

**DEPARTMENT OF AGRICULTURE****Cooperative State Research,  
Education, and Extension Service****Applications for FY 2002 National  
Research Initiative Competitive Grants  
Program**

**AGENCY:** Cooperative State Research, Education, and Extension Service, USDA.

**ACTION:** Notice of the Availability of the Solicitation for Applications for the Fiscal Year (FY) 2002 National Research Initiative Competitive Grants Program, and Request for Stakeholder Input.

**SUMMARY:** This notice announces the availability of the FY 2002 solicitation for applications which is titled the "NRI Program Description and Guidelines for Proposal Preparation" for the National Research Initiative (NRI) Competitive Grants Program administered by the Competitive Research Grants and Awards Management Division, Cooperative State Research, Education, and Extension Service (CSREES). The solicitation invites applications for competitive grant awards in agricultural, forest, and related environmental sciences for FY 2002.

By this notice, CSREES also requests stakeholder input regarding the FY 2002 NRI program solicitation from any interested party. These comments will be considered in the development of the next solicitation for this program.

**DATES:** Proposals must be postmarked on or before the dates provided in the table at the end of this notice.

Comments regarding this solicitation are invited for six months from the issuance of this notice. Comments received after that date will be considered to the extent practicable.

**ADDRESSES:** The address for hand-delivered proposals or proposals submitted using an express mail or overnight courier service is: NRI; c/o Proposal Services Unit; Cooperative State Research, Education, and Extension Service; U.S. Department of Agriculture; Room 1307, Waterfront Centre; 800 9th Street, SW.; Washington, DC 20024; telephone: 202-205-0241.

Proposals sent via the U.S. Postal Service must be sent to the following address: NRI; 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.

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@reeusda.gov](mailto:RFP-OEP@reeusda.gov). (This e-mail address is intended only for receiving comments regarding this solicitation and not for requesting information or forms.) In your comments, please state that you are responding to the FY 2002 NRICGP solicitation for applications.

**FOR FURTHER INFORMATION CONTACT:** USDA/CSREES/NRI; Stop 2241; 1400 Independence Avenue, SW.; Washington, DC 20250-2241. Phone: (202) 401-5022. E-mail: [nricgp@reeusda.gov](mailto:nricgp@reeusda.gov).

**SUPPLEMENTARY INFORMATION:**

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CSREES is requesting comments regarding the FY 2002 NRI solicitation for applications from any interested party. In your comments, please include the name of the program and the fiscal year solicitation for applications to which you are responding. These comments will be considered in the development of the next solicitation for applications for the program. Such comments will be used in meeting the requirements of section 103(c)(2) of the Agricultural Research, Extension, and Education Reform Act of 1998, 7 U.S.C. 7613(c). Comments should be submitted as provided in the "Addresses" and "Dates" portions of this notice.

**Catalog of Federal Domestic Assistance**

The Catalog of Federal Domestic Assistance number for this program is 10.206.

**Authority and Applicable Regulations**

The authority for this program is contained in 7 U.S.C. 450i(b). Under this program, subject to the availability of funds, the Secretary may award competitive research grants, for periods not to exceed five years, for the support of research projects to further the programs of the United States Department of Agriculture (USDA).

Regulations applicable to this program include the following: (a) the

regulations governing the NRI, 7 CFR part 3411, which set forth procedures to be followed when submitting grant proposals, rules governing the evaluation of proposals and the awarding of grants, and regulations relating to the post-award administration of grant projects; (b) the USDA Uniform Administrative Requirements for Grants and Agreements with Institutions of Higher Education, Hospitals, and Other Non-Profit Organizations, 7 CFR part 3019; (c) the USDA Uniform Federal Assistance Regulations, 7 CFR part 3015; (d) the USDA Uniform Administrative Requirements for Grants and Cooperative Agreements to State and Local Governments, 7 CFR part 3016; and (e) 7 U.S.C. 3103(17), which defines "sustainable agriculture."

**Conflicts of Interest**

For the purpose of determining conflicts of interest in accordance with 7 CFR 3411.12, the academic and administrative autonomy of an institution shall be determined by reference to the *2001 Higher Education Directory*, published by Higher Education Publications, Inc., 6400 Arlington Boulevard, Suite 648, Falls Church, Virginia 22042. Phone: (703) 532-2305. The internet address is: <http://www.hepinc.com/>.

