APPENDIX C – STATE PLAN FORMAT

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The State plan should include the following sections for each project with the exception of the cover page and granting processes which only needs to be included once at the beginning of the State plan. Please see the "Sample State Plan" for further information and examples.

FORMAT

In order to make the State plan easier to review, each project should be outlined together. For example, Project 1 should include a section for project title and abstract, project purpose, potential impact, expected measurable outcomes, work plan, etc. and then project two should include a section for project title and abstract, project purpose, potential impact, etc. The style of presentation and length may vary, depending on the nature of the project(s) and the requirements of the State agency submitting the proposal. The acceptable font size for the narrative is 11 or 12 pitch with all margins at 1 inch.

COVER PAGE AND GRANTING PROCESSES

The following information should be included in this section. The recommended length of this section is ½ pages. This section only needs to be included once at the beginning of the State plan.

PROJECT COORDINATOR

Who is the person directly responsible for administering the State Plan?

ORGANIZATION

What organization is administrating the State Plan?

OUTREACH PLAN

Provide a description of the affirmative steps taken to conduct outreach to socially disadvantaged farmers and beginning farmers of specialty crops. Also, describe how outreach was conducted to identify funding priority needs, including any focus on multi-state projects, in enhancing the competitiveness of specialty crops. The recommended length of this section is ½ pages. The following questions should be addressed in this section:

- What steps were taken to conduct outreach to specialty crop stakeholders to receive and consider public comment to identify state funding priority needs, including any focus on multi-state projects in enhancing the competitiveness of specialty crops?
- What were those identified funding priority needs?
- What methods were used for identifying socially disadvantaged and beginning farmers within your State?
- What methods were used to reach out to these groups about the Specialty Crop Block Grant Program-Farm Bill?
- What projects identified by project title directly benefit either a socially disadvantaged or beginning farmer?
- If outreach was not performed to these groups, why was it not?

EXAMPLE

In order to ensure the State Plan was developed with proven and justified public support from all sectors of the State's specialty crop industry and to gather input regarding stakeholders' diverse needs and priorities, the State Department of Agriculture (the Department) developed and executed a multi-pronged outreach strategy.

The Commissioner sent a personalized letter to specialty crop organizations, which solicited their input regarding the industry's needs and priorities (Appendix A). The Commissioner and other Department staff also solicited priority needs from the public by taking comments when speaking at conferences and meetings. Three main priority areas were identified in this process: food safety for specialty crop producers with emphasis on multi-state efforts; increased direct marketing opportunities; and fostering sustainable/organic practices.

Socially disadvantaged and beginning farmers were included in outreach efforts and were provided information through a direct mailing to Minority Farm Registrants (provided by the USDA Office of Outreach at the request of the Department). As a result of the outreach activities to socially disadvantaged and/or beginning farmers, the Department has requested that two of these projects receive funding under the Specialty Crop Block grant Program. These projects include: "Establish a Super Berry Market in the State" and "Specialty Crop Solutions for Health-Distressed Communities".

COMPETITIVE PROCESS

Provide a description of the affirmative steps taken to conduct a competitive grant process. The recommended length of this section is ½ pages. The following questions should be addressed in this section:

- What methods were used to solicit proposals that met identified specialty crop funding priority needs?
- How many grant proposals were received?
- How were members on the review panel selected to ensure they were free from conflicts of interest (i.e. they are not reviewing and scoring their own grant applications or reviewing an affiliated organization's grant application)?
- How were members selected to ensure that the review panel consisted of a community of experts in given fields, who were qualified and able to perform impartial reviews?
- What fields were the review panel members from?
- Were review results of the peer review panel given to the grant applicants ensuring the confidentiality of the review panel members?
- If a competitive grant process was not used, why was it not?

For resources on conducting outreach, best practices for conducting a competitive grant program, and information on how to use a non-competitive review process for multi-state projects, see the Outreach, Competitive Grant Program, and Website Resources document.

EXAMPLE

The Department developed and distributed a press release to over 400 agricultural media outlets and organizations (Appendix B) announcing the request for proposals (RFP) for the Specialty Crop Block Grant Program-Farm Bill. The press release and RFP included the identified priority areas. The RFP and accompanying press release were also published and disseminated through email, posted on the Department's website, and hard copies upon request. A total of thirty applications were received by the application close date.

Once the SCBGP's Notice of Funding Availability was published, the Department formed a Specialty Crop Block Grant Advisory Committee (Advisory Committee). The Advisory Committee consisted of ten individuals with expertise in a wide range of specialty crop commodities from the State's public (4), private (2), academic (2), and non-profit (2) sectors. Advisory Committee members signed an agreement with the Department to ensure that they would not apply for this funding opportunity or review applications that they held a conflict-of-interest during this funding cycle.

