gov">Grants.gov</a> prior to submitting an application ( <a href="#">Register Here</a> ).
Step Two: Download Adobe	Download and Install <a href="#">Adobe Reader</a> (see <a href="#">Adobe Software Compatibility</a> for basic system requirements)
Step Three: Find Application	Using this Funding Opportunity Number <b>USDA-NIFA-SCRI-007952</b> search for application here: <a href="#">Opportunity Package</a> .
Step Four: Assess Readiness	Contact an AR prior to starting an application to assess the organization’s readiness to submit an electronic application.

**Table 3.** Help and Resources

Grants.gov Support	NIFA Support
<p><a href="#">Grants.gov Online Support</a>                      Telephone support: 800-518-4726 Toll-Free or 606-545-5035                      Email support: <a href="mailto:support@grants.gov">support@grants.gov</a>                      Self-service customer based support: <a href="#">Grants.gov iPortal</a></p> <p><i>Key Information: Customer service business Hours 24/7, except <a href="#">federal holidays</a>.</i></p>	<p><i>Key Information: Business hours: Monday thru Friday, 7a.m. – 5p.m. ET, except <a href="#">federal holidays</a></i></p>

*If you have trouble submitting a pre-application to Grants.gov, you should FIRST contact the Grants.gov Help Desk to resolve any problems. Keep a record of any such correspondence. See [Part IV. A.](#) for Grants.gov contact information.*

## B. Content and Form of the Pre-Application

The [Application Guide](#) is part of the corresponding application package for this RFPA. The RFPA overrides the [Application Guide](#) if there is a discrepancy between the two documents. NIFA will accept subsequent submissions to an application until the application deadline. However, applicants that do not meet the application requirements, to include partial applications, risk being excluded from NIFA’s review. NIFA will assign a proposal number to all applications that meet the requirements of this RFPA. Applicants must refer to the proposal number when corresponding with NIFA. **Table 4** outlines other key instructions for applicants.

**Table 4.** Key Application Instructions

<b>Instruction</b>	<b>References</b> (All references are to the <a href="#">Application Guide</a> )
All attachments must be in a portable document format (PDF) format.	<b>Part III § 3</b>
Check the manifest of submitted files to verify attachments are in the correct format.	<b>Part III § 6.1</b>
Conduct an administrative review of the application before submission.	<b>Part VII and</b>
Follow the submission instructions.	<b>Part IV § 1.5</b>
Provide an accurate email address, where designated, on the SF-424 R&R.	<b>Part IV § 1.5</b>
Contact the <a href="#">Grants.gov</a> helpdesk for technical support, and keep a record of the correspondence.	
Contact NIFA if applicant does not received correspondence from NIFA regarding an application within <b>10</b> days of the application deadline.	

Stakeholder Relevance Statements (SRSs) are required for all SCRI project types.

### *Content of Stakeholder Relevance Statement for Research and Extension Planning Projects*

1. Title of Project;
2. Type of planning activity to be undertaken (i.e. grant planning or strategic planning);
3. Estimated amount of funding to be requested;
4. Name, professional title, affiliation and email address of the project director;
5. Name, professional title and affiliation of all known collaborators, including industry stakeholders;
6. Brief description of the stakeholder problem being addressed;
7. Brief description of relevant expertise represented by project team;
8. Description of the planning activities to be undertaken and the expected outcomes of the planning process;
9. Brief description of the benefits to growers/processors/consumers and how that benefit will be documented and evaluated; and
10. Letters of collaboration from all known industry stakeholders

SRSs for Planning Projects cannot exceed four pages in length, exclusive of the letters of collaboration. Pages must be formatted with margins of at least 1 inch on all sides. Text must be 12 point or larger and must be left justified. Detailed budgets and budget narratives ARE NOT required in the SRS.

***Content of the Stakeholder Relevance Statement for SREP and CAP Projects***

1. Title of the project;
2. Type of project to be submitted (i.e. SREP, CAP);
3. Estimated amount of funding to be requested;
4. Economic/environmental/social significance of the problem being addressed;
5. Potential economic/environmental/social benefit to solving the problem being addressed;
6. How stakeholders were engaged in defining the problem being addressed and determining project objectives;
7. How stakeholders will continue to be engaged in project development and evaluation;
8. How information developed during project will be translated into actionable recommendations or products and delivered to end-users;
9. Experience of PD and up to 6 key co-investigators in working with the specific stakeholder community and in dealing with the problem identified (a bio of up to 200 words can be included for each); more co-investigators are permitted and may be listed in the full application.
10. List of project objectives with corresponding hypotheses to be tested. [Please note: Because the scientific merit review panel that examines subsequent full applications will help verify that the pre-application and full-application projects are essentially identical, the list of project objectives identified here must carry forward to a full application and the estimated budget in “c” above should be commensurate with those objectives.];
11. Outline of methodology to be used to achieve project objectives (NB: the list of objectives and the methodology outline, combined, should consume no more than one page);
12. Logic model chart; and
13. Letters of support and collaboration from industry stakeholders

The SRS cannot exceed seven pages in length, exclusive of industry letters of collaboration and support. The SRS must be formatted with margins no less than 1 inch on all sides. Text must be 12 point or larger and must be left justified. Detailed budgets and budget narratives ARE NOT required in the SRS.

