

***General Submission Guidelines for Research Grant Proposals***

The *AHPA Foundation for Education and Research on Botanicals* (the AHPA Foundation) exists to support education and research on medicinal, therapeutic, and health-promoting herbs. The Foundation supports projects that will serve to inform and promote best industry practices and sustain the future of botanicals and the herbal products industry for current and future generations of herbal products consumers.

**Executive Summary:** The AHPA Foundation requests proposals to award grants to eligible applicants in order to enhance and promote knowledge and understanding of herbs important to commerce in the United States. This document contains general information about the Foundation’s funding opportunities and is intended to guide applicants in the creation of successful grant proposal submissions.

**Program Objective:** The AHPA Foundation seeks to support a broad range of projects and efforts. Our objective in supporting botanical research and education is to empower and build the capacity and efficiency of stakeholders at all levels of the herbal products value chain, while sustaining the supply of botanicals for generations to come.

**Table of Contents**

---

**Part I: Background and Requirements**

1. Project types.....2  
2. Relevant deadlines.....2  
3. Research priorities.....2  
4. Who can apply.....2  
5. Evaluation criteria..... 2-3  
6. Definition of a project .....3-4  
7. Use of funds .....4-5

**Part II: Proposal Instructions and Outline .....5-8**

---

## **Part I: Background and Requirements**

---

### **1. PRIORITY PROJECT TYPES**

The AHPA Foundation identifies 3 general priority project types

1. **Type 1:** Research of any specific herb or botanical commodity with regard to harvest, collection, or general supply, as well as botanical supply chain factors or trends;
2. **Type 2:** Research regarding applied technologies and methods of analysis, and analytical results particularly of extracts;
3. **Type 3:** Projects designed to identify and disseminate key botanical industry information to stakeholders and consumers.

\* Though these 3 project types are considered priority funding areas, proposal submissions on a wide range of botanical and related research are welcome and will be considered. If you have an idea for a research or education proposal and are unsure of its appropriateness or have any questions regarding the AHPA Foundation grant program, please contact Holly Johnson at [hjohnson@ahpa.org](mailto:hjohnson@ahpa.org)

### **2. RELEVANT DEADLINES**

General project proposals are accepted on an ongoing basis with anticipated bi-annual proposal review. The AHPA Foundation will issue requests for proposals on specific topics that may include submission deadlines as described below.

### **3. SPECIAL TOPICS IN BOTANICAL RESEARCH**

Special areas, topics, or specific herbs or markets may be identified as focused funding priorities by the Foundation. In these cases, requests for proposals will be posted with detailed information on the topic and will include a submission deadline. Requests for proposals will be issued via AHPA press releases and housed on the AHPA website at <http://www.ahpa.org>.

### **4. WHO MAY APPLY?**

Academic institutions, nonprofit and nongovernmental organizations (NGOs), public agencies, and private sector stakeholders are invited to submit. Graduate student applicants should list their primary advisor as co-principal investigator on proposals. In the case of graduate research, it is expected that the graduate advisor will provide scientific/technical leadership and administrative and financial management of funded projects.

### **5. HOW ARE PROPOSALS EVALUATED?**

The AHPA Foundation Research Review Committee reviews all proposals and identifies competitive candidates for funding. The Research Review Committee then makes funding recommendations to the AHPA Foundation Board for final approval.

- Applicants should adhere strictly to the guidelines for proposal submissions, in the format described in Part II of this document.
- If the evaluation of the proposal is favorable, the applicant may be asked to submit further detail on objectives, expected outcomes, budget, etc. to be determined by the Research Review Committee.
- Proposals will be evaluated on the basis of merit, potential benefit to the community of practice, and whether the topic is deemed an area of priority. Awards will be contingent upon availability of funds.
- Project outcomes must focus on research or other outputs that will be of benefit to the herbal products industry and its stakeholders.
- The project's central purpose should be 1) research with an educational/outreach component to extend the project findings to the public (i.e. a published paper in a peer-reviewed journal or other finished product that serves to increase awareness or otherwise educate or inform stakeholders of the outcome) and/or 2) education-based with primary focus on outreach and education.

Successful candidates will be required to enter into a funding agreement with the AHPA Foundation before any contribution is made to their project.

