

**BILLING CODE:**

**DEPARTMENT OF AGRICULTURE**

**AGENCY:** Natural Resources Conservation Service (NRCS), Commodity Credit Corporation

**ACTION: NOTICE**

Conservation Innovation Grants Fiscal Year (FY) 2009 Announcement for Program Funding (APF) – NRCS Utah Aquaculture Component

Catalog of Federal Domestic Assistance (CFDA) Number: 10.912

**SUMMARY:** NRCS requests applications for Conservation Innovation Grants (CIG) to stimulate the development and adoption of innovative conservation approaches and technologies to aquaculture in Utah. Applications are requested from Federally-recognized Indian Tribes, State and local governments, Institutions of Higher Education, Nonprofits, Small Businesses, and non-governmental organizations and individuals for competitive consideration of grant awards for projects between 1 and 3 years in duration. This notice identifies the objectives for CIG projects, the eligibility criteria for projects, and provides the associated instructions needed to apply to CIG.

NRCS anticipates that the amount available for support of this program in FY 2009 will be approximately \$200,000. Applications are accepted for aquaculture projects throughout Utah. Funds will be awarded through a competitive grants process.

**DATES:** Applications must be received in the NRCS Salt Lake City Office by **4 p.m. Mountain Standard Time (MST), on Wednesday, June 17, 2009.**

**ADDRESSES:** The address for hand-delivered applications, sent via the U.S. Postal Service, or applications submitted using express mail or overnight courier service is:

USDA - Natural Resources Conservation Service  
Conservation Innovation Grants Program Manager  
125 S. State Street, Room 4402  
Salt Lake City, UT. 84138.

To submit your application electronically, visit [Grants.gov](http://Grants.gov)-Apply for Grants and follow the instructions.

**For more information contact:**

USDA-NRCS,  
Lisa Coverdale, State CIG Program Manager  
125 S. State Street, Room 4402  
Salt Lake City, UT. 84138  
Phone: (801) 524-4565 Fax: (801) 524-4403  
E-mail: [lisa.coverdale@ut.usda.gov](mailto:lisa.coverdale@ut.usda.gov)

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## **SUPPLEMENTARY INFORMATION**

### **I. FUNDING OPPORTUNITY DESCRIPTION**

#### **A. Legislative Authority**

CIG was authorized as part of the Environmental Quality Incentives Program (EQIP) [16 U.S.C. 3839aa-8] under Section 1240H of the Food Security Act of 1985, as added by Section 2509 of the Food, Conservation, and Energy Act of 2008 (Public Law 110-246). The Secretary of Agriculture delegated the authority for the administration of EQIP and CIG to the Chief of the Natural Resources Conservation Service (NRCS), who is Vice President of the Commodity Credit Corporation (CCC). EQIP is funded and administered by NRCS under the authorities of the CCC.

#### **B. Overview**

The purpose of CIG is to stimulate the development and adoption of innovative conservation approaches and technologies while leveraging the Federal investment in environmental enhancement and protection, in conjunction with agricultural production. CIG projects are expected to lead to the transfer of conservation technologies, management systems, and innovative approaches (such as market-based systems) into NRCS technical manuals, guides, and references or to the private sector. CIG does not fund research projects. It is a vehicle to stimulate the development and adoption of conservation approaches or technologies that have been studied sufficiently to indicate a likelihood of success, and to be candidates for eventual technology transfer or institutionalization. CIG funds projects targeting innovative on-the-ground conservation, including pilot projects and field demonstrations.

NRCS will accept applications for single or multi-year projects, not to exceed 3 years, submitted to NRCS from eligible entities including Federally-recognized Indian Tribes, State and local governments, and non-governmental organizations and individuals. Applications are accepted for aquaculture projects throughout Utah.

Applications will be evaluated by members of the State Technical Committee, or subcommittee(s) thereof, based on the Criteria for Application Evaluation identified in this document. Applications with technically-based recommendations from the State Technical Committee, or subcommittee(s) thereof, will be forwarded to the State Conservationist. Final award selections will be made by the NRCS Utah State Conservationist.