**Project Types and Eligibility Requirements**

The FY 2002 NRI program solicitation solicits proposals for the following types of projects:

*I. Conventional Projects*

(a) Standard Research Grants: Research will be supported that is fundamental or mission-linked, and that is conducted by individual investigators, co-investigators within the same discipline, or multidisciplinary teams. Any State agricultural experiment station, college, university, other research institution or organization, Federal agency, national laboratory, private organization, corporation, or individual may apply. Proposals submitted by non-United States organizations will not be considered for support.

(b) Conferences: Scientific meetings that bring together scientists to identify research needs, update information, or advance an area of research are recognized as integral parts of research efforts. Any State agricultural experiment station, college, university, other research institution or organization, Federal agency, national laboratory, private organization, corporation, or individual is an eligible

applicant in this area. Proposals submitted by non-United States organizations will not be considered for support.

## II. Agricultural Research Enhancement Awards

To contribute to the enhancement of research capabilities in the research program areas described herein, the FY 2002 NRI program solicitation solicits applications for Agricultural Research Enhancement Awards. Such applications may be submitted by any State agricultural experiment station, college, university, other research institution or organization, Federal agency, national laboratory, private organization, corporation, or individual; however, further eligibility requirements are defined in 7 CFR 3411.3 and restated in the FY 2002 NRI program solicitation. Applications submitted by non-United States organizations will not be considered for support. However, United States citizens applying as individuals for Postdoctoral Fellowships may perform all or part of the proposed work at a non-United States organization. Agricultural Research Enhancement Awards are available in the following categories:

- (a) Postdoctoral Fellowships.
  - (b) New Investigator Awards.
  - (c) Strengthening Awards: Institutions in USDA Experimental Program for Stimulating Competitive Research (EPSCoR) entities are eligible for strengthening awards. 7 CFR 3411.2(o) sets forth how EPSCoR entities are determined. For FY 2002, USDA EPSCoR states consist of the following:
    - Alaska
    - Arkansas
    - Connecticut
    - Delaware
    - Hawaii
    - Idaho
    - Kentucky
    - Maine
    - Mississippi
    - Montana
    - Nevada
    - New Hampshire
    - New Mexico
    - North Dakota
    - Rhode Island
    - South Carolina
    - South Dakota
    - Vermont
    - West Virginia
    - Wyoming
- For FY 2002, other USDA-EPSCoR entities consist of the following:
- American Samoa
  - District of Columbia
  - Guam
  - Micronesia

Northern Marianas  
Puerto Rico  
Virgin Islands

Investigators at small and mid-sized institutions (total enrollment of 15,000 or less) may also be eligible for Strengthening Awards. An institution in this instance is an organization that possesses a significant degree of autonomy. Significant degree of autonomy is defined by being independently accredited as determined by reference to the 2001 *Higher Education Directory*.

Institutions which are among the most successful universities and colleges for receiving Federal funds for science and engineering research, except those in USDA EPSCoR entities, are ineligible for strengthening awards. The most successful universities and colleges for receiving these funds, excluding those in USDA EPSCoR entities, are as follows:

Baylor College of Medicine  
Boston University  
California Institute of Technology  
Carnegie-Mellon University  
Case Western Reserve University  
Colorado State University  
Columbia University  
Cornell University  
CUNY Mount Sinai School of Medicine  
Duke University  
Emory University  
Florida State University  
Georgia Institute of Technology  
Harvard University  
Indiana University Purdue University at Indianapolis  
Iowa State University  
Johns Hopkins University  
Massachusetts Institute of Technology  
Medical College of Wisconsin  
Michigan State University  
New York University  
North Carolina State University  
Northwestern University  
Ohio State University  
Oregon Health Sciences University  
Oregon State University  
Pennsylvania State University  
Princeton University  
Purdue University  
Rockefeller University  
Rutgers, The State University of New Jersey  
Scripps Research Institute  
Stanford University  
State University of New York at Stony Brook  
Thomas Jefferson University  
Tufts University  
University Corporation for Atmospheric Research  
University of Alabama Birmingham  
University of Arizona  
University of California Berkeley