The Department reviewed the proposals in regards to their eligibility and completeness. The proposals were organized into five categories: food safety, sustainable/organic practices, market development, education/research, and other. Program staff assigned Advisory Committee members to proposals based on their individual area of expertise or a similar field of interest. The Committee commented and scored proposals on eligibility, reasonableness, feasibility, and quality and then provided a recommendation for fundability. Then the group discussed the evaluation process, distributed the technical comments/scores, and discussed any of the individual proposals. All projects receiving average scores at or above 92 percent threshold were considered worthy of funding.

Seven projects were chosen for funding. Those projects are included and detailed in the following sections of this State Plan. The twenty-four project directors that were not funded received a letter, which notified the project director of the proposal status and the reason that the project did not receive funding during this proposal cycle. The letter stated that the project directors could contact the Department with any questions or concerns.

STATE DEPARTMENT OF AGRICULTURE OVERSIGHT

Provide a description of the State department of agriculture oversight. The following questions should be addressed in this section (see Sample State Plan for example):

- How and when will the State department of agriculture oversee subgrantee activities to ensure proper and efficient administration of grant funds? Please include timelines for oversight activities.
- Will grant funds be used for direct administration of the program?
    - If YES, please include a budget breakdown to include % FTE, % fringe, supplies, etc.
    - If YES, include the administrative project on the SF-424A.
- Will indirect costs be charged to the grant? Indirect costs should not exceed 10%.
    - If YES, include the indirect costs on the SF-424A.

EXAMPLE

The Department will use $53,070.00 of the grant allocation for indirect costs. These funds will be used for salary and fringe benefits for a grant administrator and supplies. This person will be responsible for all grant contracts, reports to the federal agency, documentation, and grantee performance monitoring.

Quarterly progress and financial reports submitted by the subgrantees to the Department will be one of the tools that the grant administrator will use to monitor the projects within this State Plan. Reports will be used to ensure that work is completed within the required timeframe, ensure that specialty crop block grant funds are used only for activities covered by the approved project and State Plan, and ensure that grant funds supplement the expenditure of State funds in support of specialty crops grown in the State, rather than replace State funds. If a projects' grant period is over a year, a site visit will be performed.

The amount is based on a grant administrator's salary at 0.5 FTE at $21,000 and fringe benefits at 26% based on 0.5 FTE salary or $5,460. The total salary and benefits of $26,460/year for two years will total $52,920. Also, $150 will used for office supplies.

PROJECT PROFILES

The following section will include a series of profiles that details the necessary information to fulfill the goals and objectives of the project. The recommended length for each project profile is 6 pages. This section will repeat a profile for each project that the State Department of Agriculture wishes to implement.

The following information shall be included in each project profile:

PROJECT TITLE

The title shall adequately describe the project.

ABSTRACT

Include a project abstract of 200 words or less. The project abstract must contain a summary of the proposed project suitable for dissemination to the public. It should be a self-contained description of the project and should contain a statement of objectives and methods to be employed.

PARTNER ORGANIZATION

Include the partner organization's name that plans to oversee the project.

PROJECT PURPOSE

The following questions shall be addressed in this section:

- What is the specific issue, problem or need to be addressed by the project?
- Why is the project important and timely?
- What are the objectives of the project?
- Does the project have the potential to enhance the competitiveness of non-specialty crops (ex: farmers market, general buy local, etc.)?
    - IF YES, how will the applicant ensure that all grant funding is being used to solely enhance the competitiveness of eligible specialty crops? (Ex: using the registration process for a conference to ensure that only specialty crop farmers attend; matching 50% of the funds to cover a portion

of the project that does not benefit specialty crops)

- Does the project build on a previously SCBGP or SCBGP-FB funded project?
  - IF YES, how does this project compliment work done previously? Provide a summary (3 to 5 sentences per project) of the results of the completed work on this project, the long-term quantifiable effects of these results (especially as they impact on the specialty crop industry), and how this year's funding will supplement or build on previous funding from the SCBGP or SCBGP-FB.
- Has the project been submitted to or funded by another Federal or State grant program?
  - IF NO, indicate that it has not.
  - IF YES, how does the project supplement efforts of the SCBGP-FB and the other Federal or State grant program and not duplicate funding efforts? The SCBGP-FB will not fund duplicative projects.

EXAMPLE 1

The recent introduction of X virus has threatened specialty crop production; the virus has already caused enormous crop losses in many States (**PROBLEM**). This research proposal will assess the likely spread of the virus from the initial introduction point and will identify plant reservoir hosts for the disease to form the basis for an integrated pest management strategy to prevent further crop losses (**IMPORTANCE** and **OBJECTIVE**). This project was submitted to grant program X to provide one-half salary for the Senior Research Specialist. This individual will coordinate most of the laboratory operations and perform a majority of the laboratory and greenhouse experiments. This project will not duplicate efforts, but rather enhances the program by providing additional dollars to elevate the part-time position to full time status.

EXAMPLE 2

Many school children do not have access to healthy fruits and vegetables (**ISSUE**). The School Nutrition Association will subsidize installation of salad bars in forty schools to increase access to nutritious fruits, vegetables and nuts in school breakfasts and lunches (**OBJECTIVE**). Not only will this result in increased purchases from specialty crop growers, but the evaluation component also will provide a model for other schools in their efforts to market healthy meals to children (**IMPORTANCE**). This project has not been submitted or funded by another Federal or State grant program.