#### **C. Innovative Conservation Projects or Activities**

For the purposes of CIG, the proposed innovative project or activity must encompass the development and field testing, evaluation, and implementation of:

- Conservation adoption approaches or incentive systems, including market-based systems;  
or,
- Promising conservation technologies, practices, systems, procedures, or approaches.

To be given priority consideration, the innovative project or activity:

- Has been studied sufficiently to indicate a good probability for success;
- Demonstrates, tests, evaluates, and verifies environmental effectiveness, utility, affordability, and usability in the field;
- Adapts conservation technologies, practices, systems, procedures, approaches, and incentive systems to improve performance and encourage adoption;
- Introduces conservation systems, approaches, and procedures from another geographic area or agricultural sector; and
- Adapts conservation technology, management, or incentive systems to improve performance.

#### **D. State Component Aquaculture CIG**

Applications must demonstrate the use of innovative technologies or approaches, or both, to address a natural resource concern or concerns in aquaculture. Applications must address one or more of the following specific resource concerns or technological needs identified by NRCS:

- Technologies scalable to small aquaculture operations to maintain, restore, or enhance water quality;
- Adapt a proven general phosphorous control technology to the specific control of phosphorous releases from waste waters resulting from aquacultural production operations;
- Improving water quality while maintaining aquatic health and productivity.
- Innovative aqueous-based animal waste management systems used in other types of agricultural production;
- Effects of pests, diseases (especially whirling disease), and fragmentation on aquaculture and productivity;
- Wetland function and health;
- Biodiversity;
- Invasive species management for New Zealand mud snails, quagga mussels and zebra mussels;
- Innovative approaches to animal waste management systems to reduce nutrient loading;
- Innovative approaches contributing to implementation of pollution reduction strategies to improve water quality locally or on a regional or watershed scale;

- Implementation of conservation systems to reduce nutrient runoff and leaching by proper rate, timing, and placement of nutrients;
- Demonstration of the effectiveness of “high potential” conservation practices (such as wetlands designed for nutrient reduction, conservation buffers, nutrient management) in reducing nutrient leaching and runoff and document benefits in small watersheds; and
- Demonstration of the performance of conservation buffers and filter strips by assessing the situational effectiveness of their component practices and design parameters (including appropriate width and plant materials).
- Transfer of demonstrated conservation technologies and practices consistent with NRCS’ Field Office Technical Guide and adapted specifically to aquaculture. NRCS reserves the right to place demonstrated conservation technologies and practices in the NRCS Field Office Technical Guide;
- Demonstration of innovative conservation practices and systems that are affective for aquaculture; and
- Technology transfer to Beginning Farmers or Ranchers, Socially Disadvantaged Farmers or Ranchers, or Limited Resource Farmers or Ranchers involved with aquaculture.

## **II. FUNDING AVAILABILITY**

NRCS anticipates that the amount available for support of this program in FY 2009 will be approximately \$200,000. Funds will be awarded through a competitive grants process. The maximum award amount for any project will not exceed \$75,000 in FY 2009. CIG will fund single- and multi-year projects, not to exceed 3 years.

The anticipated start date for awarded projects is expected to be on or about September 30, 2009.

## **III. ELIGIBILITY INFORMATION**

CIG applicants must be a Federally-recognized Indian Tribes, State and local governments, Institutions of Higher Education, Nonprofits, Small Businesses, and non-governmental organizations and individuals.

### **A. Matching Funds**

Selected applicants may receive CIG grants of up to 50 percent of the total project cost. Applicants must provide non-Federal funding (matching funds) for at least 50 percent of the project cost. Up to half of the applicant’s matching funds (up to 25 percent of the total project cost) may be from in-kind contributions.

### **B. Beginning Farmers or Ranchers, Socially Disadvantaged Farmers or Ranchers**

For the FY 2009 grant award process, up to 10 percent of the total funds available for CIG may be set-aside for applications from Beginning Farmers or Ranchers, Socially Disadvantaged Farmers or Ranchers, or community-based organizations comprised of or representing these entities. To compete for these set-aside funds, the applicant must make a declaration in the application as described in Part IV C.7 of this notice. Applications that are unsuccessful in the set-aside competition will be placed automatically in the general application pool for consideration. Funds not used in the set-aside pool will revert back into the general funding pool.