Progress reporting on accomplishments toward project objectives and deliverables, and demonstration of how AHPA Foundation funding is being used to generate tangible results will be required.

## **6. DEFINITION AND SCOPE OF A PROJECT**

A project is a set of interrelated tasks with a cohesive, distinct, specified, and defined goal. It follows a planned, organized approach over a fixed period of time and within specific limitations (cost, performance/quality, etc.). Additionally, it uses resources that are specifically allocated to the work of the project and usually involves a team of people.

Projects are different from other ongoing operations because, unlike operations, projects have a definitive beginning and end - they have a limited duration. A project has an overarching goal that the applicant wants to accomplish through a series of individual activities or tasks. Some examples of projects include:

- Researching new methods for botanical analysis and quality control
- Identifying sustainable sourcing options and providing sourcing education and outreach opportunities to the community of practice, consumers, stakeholders, etc.
- Researching the effect of soil organic compounds and/or growing conditions on development of secondary metabolites in specified botanicals
- Researching the effects of varying intensities of harvest on wild botanical plant populations

- Educating producers on sustainable production methods for the cultivation of forest botanicals

Funded projects must lead to peer-reviewed published article(s) or other specified concrete outputs, and contribute novel information to the botanical community of practice. AHPA Foundation grants are generally small and applicants are encouraged to focus proposals on specific work that may complement or fit within an existing research program, work that involves funding from multiple sources, or work that can be leveraged to other funding entities for further research and development.

Awards are generally between \$5,000-\$15,000 annually. Awarded amounts vary widely across projects depending on subject matter and scope. Project timelines also vary but are generally from one to four years, depending on the research to be undertaken. Awards and project timelines are considered individually on a case-by-case basis.

## 7. APPROPRIATE USE OF FUNDS

Funds may be used for expenses specific to the project:

- Labor, including wages or salary, for individuals working on the project;
- Supplies, including copies, research supplies, outreach materials, and software;
- Equipment rental or operating charges;
- Travel expenses necessary for the project;
- Journal publication fees as long as they are incurred during the contract period;
- Indirect costs up to 10 percent of total grant request.

Funds may NOT be used for:

- Incentive offers and promotional items, including items of clothing, swag, giveaways, subsidies, raffles, gift cards, etc.;
- Expenses for any enduring non-project specific items such as purchase of major analytical instrumentation, mass specs, etc., real estate acquisition, general operational improvements, and construction of buildings, greenhouses, or laboratories;
- Travel to scholarly meetings unless essential to the project, such as presentation of project results;
- International travel unless integral to the project and described in the budget justification;
- Purchase of motorized vehicles and equipment;
- Cell phone charges; and
- Food expenses unless necessary for the continuity of a training event or project meeting.

It is expected that costs for copiers, cameras, computers, video and GPS equipment, and other items that have a wide range of uses beyond the boundaries of the project be provided by the institution and covered as indirect costs. To be considered as a direct

cost, the item must be essential to the particular project and applicants must provide clear justification, making sure the requests are reasonable and defensible.

**Allowable Indirect Costs:** For applicants from academic institutions, allowable indirect costs should not exceed 10% of the awarded sum.

**Matching Funds:** AHPA Foundation awards are generally small and it is expected that applicants will match the requested award amount via cost share or in-kind contributions to carry out the proposed research.

## Part II: Proposal Instructions and Outline

---

**Read this entire document before beginning your proposal. If you have questions after reviewing this document or would like to talk about your project idea or scope before beginning a proposal, send an email to Holly Johnson at [hjohnson@ahpa.org](mailto:hjohnson@ahpa.org).**

**Use the format on the following pages to structure your project narrative and any supplemental materials for submission. It is expected that applicants will be as concise as possible while sharing enough detail to give a full picture of the proposed project. Proposal narratives are generally 4-6 pages and applicants are asked not to exceed 10 pages maximum. Supplemental supporting documents including Conflict of Interest Statements, CVs, letters of support, etc. do not count toward the maximum page limit. Your proposal narrative should be typed using 12-point font and submitted as a MS word document.**

**Once your proposal is submitted, it cannot be modified** so please be sure your institution or organization reviews it, and any edits or modifications are made prior to submission.

### **Submission Instructions:**

For Special Topics Proposals (if applicable):

\* See the specific Special Topics RFP for submission instructions and associated deadlines.