EXAMPLE 3

This project would establish a crisis communication plan for the fruit and vegetable industry (**OBJECTIVE**) in case of emergency such as extreme drought (**IMPORTANCE**). The previous year's grant funds were used to complete Phase 1 which comprised of research and an audit of the fruit and vegetable industry and created recommendations for handling a crisis. Phase 2 continues the project by implementing and disseminating these recommendations throughout the State (**SHOWS HOW PROJECT COMPLIMENTS PREVIOUS WORK**). This project has not been submitted or funded by another Federal or State grant program.

EXAMPLE 4

The State will partner with a production team to create a suite of six television and radio public service announcements to introduce and promote locally produced specialty crops (**OBJECTIVE**) thereby changing the purchasing behavior of consumers and retailers to "buy local" (**NEED**). This project is a State marketing program. The State will only promote eligible specialty crops (may include comprehensive list of eligible specialty crops) and will not use grant funds to generically cross-market other commodities which fall under state marketing programs but are outside the scope of the specialty crop definition (**STATE MARKETING PROGRAM**). This project has not been submitted or funded by another Federal or State grant program.

POTENTIAL IMPACT

This section shall show how the project potentially impacts the specialty crop industry and/or the public rather than a single organization, institution, or individual. The following questions should be answered:

- Who are the beneficiaries of the project?
- How many beneficiaries will be impacted?
- How will the beneficiaries be impacted by the project?
- What is the potential economic impact of the project if available?

EXAMPLE 1

This project will impact the State's approximately 3000 farms involved in growing the specialty crops (**BENEFICIARIES IMPACTED AND #'s**). These crops represent approximately $1 billion in farm income and are the largest crop in the State (**ECONOMIC IMPACT**). In order to continue the growth this industry has experienced in recent years, this project will develop and conduct marketing efforts to increase their market share (**HOW BENEFICIARIES WILL BE IMPACTED**).

EXAMPLE 2

Existing and new specialty crop growers taking part in the grower education will receive an extensive education on many aspects of participating in specialty crop production and direct retail marketing (**BENEFICIARIES**). It is estimated that the number of specialty crop growers that will be participating in the educational workshops is 50 (**# OF BENFICIARIES**). Through grower education, farmers will be exposed to information on how to grow crops and successfully sell their produce at direct-to-consumer markets (**HOW BENEFICIARIES WILL BE IMPACTED**).

EXAMPLE 3

In 2008, according to USDA, National Agricultural Statistics Service (NASS), the State's specialty crop industry occupied 3100 acres and had a value for utilized production of $20 million. This is evidence of the success and potential for this program. New specialty crop varieties being developed through this program will enable the State's 150 farmers (**# OF BENEFICIARIES**) to be competitive in growing and marketing these specialty crops (**HOW BENEFICIARIES WILL BE IMPACTED**). These new crops could provide $10 – $15 million in additional farm income (**POTENTIAL ECONOMIC IMPACT**).

EXPECTED MEASURABLE OUTCOMES

The following questions shall be answered in this section.

- What is at least one distinct, quantifiable, and measurable outcome that directly and meaningfully supports the project's purpose and is of direct importance to the intended beneficiaries? The measurable outcome, when possible, should include the following:
    - GOAL
    - PERFORMANCE MEASURE
    - BENCHMARK
    - TARGET
- How will performance toward meeting the outcome(s) be monitored?
    - What are your data sources for monitoring performance?
    - How will data be collected? For example are you using a survey or questionnaire?

Examples of outcome measures may include, but are not limited to: per capita consumption, consumer awareness as a percent of target market reached, market penetration based on sales by geographic region, dollar value of exports, or web site hits. For research grants they may include generation of new knowledge, research quality, attainment of leadership in the field, or the development of human resources (e.g., providing opportunities for graduate students).

For further information on expected measurable outcomes, please see the "SCBGP Logic Model".

STEPS TO DEVELOPING OUTCOME MEASURES

Whenever possible, the outcomes should include a goal, performance measure, benchmark, and a target. The following four steps provide guidance on how to develop outcome measures.

1) DETERMINE WHAT THE PROJECT WILL ACCOMPLISH, I.E., THE INTENDED RESULTS OF THE PROJECT, GENERALLY EXPRESSED AS A GOAL OR OBJECTIVE

Goals or objectives should be: a) based on a needs analysis and be specific, realistic results you hope to achieve through the project activities; b) specific; and c) outcome-oriented. Outcome-oriented objectives identify the ultimate result, while the work plan activities identify how you intend to achieve the objectives. When developing outcome-oriented objectives, ask yourself "why" you are performing each grant activity; and specify not only what will be achieved, but also when those results will be achieved.

2) FIGURE OUT HOW TO MEASURE THE RESULTS AND SELECT THE PERFORMANCE MEASURE

For each objective identified in step 1, select the performance measure. Performance measures are measures/indicators used to observe progress and measure actual results compared to expected results. They are usually expressed in quantifiable terms and should be objective and measurable (numeric values, percentages, scores and indices); although in certain circumstances qualitative measures are appropriate.