***SF 424 R&R Cover Sheet. See Part V § 2 and Part V § 2.17 of the [Application Guide](#) for the required certifications and assurances.*** The following are additional instructions:

- a. **Field 1. Type of Submission.** Click the “Pre-application” box.
- b. **Field 15. Enter Estimated Project Funding.** Enter the estimated amount of funding to be requested.
- c. **Field 20. Pre-application.** Click on “Add Attachment” to attach the Stakeholder Relevance Statement.

*SF 424 R&R Project/Performance Site Location(s)*. See **Part V § 3** of the [Application Guide](#).  
*Supplemental Information Form*. See **Part VI § 1** of the [Application Guide](#).

1. **Field 2**. Enter the program code name (i.e., enter “Specialty Crop Research Initiative”) and the program code (i.e., enter “SCRI”). Note that accurate entry of the program code is very important for proper and timely processing of an application.

2. **Field 8. Conflict of Interest List**. See **Part VI § 1.8** of the [Application Guide](#).

## **B. Funding Restrictions**

Section 1462(a) and (c) of the National Agricultural Research, Extension, and Teaching Policy Act of 1977 (NARETPA) limits indirect costs for the overall award to **30 percent** of Total Federal Funds Awarded (TFFA) under a research, education, or extension grant. The maximum indirect cost rate allowed under the award is determined by calculating the amount of indirect costs using:

- 1) the sum of an institution’s negotiated indirect cost rate and the indirect cost rate charged by sub-awardees, if any; or
- 2) 30 percent of TFFA (TFFA = Field K., Total Costs and Fee, on SF-424 R&R Budget). The maximum allowable indirect cost rate under the award, including the indirect costs charged by the sub-awardee(s), if any, is the lesser of the two rates.

If the results of 1), is the lesser of the two, the grant recipient is allowed to charge the negotiated indirect cost rate on the prime award and the sub-award(s), if any. Any sub-awards would be subject to the sub-awardee’s negotiated indirect cost rate. The sub-awardee may charge its negotiated indirect cost rate on its portion of the award, provided the sum of the indirect cost rate charged under the award by the prime awardee and the sub-awardee(s) does not exceed 30 percent of the TFFA.

If the result of 2), is the lesser of the two, then the maximum indirect cost rate allowed for the overall award, including any sub-award(s), is limited to 30 percent of the TFFA. That is, the indirect costs of the prime awardee plus the sum of the indirect costs charged by the sub-awardee(s), if any, may not exceed 30 percent of the TFFA.

In the event of an award, the prime awardee is responsible for ensuring the maximum indirect cost allowed for the award is not exceeded when combining indirect costs for the Federal portion (i.e., prime and sub-awardee(s)) and any applicable cost-sharing (see 7 CFR 3430.52(b)). Amounts exceeding the maximum allowable indirect cost is considered unallowable. See sections 408 and 410 of 2 CFR 200.

## **PART V. APPLICATION REVIEW REQUIREMENTS**

### **A. NIFA's Evaluation Process**

SCRI has instituted a two-phase review process. The first phase of the review process is the Industry Relevance Review. Each Pre-Application containing a Stakeholder Relevance Statement (SRS) will be evaluated in a two-part process. First, each SRS will be screened to ensure that it meets the administrative requirements as set forth in this RFP. Administrative requirements include: meeting the application deadline; meeting eligibility requirements; satisfying program intent; inclusion of all required sections of the SRS package; and adherence to guidelines. Based on the crop proposed, an SRS that meets these requirements will be evaluated for relevance by a panel of industry reviewers representing closely allied crops. The panel will decide which applications to invite for submission of a full application. Invited applicants will be sent instructions on how to access the full RFA via email once the relevance review is completed. NIFA will send copies of reviews, not including the identity of reviewers, and a summary of the panel comments to the PD after the review process has been completed.

NIFA selects reviewers for the SCRI relevance review based upon the crops and/or issues represented by the pre-applications. Industry reviewers will be selected from persons directly involved in the growing, handling and processing of specialty crops; or persons representing those interests through trade organizations or other professional associations.

**Conflicts of interest.** NIFA takes extreme care to prevent any actual or perceived conflicts of interest that may influence the review or evaluation (see [NIFA Peer Review Process for Competitive Grant Applications](#)).

### **B. Evaluation Criteria**

The evaluation criteria herein, with relative weights in parentheses, will be used to review pre-applications submitted in response to this RFP.