### **For general proposal submissions:**

Save MS Word document as:

First initial and last name of principal investigator\_Year\_MonthDay  
(example: DSmith\_19\_0126)

Submit proposals and all supplemental materials via email to [hjohnson@ahpa.org](mailto:hjohnson@ahpa.org)  
Email subject line should read: **General Submission Grant Proposal, Last Name of PI**  
(example: **General Submission Grant Proposal, Smith**)

**Proposal Narrative Outline:**

**1. Project Title**

**2. Type of Project**

Are you submitting Project Type 1, 2, or 3 (from Part 1, section 1 of this document), or Other (please describe)?

**3. Principal Investigator Information**

Information requested consists of principal investigator name and title, lead institution name, full address, telephone, and e-mail. A full curriculum vitae or resume should be attached in the Supplemental Materials section. This person will be the primary contact for the AHPA Foundation.

**4. Co-Principal Investigator and/or Other Key Individuals (if applicable)**

Information requested consists of name(s) and title(s), lead institution name(s), full address, telephone, and e-mail. Full curriculum vitae or resume should be attached in the Supplemental Materials section for each person listed.

**5. Type of Institution**

Select Lead Institution Type: 1862 Land Grant University, 1890 Land Grant University, Other College/University, Governmental Organization, Non-Governmental Organization, Business, or Other (please describe).

**6. Collaborating Institution Information**

List all collaborating institutions and whether or not each will be receiving funding. Include: Name of institution, point of contact name, title, and email, include in parenthesis: receiving funding OR not receiving funding.

**7. Project Duration & Timetable**

Time frame for General submission projects is generally 1-4 years but varies by project based on scope. For Special topics research, see specific RFP for details.

**8. Abstract**

(500 words maximum)

**9. Body of Proposal**

***a. Is This a Previous Submission?***

If you are submitting a proposal that has been submitted in the past, or is substantially similar to prior applications, the proposal should take into account the comments from the prior review(s). Please note how you have addressed reviewer comments. If you disagree with a review comment, state that and explain why.

**b. *Statement of Problem, Rationale and Significance***

Statement of the problem being addressed. Begin the statement of the problem as: “*The purpose of this project is to...*”

**\* Applicant must demonstrate that they are attending to an area of need or a gap in current knowledge and/or practice, that the proposed work has not been performed previously.**

**c. *Project Relevance to the Herbal Products Industry***

State how solving the problem explained above and the expected results contribute to sustaining the herbal products industry. Tell us HOW your project will address a specific issue and contribute to the health of the industry and/or its stakeholders. Who are the beneficiaries of the proposed work?

**d. *Objectives***

A numbered list of concise project objectives

**e. *Approach and Methods***

Give a brief description of research and/or education/outreach methods to be used for each objective, numbered according to their corresponding objective above, noting which collaborating partners are involved for each objective. Successful proposals will be expected to provide thorough research methodology and/or educational approach for each objective.

**f. *Proposal Funding Request***

An itemized budget including estimates of any funds you will budget for cooperating institutions is required. Include yearly estimates itemized as seems most appropriate for the given project.

**g. *Other Funding Sources and/or Leveraging Opportunities for the Proposed Project***

AHPA Foundation grants are generally small and it is expected that awardees will provide matching funds, in-kind contributions, or a combination of both, from sources other than funds provided through AHPA. Briefly describe what other support is or will be provided for the proposed project.

**h. *Project Deliverables***

Briefly describe expected deliverables and reporting on the proposed research including where you are considering submitting any publication(s) and the names of those you expect to be authoring the publication(s), and/or briefly describe other deliverables you plan to initiate in order to increase awareness or otherwise educate or inform stakeholders.

*i. Literature Cited*

Briefly list key cited literature

**10. Supplemental Documents: Complete and attach a signed [conflict of interest](#) statement for all proposed collaborators**

**11. Supplemental Documents: Attach Resume or Curriculum Vitae for all listed collaborators and any other supporting documents you would like the reviewers to reference while considering your proposal. Supporting documents are supplemental and do not count toward the maximum page count requirements for proposal narratives.**

**\* Completed Proposal narratives are accepted in MS Word format. Supplemental documents may be submitted as separate documents in a common read-only format such as PDF**