3) DETERMINE THE BENCHMARK FOR EACH MEASURE AND SET TARGET GOALS FOR FUTURE PERFORMANCE

For each measure identified in step 2, determine the benchmarks against which you will measure. Benchmarks are usually determined by researching past circumstances in the area you are trying to measure. As an alternative, you may use benchmarks established by third parties accepted as the standard-setters in your industry. If data does not exist, describe the lack of data. It may be appropriate in the first year to set vaguer targets, such as "improvement" where any increase represents outcome achievement, and set more concrete targets in subsequent years when benchmark data is available.

Use the benchmark data to set targets for the quantity of change expected. Targets may be framed in terms of:

a) Absolute level of achievement (ex: feed 150 homeless people);

b) Change in level of achievement (ex: feed 150 homeless people, 35 more than last year); or

c) Change in relation to the scale of the problem (ex: feed 150 homeless people, approximately 10% of the city's homeless population.)

If you are starting up a new project or trying new approaches remember that little or no measurable progress will be evident in the project start-up phase. This delay in seeing measurable results should be reflected in target-setting. When setting targets, you should take into account external factors that influence your success. You may have a grand ultimate goal, but you should view annual targets as small steps toward that ultimate goal.

You may also want to set stretch goals by using benchmarks as your targets. Benchmarks tell you how the rest of the industry is doing; when you gather data for benchmarks, you look at the results of other organizations serving your type(s) of customers, doing your type of work. In your State plan, you may want to stick to a modest level of planned achievement and reserve your stretch goals for internal use. Another alternative is to include minimum and maximum targets in your application. For example, "We plan, at a minimum, for a 5% increase. However, we will strive for a 10% increase, which our data shows is possible if all external factors work in our favor and our new methodology yields the same results in the demonstration phase."

4) DEVELOP YOUR PERFORMANCE MONITORING PLAN OR DATA COLLECTION PLAN

Define who your data sources are and how the data will be collected. If the project involves a survey, provide some information about the nature of the questions that will be asked, the methodology to be used and the population to be surveyed. If a draft questionnaire is available, you may want to include a copy with the application. Outline how data gathered will be used to correct deficiencies and improve performance, both as it gathered and analyzed and in subsequent project periods. This data collection plan should be integrated into your work plan and budget. Define who your data sources are and how the data will be collected. If the project involves a survey, provide some information about the nature of the questions that will be asked, the methodology to be used and the population to be surveyed. If a draft questionnaire is available, you may want to include a copy with the application. Outline how data gathered will be used to correct deficiencies and improve performance, both as it is gathered and analyzed and in subsequent project periods. This data collection plan should be integrated into your work plan and budget. When expected measurable outcomes are monitored outside the grant period, include the performance monitoring plan in the work plan and

indicate how monitoring will occur after the grant period ends without Specialty Crop Block Grant Program funding.

EXAMPLES OF OUTCOME MEASURES

The following are examples of outcome measures.

EXAMPLE 1

The **GOAL** of this project is to promote specialty crop X in Mexico in order to increase the volume.

Volume Increase:

BENCHMARK 2007: Actual volume (20# equiv. cases) of specialty crop exported to Mexico: 53,969

TARGET 2008: 60,000

TARGET 2009: 70,000

TARGET 2010: 80,000

PERFORMANCE MEASURE: Derive from specialty crop commission assessment reports at the end of each year.

EXAMPLE 2

Increase the number of specialty crop farmers following Good Agricultural Practices (**GOAL**) from the current 18 (**BENCHMARK**) to 55 in two years (**TARGET**) measured by the number of GAP audits passed (**PERFORMANCE MEASURE**).

EXAMPLE 3

Increase fruit and vegetable purchases (**GOAL**) from the current level of $2.50 (**BENCHMARK**) to at least $3 per enrolled student in awarded schools in one year (**TARGET**) measured by bi-annual school reports (**PERFORMANCE MEASURE**).

EXAMPLE 4

Work directly with specialty crop industry X to develop a uniform tool to access the health of their specialty crops to give the industry early warning of potential problems in order to optimize their management practices (**GOAL**). No such tool currently exists (**BENCHMARK**). The success of the evaluation will be measured by interviewing 20 stakeholders at the end of three years to determine if they developed the tool (**TARGET** and **PERFORMANCE MEASURE**).

EXAMPLE 5

Develop a predictive model for the spread of the specialty crop disease, an analysis of virus resistant varieties, and a foundation for an integrated pest management (IPM) strategy to combat the disease (**GOAL**). No such model currently exists (**BENCHMARK**). The information will be shared with more than 700 tomato growers, increasing awareness of the model, at the 2008 conference break-out session (**TARGET**) measured by attendance at the session (**PERFORMANCE MEASURE**).