#### ***Criteria for Industry Relevance Review for Planning Projects***

1. The problem being addressed is significant at a national or regional level. (25 points)
2. The project will result in a partnership between a specialty crop sector and a scientific community. (25 points)
3. The project fully integrates research and extension. (20 points)
4. The project will result in a systems approach to insuring the sustainability of the targeted specialty crop sector. (15 points)
5. The project team represents a trans-disciplinary approach to problem solving. (15 points)

#### ***Criteria for Industry Relevance Review for SREP and CAP Projects***

1. The issues/challenges addressed are relevant on a state, regional or national scale. (20 points)
2. The described research and extension approach will result in impacts/outcomes that are important to the target stakeholders. (25 points)
3. Stakeholders involved in identifying and developing project goals and objectives. (15 points)
4. Information developed by the project team will be delivered to stakeholders in ways that allow them to implement new and/or improved practices. (20 points)
5. Plans are in place for stakeholders to remain actively engaged in project activities.

(10 points)

6. Stakeholders will be involved in program evaluation. (5 points)
7. Project team has at least some members who have worked with the target stakeholders in the past and have experience with the described research and extension approach. (5 points)

**C. Center of Excellence**

Pre-applications to SCRI cannot request Center of Excellence designation.

## APPENDIX I: AGENCY CONTACTS

### Programmatic Contact

Name	Email	Telephone	Fax
Tom Bewick	<a href="mailto:tbewick@usda.gov">tbewick@usda.gov</a>	202-913-3052	N/A
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### Administrative Contact

Name	Email	Telephone	Fax
Awards Management Division (AMD) Administrative Contacts Email	<a href="mailto:SM.AMDAdministrativeContacts@usda.gov">SM.AMDAdministrativeContacts@usda.gov</a>	N/A	N/A

**NIFA's Mailing Address:**

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 U.S. Department of Agriculture  
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 Mail Stop 10000 (ten thousand)  
 Kansas City, MO 64131

## APPENDIX II: GLOSSARY OF TERMS

Name	Acronyms
Authorized Representative	AR
Agricultural Research, Extension, and Education reform Act of 1998	AREERA
Assistance Listing [formerly known as CFDA]	AL
Coordinated Agricultural Project	CAP
Catalog of Federal Domestic Assistance	CFDA
Center of Excellence	COE
Data Management Plan	DMP
National Institute of Food and Agriculture	NIFA
Request for Pre-application	RFPA
Research, Education, and Economics	REE
Specialty Crop Research Initiative	SCRI
Standard Research and Extensions Project	SREP
Stakeholder Relevance Statement	SRS
United States Department of Agriculture	USDA

### APPENDIX III: DEFINITIONS

Refer to 7 CFR 3430 [Competitive and Noncompetitive Non-formula Federal Assistance Programs – General Award Administrative Provisions](#) for additional definitions.

Terms	Definitions
Director	The Director of the National Institute of Food and Agriculture (NIFA) and any other officer or employee of NIFA to whom the authority involved is delegated.
Matching	The process through which a grant recipient match awarded USDA funds with cash and in-kind contributions on a dollar-for-dollar basis. The matching funds must derive from non-Federal sources.
Multifunctional Research and Extension Activities	Are research whose results are communicated via extension activities to stakeholders and the public in a coordinated manner during the life of a single project.
New Application	An application not previously submitted to a program.
Renewal Application	A project application that seeks additional funding for a project beyond the period that was approved in an original or amended award.
Resubmitted Application	A project application that was previously submitted to a program, but the application was not funded.
Resubmitted Renewal Application	A project application that requests additional funding for a project beyond the period that was approved in the original award. This is an application that had previously been submitted for renewal to but not funded.
Partnership	Requires that all participants have a substantial involvement in the project throughout the life of the project. If a partnership between multiple entities is proposed, the proposal should clearly identify the following: <ol style="list-style-type: none"> <li>1. A narrative of each entity's clearly established role in the project;</li> <li>2. How each entity involved as a partner on the project will contribute to execution of project objectives, determination of experimental design, development of the project work plan and time table, and submission of collaborative, timely reports; and</li> <li>3. A comprehensive project budget that reflects each entity's financial or in-kind contribution to the total project budget costs.</li> </ol>
Primary System	One of the three main sectors of the specialty crop industry: the production system; the processing and distribution system; and the consumer and marketing system.

Project Director	“PD” means the single individual designated by the grantee in the grant application, who is responsible for the direction and management of the project and who is approved by the Authorized Departmental Officer. By extension of this definition, then, all project personnel listed as Co-PDs on an application are assumed to be approved by the grantee institution as ready and able to fulfill the role of PD in the event that the PD can no longer serve in that capacity. All other project personnel should be identified as co-principal investigators or key personnel.
Specialty Crop	Fruits and vegetables, tree nuts, dried fruits, and horticulture and nursery crops (including floriculture).
Systems Approach	Any process of estimating or inferring how local policies, actions, or changes influence the state of the neighboring universe. It is a framework that is based on the belief that the component parts of a system can best be understood in the context of relationships with each other and with other systems, rather than in isolation.
Trans-disciplinary	A multi-discipline approach that brings biological and physical scientists together with economists and social scientists to address challenges in a holistic manner.