***Beginning Farmer or Rancher*** - a person or legal entity who:

- Has not operated a farm or ranch, or who has operated a farm or ranch for not more than 10 consecutive years. This requirement applies to all members of an entity who will materially and substantially participate in the operation of the farm or ranch.
- In the case of a contract with an individual, individually, or with the immediate family, material and substantial participation requires that the individual provide substantial day-to-day labor and management of the farm or ranch consistent with the practices in the county or State where the farm is located.
- In the case of a contract with an entity or joint operation, all members must materially and substantially participate in the operation of the farm or ranch. Material and substantial participation requires that each of the members provide some amount of the management or labor and management necessary for day-to-day activities, such that if each of the members did not provide these inputs, operation of the farm or ranch would be seriously impaired.

***Socially Disadvantaged Farmers or Ranchers*** - a farmer or rancher who has been subjected to racial or ethnic prejudices because of their identity as a member of a group without regards to their individual qualities.

In addition, an exception regarding matching funds is made for projects funded out of the set-aside. Up to three-fourths of the required matching funds for such projects (up to 37.5 percent of the total project cost) may derive from in-kind contributions. This exception is intended to help Beginning Farmers or Ranchers and Socially Disadvantaged Farmers or Ranchers meet the statutory requirements for receiving a CIG.

### **C. EQIP Payment Limitation and Duplicate Payments**

Section 1240G of the Food Security Act of 1985, 16 U.S.C. 3839aa-7, imposes a \$300,000 limitation for all cost-share or incentive payments disbursed to individuals or entities under an EQIP contract between fiscal years 2008 and 2012. The limitation applies to CIG in the following manner:

- CIG funds are awarded through grant agreements; these grant agreements are not EQIP contracts. Thus, CIG awards in and of themselves are not limited by the payment limitation.
- Direct or indirect payments made to an individual or entity using funds from a CIG award to carry out structural, vegetative, or management practices count toward each individual's or entity's EQIP payment limitation. Through project progress reports, CIG grantees are responsible for certifying that producers involved in CIG projects do not exceed the

payment limitation. Further, all direct and indirect payments made to producers using CIG funds must be reported to the NRCS CIG program manager in the semi-annual report. Direct or indirect payments cannot be made for a practice for which the producer has already received funds, or is contracted to receive funds, through any of the USDA Programs (EQIP, Agricultural Management Assistance, Conservation Security Program, Wildlife Habitat Incentives Program, etc.) since this would be considered a duplicate payment.

#### **D. Project Eligibility**

To be eligible for CIG, projects must involve landowners who meet the EQIP eligibility requirements as set forth in 16 U.S.C. 3839aa-1. Further, all agricultural producers receiving direct or indirect payments through participation in a CIG project must also meet the EQIP eligibility requirements. Refer to <http://www.nrcs.usda.gov/programs/eqip/> for more information on EQIP eligibility requirements. Participating producers are not required to have an EQIP contract.

A person or legal entity shall not be eligible to receive any benefit during a crop, fiscal, or program year, as appropriate, if the average adjusted gross non-farm income of the person or legal entity exceeds \$1,000,000, unless not less than 66.66 percent of the average adjusted gross income of the person or legal entity is average adjusted gross farm income.

A person who is determined ineligible for USDA program benefits under the Highly Erodible Land Compliance (HELIC) and Wetland Compliance (WC) provisions of the Food Security Act of 1985 will not be eligible to receive direct or indirect payments through CIG.

Technologies and approaches that are eligible for funding in a project's geographic area through EQIP are ineligible for CIG funding except where the use of those technologies and approaches demonstrates clear innovation. The burden falls on the applicant to sufficiently describe the innovative features of the proposed technology or approach (applicants should reference the appropriate State's EQIP Eligible Practices List by contacting the NRCS State office).