EXAMPLE 6

Increase visits to the Specialty Crop Website (**GOAL**) 25% over the course of one year (**TARGET**) from the current 9,000 annual hits (**BENCHMARK**) by measuring website visits each month over the next year (**PERFORMANCE MEASURE**).

EXAMPLE 7

Increase consumer awareness of specialty crops by distributing 1000 pieces of informational materials containing locations where to purchase specialty crops (**GOAL**). Six months after distribution, survey 50 locations (**PERFORMANCE MEASURE**) to determine if sales increased by 25% (**TARGET**) from the level before distribution of marketing materials (**BENCHMARK**).

WORK PLAN

The following questions shall be addressed in this section:

- What activities are necessary to accomplish the project objectives?
    - When will your performance monitoring/data collection plan activity be accomplished?
    - Will outcomes measures be completed or measured outside the grant period?
        - If YES, include the performance monitoring plan in the work plan and indicate how monitoring will occur after the grant period ends without SCBGP-FB funding.
- Who will do the work of each activity? If collaborative arrangements or subcontracts are used, make sure you specify their role and responsibilities in performing project activities.
- When will each activity be accomplished? Include timelines for accomplishing each activity. Make sure to include the month and year the project is scheduled to begin.

The work plan section may be in any format you choose as long as it contains the appropriate information. The following are three examples of work plans:

EXAMPLE 1

Project Activity	**Who**	**Timeline**
Assemble the specialty crop steering committee to provide direction throughout project	Agricultural Marketing Council, specialty crop industry representatives from the mushroom, apple, and peach councils	January 2008
Develop statement of work for literature review	Ag Marketing Council	January

Procure literature reviewer	Ag Marketing Council	January – February
Conduct literature review on the post-harvest nutritional content of specialty crops and report gaps to steering committee	ABC Consultant	February – March
Prioritize research gaps; develop/issue Request for Proposals (RFP) for original research	ABC Consultant	March – April
Receive proposals; distribute to steering committee	ABC Consultant	April – May
Review and select proposals	Specialty crop steering committee	April – May
As appropriate, refer proposals to individual commodity research and promotion programs	Specialty crop steering committee and individual research and promotion programs	April – May
Develop and execute research grant agreements for selected projects	Ag Marketing Council	May – June
Obtain progress reports from researchers; synthesize for steering committee	Ag Marketing Council	September, December, March 2009, June 2009
Disseminate research results to steering committee and SCBGP-FB showing progress toward project outcomes	Ag Marketing Council	June 2009

EXAMPLE 2

The Nursery and Landscape Association (NLA) will be responsible for implementing a media campaign to promote the Specialty Crop Program. This project will be implemented from November 2008 until May 2010. Following the approval and funding of the project, a marketing committee will be assembled to assist in the development of the media campaign. The NLA will develop a request for proposal (RFP) which will be distributed to advertising and media relations firms serving the State. The RFP will include plans for television and print media, production schedule, information on demographics for targeted audience, and costs associated with production and delivery.

The media campaign will consist of television, radio, and print advertisements. The advertisements will promote the Specialty Crop Program, educate consumers on why they should "Buy Local" when selecting trees, shrubs, and flowers to plant on their properties and encourage consumers to consult with Nursery Certified Professionals when purchasing these plants. The advertisements will be placed in key markets of the

state during the spring and summer of 2009 when consumers are most likely to be purchasing plants and plant materials.

The NLA will also be responsible for measuring the expected outcomes of the project. To gauge consumer awareness of the Specialty Crop Program, the NLA will survey consumers in February and March 2009 at its three annual Garden and Patio Shows to measure consumers' knowledge of the Specialty Crop Program and buying trends. In 2010, consumers will again be surveyed to determine the increase in consumer awareness due to the Specialty Crop Advertising Campaign. In addition, the NLA will survey targeted producers after the advertising campaign to see how many of the selected Specialty Crop Program plants were sold the previous year and how many were sold in the year of the campaign, to judge the residual effectiveness of the campaign. Producers will be surveyed in 2009 and 2010.

EXAMPLE 3

Project Activity	**Who**	**Timeline**
Create a survey to assess growers' background, current pest control program, and perceptions of IPM	State University Personnel	Begin January 2009 0 - 4 months
Administer survey to about 200 vegetable growers at an annual local growers meeting	Cooperative Extension Personnel	4 - 5 months
Compile survey results for background info on general practices and attitudes	Cooperative Extension Personnel	5 - 6 months
Review surveys for likely cooperator candidates	State University Personnel	5 months
Interview and select candidates for one-on-one IPM and biocontrol training and a control group	State University Personnel	6 months
Meet weekly with selected growers at crop initiation (greenhouse)	State University Personnel	4 - 6 months
Conduct periodic scouting visits during crop growth	Cooperative Extension Personnel	Every 2 months
Meet weekly with selected growers at crop fruition (field)	State University Personnel	10 - 13 months
Collect data from both grower groups on pest densities, crop	State University Personnel	14 - 15 months

damage, crop yield and quality, pesticide usage, pest management costs and other pest mgmt. techniques used by growers		
Survey growers completing year one in the IPM program as to attitudes and understanding of IPM techniques	Cooperative Extension Personnel	10 months
Compare survey results to initial survey; assess impact of program outcomes	State University Personnel	10 - 11 months
Incorporate most successful ideas/ techniques into IPM field guide with scouting procedures, pest life cycle calendars, and cultural controls, reduced-risk pesticides, and biocontrol Cooperative Extension Personnel options for different pests	State University Personnel	10 - 13 months
Develop/ deliver annual grower workshops to introduce/ improve field guide	Cooperative Extension Personnel	27 - 36 months