University of California Davis  
University of California Irvine  
University of California Los Angeles  
University of California San Diego  
University of California San Francisco  
University of California Santa Barbara  
University of Chicago  
University of Cincinnati  
University of Colorado Boulder  
University of Colorado Health Sciences Center  
University of Florida  
University of Georgia  
University of Illinois Urbana-Champaign  
University of Illinois Chicago  
University of Iowa  
University of Maryland Baltimore Prof Sch  
University of Maryland College Park  
University of Massachusetts Amherst  
University of Massachusetts Medical School Worcester  
University of Medicine and Dentistry of New Jersey  
University of Miami  
University of Michigan Ann Arbor  
University of Minnesota Twin Cities  
University of Missouri Columbia  
University of North Carolina Chapel Hill  
University of Pennsylvania  
University of Pittsburgh  
University of Rochester  
University of Southern California  
University of Texas at Austin  
University of Texas Health Science Center Houston  
University of Texas Health Science Center San Antonio  
University of Texas MD Anderson Cancer Center  
University of Texas Medical Branch Galveston  
University of Texas SW Medical Center Dallas  
University of Utah  
University of Virginia  
University of Washington  
University of Wisconsin Madison  
Vanderbilt University  
Virginia Polytechnic Institute and State University  
Virginia Commonwealth University  
Wake Forest University  
Washington University  
Wayne State University  
Woods Hole Oceanographic Institute  
Yeshiva University, New York  
See 7 CFR 3411.3 and the FY 2002 NRI program solicitation for complete details on programs and eligibility.

## Funding Categories for FY 2002

The FY 2002 NRI program solicitation solicits proposals, subject to the availability of funds, for support of high priority research of importance to agriculture, forestry, and related

environmental sciences, in the following research categories (*ANTICIPATED* FY 2002 (FY02) funding and *ACTUAL* FY 2001 (FY01) funding, rounded to the \$0.1M, follows in parentheses):

- Natural Resources and the Environment (FY02: \$16.3M, FY01: \$16.3M)
- Nutrition, Food Quality, and Health (FY02: \$16.7M, FY01: \$16.7M)
- Plant Systems (FY02: \$32.3M, FY01: \$32.3M)
- Animal Systems (FY02: \$22.9M, FY01: \$22.9M)
- Markets, Trade, and Policy (FY02: \$3.6M, FY01: \$3.6M)
- New Products and Processes (FY02: \$6.5M, FY01: \$6.5M)

Support for research opportunities listed below may be derived from one or more of the above funding categories based on the nature of the scientific topic to be supported. In addition, the funds described above may be used to fund proposals submitted to supplementary NRI Program Descriptions and/or solicitations for multiagency programs in which the NRI is participating.

Pursuant to 7 U.S.C. 450i(b)(10), no less than 10 percent (FY02: \$9.8M, FY01: \$9.8M) of the available funds listed above will be made available for Agricultural Research Enhancement Awards (excluding New Investigator Awards), and no more than 2 percent (FY02: \$1.9M, FY01: \$1.9M) of the available funds listed above will be made available for equipment grants. Further, no less than 30 percent (FY02: \$29.5M, FY01: \$29.5M) of the funds listed above shall be made available for grants for research to be conducted by multidisciplinary teams, and no less than 40 percent (FY02: \$39.4M, FY01: \$39.4M) of the funds listed above shall be made available for grants for mission-linked systems research.

CSREES is prohibited from paying indirect costs exceeding 19 per centum of the total Federal funds provided under each award on competitively awarded research grants (7 U.S.C. 3310). An alternative method of calculation of this limitation is to multiply total direct costs by 23.456 percent.

#### Strategic Issues

The NRI includes a broad portfolio of programs that address critical agricultural research needs. The NRI has now also identified two *strategic issues* where a robust investment in science will accelerate the generation of critically needed agricultural solutions. The issues are: *Agricultural Security and Safety Through Functional Genomics* and *New and Re-Emerging*

*Disease and Pest Threats*. It is anticipated that up to \$25 million (from the six funding categories) will be available for awards in FY 2002 for each of these issues, contingent upon the quality of the proposals received and the availability of funds. Both of these high priority issues cut across research programs in the NRI divisions and are directly applicable to a broad agricultural and consumer spectrum. Expectations are that these strategic issues will exist within the NRI for a minimum of 3–5 years. Clearly there are more than two strategic issues warranting increased emphasis, and which are currently supported by individual NRI programs. Dependent on future funding, additional strategic issues may be possible in future years.

Research proposed for these issues must be appropriate to one of the existing NRI programs listed under Research Opportunities. A separate peer review panel will not be assembled to review proposals addressing strategic issues. *Numerous NRI programs address various components of these issues.*

#### Research Opportunities

The funds appropriated as listed above will be used to support research grants in the following areas:

- Natural Resources and the Environment
  - Plant Responses to the Environment
  - Managed Ecosystems
  - Soils and Soil Biology
  - Watershed Processes and Water Resources
- Nutrition, Food Safety, and Health
  - Improving Human Nutrition for Optimal Health
  - Food Safety
  - Epidemiological Approaches for Food Safety
- Animals
  - Animal Reproduction
  - Animal Growth and Nutrient Utilization
  - Animal Genome and Genetic Mechanisms
  - Animal Health and Well-Being
- Biology and Management of Pests and Beneficial Organisms
  - Entomology and Nematology
  - Biologically Based Pest Management
  - Biology of Plant-Microbe Associations
  - Biology of Weedy and Invasive Plants
- Plants
  - Plant Genetic Mechanisms
  - Plant Growth and Development
  - Plant Biochemistry
- Markets, Trade, and Rural Development
  - Markets and Trade
  - Rural Development
- Enhancing Value and Use of
  - Agricultural and Forest Products
  - Value-Added Products Research
  - Food Characterization/Process/

Product Research  
Non-Food Characterization/Process/  
Product Research

#### Application Materials

This notice does not constitute the FY 2002 NRI program solicitation. Those wishing to apply for a grant under this program should obtain a copy of the FY 2002 NRI program solicitation, which is titled the "NRI Program Description and Guidelines for Proposal Preparation," and a copy of the CSREES "Application Forms". The NRI Program Description and Guidelines for Proposal Preparation and the CSREES "Application Forms" (May 2001) contain the information and materials necessary to prepare and submit a proposal and are available on the CSREES web site

([www.reeusda.gov](http://www.reeusda.gov)) under Funding Opportunities. CSREES encourages the use of these electronic documents. However, if necessary, paper copies of these application materials may be obtained by sending an e-mail with your name, complete mailing address (not e-mail address), phone number, and materials that you are requesting to [psb@reeusda.gov](mailto:psb@reeusda.gov). Materials will be mailed to you (not e-mailed) as quickly as possible. Alternatively, paper copies may be obtained by writing or calling the office indicated below.

Proposal Services Unit, Office of Extramural Programs, Cooperative State Research, Education, and Extension Service, U.S. Department of Agriculture, STOP 2245, 1400 Independence Ave., S.W., Washington, DC. 20250–2245, Telephone: (202) 401–5048.

#### Electronic Subscription to NRI Documents

The NRI has set up a mailserver which will notify subscribers when publications such as its Program Description or Abstracts of Funded Research are available electronically on the World Wide Web. Subscribers will not receive the document itself, but instead will receive an e-mail containing an announcement regarding the document's availability on the NRI home page.

To subscribe:

Send an e-mail message to:

[majordomo@reeusda.gov](mailto:majordomo@reeusda.gov). In the body of the message, include only the words: *subscribe nri-epubs*.

To unsubscribe:

Send an e-mail message to:

[majordomo@reeusda.gov](mailto:majordomo@reeusda.gov). In the body of the message, include only the words: *unsubscribe nri-epubs*.

Please note that this is not a forum. Messages, other than those related to subscription, cannot be posted to this address.

**NRI Deadline Dates**

The following fixed dates have been established for proposal submission deadlines within the NRI. To be considered for funding in any fiscal year, proposals must be transmitted by the date listed below (as indicated by

postmark or date on courier bill of lading). When the deadline date falls on a weekend or Federal holiday, transmission must be made by the following business day.

Programs offered in any fiscal year depend on availability of funds and

deadlines may be delayed due to unforeseen circumstances. Consult the pertinent NRI notice in the **Federal Register**, the NRI Program Description, or the NRI home page ([www.reeusda.gov/nri](http://www.reeusda.gov/nri)) for up-to-date information.

Postmarked dates	Program codes	Program areas
November 15	22.1	Plant Responses to the Environment
	23.1	Managed Ecosystems
	25.0	Soils and Soil Biology
	26.0	Watershed Processes and Water Resources
	31.0	Improving Human Nutrition for Optimal Health
December 15	51.9	Biology of Weedy and Invasive Plants
	52.2	Plant Genetic Mechanisms
	53.0	Plant Growth and Development
	61.0	Markets and Trade
	62.0	Rural Development
January 15	71.1	Food Characterization/Process/Product Research
	71.2	Non-Food Characterization/Process/Product Research
	32.0	Food Safety
	32.1	Epidemiological Approaches for Food Safety
	41.0	Animal Reproduction
February 15	44.0	Animal Health and Well-Being
	51.2	Entomology and Nematology
	51.7	Biological Control
	51.8	Biology of Plant-Microbe Associations
	42.0	Animal Growth and Nutrient Utilization
	43.0	Animal Genome and Genetic Mechanisms
	54.3	Plant Biochemistry

Done at Washington, D.C., this 9th day of August 2001.

**George E. Cooper,**

*Acting Administrator, Cooperative State Research, Education, and Extension Service.*

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