The grantee is responsible for providing the technical assistance required to successfully implement and complete the project. NRCS will designate a Program Contact, Administrative Contact, and Technical Contact to provide oversight for each project receiving an award.

### **IV. APPLICATION, SUBMISSION INFORMATION, AND ENVIRONMENTAL REVIEW REQUIREMENTS**

#### **A. How to Obtain Application Materials**

All Office of Management and Budget standard forms necessary for CIG submission are posted on the following website: [www.grants.gov/agencies/aapproved\\_standard\\_forms.jsp](http://www.grants.gov/agencies/aapproved_standard_forms.jsp). An application checklist is available on the CIG website: [www.nrcs.usda.gov/programs/cig](http://www.nrcs.usda.gov/programs/cig).

#### **B. Application Content and Format**

Applications must contain the information set forth below in order to receive consideration for a grant. Applicants should not assume prior knowledge on the part of NRCS or others as to the relative merits of the project described in the application. Applicants must submit seven copies of the application in the following format:

- Applications should be typewritten or printed on 8½” x 11” white paper. The text of the application should be in a font no smaller than 12-point, double spaced, with one-inch margins. If submitting applications for more than one project, submit a separate, complete application package for each project.

Applications must include all required forms and narrative sections described below. Incomplete applications will not be considered.

**1. Application Cover Sheet:** Applicants must use Standard Form 424 Application for Federal Assistance as the cover sheet for each project application. Standard Form 424 can be downloaded from [www.grants.gov/agencies/aapproved\\_standard\\_forms.jsp](http://www.grants.gov/agencies/aapproved_standard_forms.jsp) or obtained from a NRCS State Office.

**2. Project Summary Sheet:** Applicants must submit a Project Summary Sheet (no more than one page in length) that includes the listed information.

- a. Project Title
- b. Project Director name, contact information (including e-mail)
- c. Names and Affiliations of Project Collaborators
- d. Project Purpose
- e. Project Deliverables/Products
- f. Project Scope/Area
- g. Project Start and End Dates (Projects should plan to begin on or about September 30, 2009)
- h. Certification-Request for Federal Funds

**3. One-Page Abstract:** A one-page, single-sided, non-confidential technical summary that describes the work to be undertaken and the expected outcome and benefits. The technical summary should take into account the priorities and evaluation factors described in this solicitation. Pages in excess of the one-page limit will be discarded.

**4. Project Description:** The description must include the following information and should not exceed 15 pages (single-sided, double-spaced) in length:

- a. A project narrative which clearly and concisely describes the proposed project and discusses the expected benefits. The project narrative should provide a clear description of the work to be undertaken and how it will be accomplished. It must be formatted to address each of the merit review criteria listed in section V.1.B and provide sufficient information for the reviewers to evaluate the application in accordance with these merit review criteria. The project narrative should mention the amount of money applied for and matching dollars provided. The project narrative should be organized into the following sections:
  - i. Introduction
  - ii. Technical Relevance and Merit

- iii. Technical Approach/Work Plan
- iv. Energy Efficiency/Displacement, Rural Economic Development, Environmental Benefits
- v. Technical, Management, and Facility Capabilities

Note:

- Pages in excess of the 15-page limit will be discarded and not evaluated.
  - Bibliography and references for any references cited in the technical proposal. This section must include only bibliographic citations and will be included in the page count for the project narrative 15-page limit.
  - Resumes or biographical sketches for key personnel may be included. However, the resumes or biographical sketch pages will be included in the page count for the project narrative. The most important information provided should be a brief statement justifying why this individual is a good choice for involvement in the proposed project. Other information such as education, professional positions held, publications, patents, or other activities may be included, as deemed appropriate.
- b. Project background: Describe the history of and need for the proposed innovation. Provide evidence that the proposed innovation has been studied sufficiently to indicate a good probability for success of the project;
  - c. Project objectives: Be specific using qualitative and quantitative measures, if possible, to describe the project's purpose and goals. Describe how, based on the description of innovative conservation projects and activities provided in section I.C., the project is innovative;
  - d. Project methods: Describe clearly the methodology of the project and the tools or processes that will be used to implement the project;
  - e. Location and size of project or project area: Describe the location of the project and the relative size and scope (e.g., acres, farm types and demographics, etc.) of the project area. Provide a map, if possible;
  - f. Producer participation: Estimate the number of producers involved in the project and describe the extent of their involvement (all producers involved in the project must be eligible for EQIP);
  - g. Project action plan and timeline: Provide a table listing project actions, timeframes, and associated milestones through project completion;
  - h. Project management: Give a detailed description of how the project will be organized and managed. Include a list of key project personnel, their relevant education or experience, and their anticipated contributions to the project. Explain the level of participation required in the project by government and non-government entities. Identify who will participate in monitoring and evaluating the project;