BUDGET NARRATIVE

Although there is no specific format for the supplemental budget, the budget should contain a narrative in paragraph format for each project in order for AMS to determine the costs are reasonable and allowable. The budget narrative should clearly show the federal funds that support the project. If matching funds are budgeted, please do not commingle non-federal funds with federals in each budget section. If matching funds (not a requirement) are included in the State Plan, please show these funds separately. Funds should be categorized in the same budget object class codes that are given on the SF-424A (PDF) (Excel).

PERSONNEL

Persons employed by the grantee or subgrantee organization should be listed in this category. Those employed elsewhere would be listed as subcontractors or consultants in the "Contractual" category.

In order for secretarial and clerical salaries to be allowable as direct charges to the awards, a justification of how that person will be directly involved in the project must be included in the narrative. General administrative or accounting duties are not considered acceptable. The duties must be directly related to the project plan.

- For each project participant, indicate their title, percent of full time equivalents (FTE), and corresponding salary for the FTE.
- Show the total for all SCBGP-FB funded personnel.

For example, if a project participant's salary is $50,000 and they are participating 50% of their time on the project, the total budgeted salary cost would be $25,000.

EXAMPLE

Personnel ($27,000.00)

Expenses of **$21,000.00** are requested for one half-time Senior Research Specialist (0.5 FTE) who will coordinate most of the laboratory operations and perform a majority of the laboratory and greenhouse experiments. Additionally, the specialist will be responsible for data entry and record keeping. An additional **$6,000.00** is requested to support two undergraduate student researchers. The undergraduate students will work in Dr. Jones' laboratory and learn experimental skills while assisting the Project Investigator (PI) and the research specialist in various aspects of the project.

FRINGE BENEFITS

- Provide the rate of fringe benefits for each project participant's salary described in the personnel section.
- Show the total for all SCBGP-FB funded fringe benefits.

EXAMPLE

Fringe Benefits ($9,585.00)

The current fringe benefit rates at the University are 44.74% (**$9,387.00**) for the research specialist, 3.3% (**$198.00**) for undergraduate students.

TRAVEL

- Please provide the following information in the narrative if applicable: destination; purpose of trip; number of trips; number of people traveling; number of days traveling; estimated airfare costs; estimated ground transportation costs; estimated lodging and meals costs; estimated mileage rate and costs for the travel.
- Show the total for all SCBGP-FB funded travel.

EXAMPLE

Travel ($1,608.00)

Total funds of **$518.00** are requested for in-state travel to conduct field surveys of PepMV in City X (2 overnight trips) and in City Y (2 day trips) and to attend the annual Agricultural Center Field Day (1 day trip). The total in-state travel cost will consist of car rental (7 days @ $32.00/day), lodging (2 nights @ $60.00), and food (6 days @ $29.00/day). In addition, **$1,090.00** in out-of-state travel funds are requested to defray the travel expense for the PI or designee to attend and present their research findings at the annual American

Phytopathological Society meeting in Nashville, TN in 2010. The cost comprises of flight from City Z to Nashville ($350.00), lodging (5 nights @ $99.00), and food (5 days @ $49.00/day).

EQUIPMENT

This category includes items of property having a useful life of more than one year and an acquisition cost of $5,000. If the cost is under $5,000, then include these items under SUPPLIES.

- Provide an itemized list of equipment purchases or rentals, along with a brief narrative on the intended use of each equipment item, and the cost for all the equipment purchases or rentals.
- Show the total for all SCBGP-FB funded equipment.

Capital expenditures for general purpose equipment, buildings, and land are unallowable as direct and indirect charges.

- Capital Expenditures means expenditures for the acquisition cost of capital assets (equipment, buildings, land), or expenditures to make improvements to capital assets that materially increase their value or useful life. Acquisition cost means the cost of the asset including the cost to put it in place. Acquisition cost for equipment, for example, means the net invoice price of the equipment, including the cost of any modifications, attachments, accessories, or auxiliary apparatus necessary to make it usable for the purpose for which it is acquired. Ancillary charges, such as taxes, duty, protective in transit insurance, freight, and installation may be included in, or excluded from the acquisition cost in accordance with the governmental unit's regular accounting practices.
- General Purpose Equipment means equipment, which is not limited to research, scientific or other technical activities. Examples include office equipment and furnishings, telephone networks, information technology equipment and systems, reproduction and printing equipment, and motor vehicles.
- Equipment means an article of nonexpendable, tangible personal property having a useful life of more than one year and an acquisition cost which equals or exceeds $5000.

Capital expenditures for special purpose equipment are allowable as direct costs, provided that items with a unit cost of $5000 or more have the prior approval of AMS. (Note: Prior approval from AMS means that the special purpose equipment must be included in the State Plan, and the State Plan must receive approval from AMS. If special purpose equipment was not originally included in the approved State plan, then the grantee must request approval from AMS to purchase the equipment before utilizing grant funds.)

- Special Purpose Equipment means equipment which is used only for research, scientific, or other technical activities. The special purpose equipment must solely enhance the competitiveness of eligible specialty crops and benefit the specialty crop industry.

Rental costs of buildings and equipment are allowable as direct costs in accordance with the cost principles in Subpart T of 7 CFR 3015.

EXAMPLE

Equipment ($5,000.00)

For the purchase of a 96-well thermocycler to accommodate the large numbers of PCR-related experiments outlined in the project. The University donates the use of one ultra-high speed centrifuge, two high speed

centrifuges, and three microcentrifuges, and one Biorad iCycler real-time PCR system (with a usage value of $20,000.00) for the entire duration of the project as matching contributions for this project. All the equipment listed above is required for completion of the project.

SUPPLIES

This is anything with acquisition cost under $5,000 and could be anything from office supplies and software to educational or field supplies. For non-typical materials & supplies items, include a brief narrative of how this fits with the project.

- Provide an itemized list and estimate the dollar amount for each item.
- Show the total for all SCBGP-FB funded supplies.

For example, office supplies such as pens, paper, toner, etc - $500; Gardening supplies such as soil and fertilizer - $500.

Items such as telephone, postage, fax and express mail are more appropriately listed under the "Other" category.

EXAMPLE

Supplies ($4,446.00)

Office Supplies (pro-rated) (**$1,235.00**) for paper, color ink cartridges, toner and other supplies. Program Supplies (**$3,211.00**) of which $2,000 is for 20 full-color promotional banners (@$100 each) plus pro-rated amount of $1,211 for cooking demonstration supplies, food for grower workshop/field events, specialty seeds, harvest equipment, packaging and other materials.

CONTRACTUAL

- Provide a short description of the services each contract covers.
- Indicate if the cost is a flat rate fee or hourly rate.
- Indicate the flat rate fee or hourly rate to be applied.
- If hourly rates exceed the salary of a GS-14 step 10 Federal employee in your area, provide a brief justification (For more information please go to www.opm.gov and click on *Salaries and Wages*.)
- List general categories of items the contract covers such as professional services, travel, lodging, indirect costs, etc.
- Show the total for all SCBGP-FB funded contractual.

If the contract is for service or maintenance, costs should be in direct correlation to the use of the equipment for the project (i.e., if a particular copy machine is used 50% of the time for the project, the project should only be charged 50% of the service contract paid from Federal funds.)

EXAMPLE

Contractual ($23,000.00)

Stipends for GAP/GHP Video Shoot/Edit: flat fee stipends for 5 youth at $2,000.00 each (**$10,000.00**) to be coordinated through County Extension Hmong Youth Film Project. Youth will film and edit video in close collaboration with DA staff and under supervision of SU Hmong Outreach Coordinator.

Online Toolkit Development and Adaptation: this flat rate **$10,000.00** contract will take the online toolkit donated by University State X, and adapt it for DA use and web specifications. Any leftover funds will develop State-specific content for the toolkit.

Processing Study Analysis: this hourly rate **$3,000.00** ($20/hr X 150 hrs) contract will analyze the production information on processing needs of growers and current availability of processing facilities and compile a report.

OTHER

Provide a detailed description of all other direct costs such as:

- Conferences/Meeting – Costs of holding a conference or meeting are included in this category. Some examples are the rental of facilities or equipment for the meeting. Details of costs for each conference or meeting should be broken out and provided in the budget.
    - When paying for the travel of a person to attend a conference, meals and lodging may be included in the cost without additional justification.
    - Meals may not be charged as project costs when individuals decide to go to lunch or dinner together when no need exists for continuity of a meeting. Such activity is considered to be an entertainment cost. Meals may be charged to the project if such activity maintains the continuity of the meeting and to do otherwise will impose arduous conditions on the meeting participants. Include a justification for meal costs. Some examples of acceptable reasons are that the conference facility is located in a remote area where public facilities are not accessible; there will be a speaker and business discussions during the meal; there is insufficient time available to allow participants to go out on their own. If one or more of these justifications cannot be met, or if there are no other acceptable and compelling reasons, then the meals should not be charged to the award. The attendees should be responsible for providing their own meals.
    - Breakfasts for conference attendees are usually considered unallowable as it is expected these individuals will have sufficient time to obtain this meal on their own before the conference begins in the morning.
- Communications – Mailings, postage, express mail, faxes, and telephone long distance charges. Provide the estimated cost for this category.
- Speaker/Trainer Fees – Provide the amount of the speaker's fees and a description of the services they are providing.
- Publication Costs – Provide the estimated cost of printing of brochures and other program materials or scientific or technical journals.
- Data collection – Provide the estimated cost of collecting performance data to measure the project outcome measures.
- Show the total for all SCBGP-FB funded Other.