- i. **Benefits or results expected and transferability:** Identify the results and benefits to be derived from the proposed project activities and explain how the results will be measured. Identify project beneficiaries, i.e., agricultural producers by type or region or sector; rural communities; municipalities. Explain how these entities will benefit. In addition, describe how results will be communicated to others via outreach activities;
- j. **Project evaluation:** Describe the methodology or procedures to be followed to evaluate the project, determine technical feasibility, and quantify the results of the project for the final report (Grant recipients will be required to provide a semi-annual report of progress, quarterly financial reports, and a final project report to NRCS. Instructions for submitting quarterly reports will be detailed in the grant agreement); and
- k. **Environmental Information and Assessment of Environmental Impacts:** Describe the anticipated environmental effects of the proposed project. The description of the potential environmental and social impacts must address all potential beneficial and adverse impacts of the proposed action. A description of the potential impacts to all environmental resources must be disclosed. Environmental resources include soil, water, air, plants, and animals, as well as other specific resources protected by law, Executive Order, and Agency policy. These resources are outlined in the NRCS Environmental Evaluation Worksheet, form NRCS-CPA-52, which is available at <http://www.nrcs.usda.gov/technical/ECS/environment/CPA-52.doc>. The CPA 52 form can be used as a guide for the scope of environmental information that should be prepared for this section of the application. In addition to describing impacts, applicants are required to assess the significance or degree of potential environmental impact of the proposed project on environmental resources. Applicants may consult with NRCS Environmental Liaison concerning the scope of what should be addressed in this section of the application.

Note: Please be aware that applications for projects with potentially adverse impacts may need to be modified in order to achieve acceptable and beneficial levels of environmental impact. If projects cannot be modified, then there is a potential during the screening process that the application may not be selected.

**5. Budget Information:** Each submittal must contain a set of three SF 424 forms – either - (SF424, 424a & 424b) or (SF424, 424c & 424d). The Standard Form (SF) 424 cover form must be accompanied by either SF424a and 424b forms (for non-construction projects) OR the SF424 c and 424d forms (for Construction projects). Standard Forms 424 are available at [www.grants.gov/agencies/aapproved\\_standard\\_forms.jsp](http://www.grants.gov/agencies/aapproved_standard_forms.jsp) or can be obtained from a NRCS State Office.

The Cost Proposal must:

- a. Indicate the amount of Federal funds requested and the matching resources provided by the applicant in order to carry out the project. The cost proposal is limited to 12 pages, plus required forms. Pages in excess of the 12-page limit will be discarded.
- b. Provide a project budget and the applicant's request for a specific amount of Federal funds under this solicitation. The project budget should show a summary of proposed costs for each task identified in the Technical Approach/Work Plan, as well as the matching or corresponding resources devoted to this project by the applicant,

including each of the participating entities in a consortium engaged to carry out the project as proposed.

c. The project budget should include the following for the applicant and each participant:

- i. Position title, number of hours, and total cost for personnel proposed;
- ii. Total cost for travel;
- iii. Proposed equipment, supplies, or other major expenses over \$5,000;
- iv. Total of all direct costs;
- v. Total of indirect costs; and
- vi. Summary of total project costs.