EXAMPLE

Other ($7,493.00)

Advertising (8 display ads in Spanish-language media at $162.50 each) (**$1,300.00**); Printing/Copying (two color print jobs for promotional materials at $650/each) (**$1,300.00**); Communications (pro-rated as per project) (**$1,733.00**); Equipment Rental (cooking demonstration cart) 4 uses @ $150/each (**$600.00**); Postage for newsletter (pro-rated) (**$760.00**); Staff Development and Training (two annual marketing workshops for two staff @ average $450 each) (**$1,800.00**).

INDIRECT CHARGES

- Indicate percent of indirect costs.
- Show the total for all SCBGP-FB funded Indirect Charges.

Indirect cost shall not exceed 10 percent of any proposed budget or the total grant allocation. Provide a justification if indirect costs exceed 10 percent.

Indirect costs represent the expenses of doing business that are not readily identified with SCBGP-FB but are necessary for the general operation of the organization and the implementation of SCBGP-FB related activities. These costs benefit more than one cost objective and cannot be readily identified with a particular final cost objective without effort disproportionate to the results achieved.

Common indirect costs include, but are not limited to: pre-award costs, proposal costs; depreciation or use allowances on buildings and equipment; costs of operating and maintaining facilities; general administration and general expenses; and personnel, legal, information technology, and accounting administration.

A cost may not be allocated as an indirect cost if it is incurred for the same purpose under SCBGP-FB as a direct cost and vice versa (personnel/contractual, travel, equipment, supplies, etc.)

For further information on how to determine if a cost is indirect or direct, please see the "Indirect Cost Decision Tree".

EXAMPLE

Indirect Cost ($2,874.00)

2 percent (**$2,874.00**)

PROGRAM INCOME

- Indicate the nature or source of program income (i.e., registration fees).
- Estimate the amount of program income.
- Describe how the income will be used to further enhance the competitiveness of specialty crops.

If program income is earned it may be used for 1) expanding the project or program; 2) continuing the project or program after the grant or sub grant support ends; and 3) supporting other projects or programs that further the broad objectives of the grant program.

EXAMPLE

Program Income ($4,750.00)

Registration Fee for 8 week workshop series - **$2,500.00**

Apprentice fee - **$2,250.00**

The income derived from this project will be reinvested into the program to support specialty crop farmers and help sustain and grow the project.

PROJECT OVERSIGHT

If this is a project administered by a project partner, this section shall include the project partner's oversight and not the State department of agriculture oversight. The following questions and information should be addressed in this section:

- Who will oversee the project activities?
- How will oversight be performed? Include timelines.

EXAMPLE

The project will be overseen through well-established project management practices at the SCA Training Association. Primary oversight responsibility lies with the Food Systems Program Manager, who has more than seven years experience with SCA with more than four years in her current position. Every SCA program uses a Monitoring and Evaluation (M&E) Plan with distinct performance measures, benchmarks and success indicators established for 2-3 distinct projects in each. Another tool for project M&E is the Workshop Planning Template that guides the goals, design, target competencies and other objectives of grower workshops. This project will also use a process wherein partner organizations are required to both initially inform and perform under shared evaluation targets. The program manager reports monthly project performance and the Healthy Local Foods committee will assess progress on a quarterly basis.

PROJECT COMMITMENT

Provide the following information in this section:

- Who supports this project?
- How will all grant partners work toward the goals and outcomes of the project?

EXAMPLE

The Farm Extension and Research Center is a successful collaboration between County Cooperative Extension and Economic Development, with support from State University's College of Agriculture and Life Science as well as the Center for Environmental Farming Systems. The Farm Planning Committee includes representation from the partner institutions and agencies and has a monthly meeting schedule to plan and implement programs at the Farm. Programs during the past 2 years demonstrate a strong commitment to developing the capacity at the Farm and promoting educational activities that support farm viability.

MULTI-STATE PROJECTS

Provide the following information in this section:

- How will all States collaborate effectively?
- Has each state participating in the project submitted the project in their State plan?
- Which State is taking the coordinating role (State will be responsible for performance reporting)?

- What percent of the budget is covered by each State?

Remember to include the State Department of Agriculture's portion of the direct and indirect costs associated in this project in the SF-424A.

For information on how to use a non-competitive review process for multi-state projects, see the Outreach, Competitive Grant Program, and Website Resources document.

EXAMPLE

Grant request:	$50,000
State A portion	Direct $30,000
	Indirect $1,500
State B portion	Direct $30,000
	Indirect $1,500

State A and State B will work together on the project through our 10 member board of directors. The board has members and associates serving on committees including research, advertising and promotions, market development, State A's legislation, State B's legislation, transportation, water and long range planning.

This project has the full support of both the State A and State B Departments of Agriculture. State A will take the coordinating role in monitoring the progress of this project.