**6. Budget Narrative:** In addition to the SF424A or SF424C form (which ever may be appropriate for the type of proposed project) all applicants must provide a detailed narrative (3 pages maximum, single-sided and double-spaced) in support of the budget for the project, broken down by each project year. Itemize the costs necessary for successful completion of the proposed project. Indicate the total amount (both cash and in-kind) of non-Federal matching support that will be provided to the proposed project. Identify and provide documentation of the source(s), the amount, and the nature (cash or in-kind) of the matching funds. An indirect cost-rate agreement must be included if the applicant is claiming indirect costs. Indirect costs can not exceed 15 percent. In-kind costs of equipment or project personnel cannot exceed 50 percent of the applicant's match (except in the case of projects carried out by either a Beginning or Limited Resource Farmer or Rancher, or Indian Tribe, or a community-based organization comprised of or representing these entities). The remainder of the match must be provided in cash.

**7. Declaration of Beginning Farmer or Rancher, Socially Disadvantaged Farmer or Rancher:** If an applicant wishes to compete in the 10 percent set-aside funding pool (see Part III B.) that describes the provision of a set-aside pool of funding for beginning farmer or rancher, socially disadvantaged farmer or rancher, and avail themselves of the in-kind contribution exception, applicants must make a declaration in writing of their status as a Beginning Farmer or Rancher, Socially Disadvantaged Farmer or Rancher, or a community-based organization comprised of or representing these entities.

**8. Declaration of EQIP Eligibility:** Applicants must include a statement indicating that the proposed project will involve EQIP-eligible producers. Applicants must make a declaration in writing that they, or parties involved in the project, are eligible for EQIP (if EQIP eligible producers are not involved, the proposal will be considered ineligible).

**9. Certifications:** All applications must include a signed Standard Form (SF) 424B or 424D, as appropriate. SF 424 forms may be found at: [www.grants.gov/agencies/aapproved\\_standard\\_forms.jsp](http://www.grants.gov/agencies/aapproved_standard_forms.jsp) or contact a NRCS State Office. Applicants, by signing and submitting an application, assure and certify that they are in compliance with the following from 7 Code of Federal Register (CFR):

- a. Part 3017, Government wide Debarment and Suspension (Non-procurement);
- b. Part 3018, New Restrictions on Lobbying; and
- c. Part 3021, Government wide Requirements for Drug Free Workplace (Financial Assistance).

**10. DUNS Number:** A Dun and Bradstreet (D&B) Data Universal Numbering System (DUNS) number is a unique nine-digit sequence recognized as the universal standard for identifying and keeping track of over 70 million businesses worldwide. A *Federal Register* notice of final policy issuance (68 FR 38402) requires a DUNS number in every application (i.e., hard copy and electronic) for a grant or cooperative agreement (except applications from individuals) submitted on or after October 1, 2003. For information about how to obtain a DUNS number, go to <http://www.grants.gov/RequestaDUNS> or call 1-866-705-5711. Please note that the registration may take up to 14 business days to complete.

**11. Required CCR Registration:** The Central Contractor Registry (CCR) is a database that serves as the primary Government repository for contractor information required for the conduct of business with the Government. This database will also be used as a central location for maintaining organizational information for organizations seeking and receiving grants from the Government. CIG applicants must register with the CCR. To register, visit <http://www.ccr.gov>. Allow a minimum of 5 days to complete the CCR registration.

### **C. How to Submit a Written Application**

Applicants must submit one signed original copy of each project application. Hard copies must be accompanied by an electronic copy on a compact disc (CD). Electronic files must be either Microsoft Word or Adobe Acrobat (pdf) files. Applications submitted via facsimile or e-mail will not be accepted.

Applicants must submit seven copies of the application in the following format: Applications should be typewritten or printed on 8½" x 11" white paper. The text of the application should be in a font no smaller than 12-point, double spaced, with one-inch margins. If submitting applications for more than one project, submit a separate, complete application package for each project.

The address for hand-delivered applications, sent via the U.S. Postal Service, or applications submitted using express mail or overnight courier service is:

USDA - Natural Resources Conservation Service  
Lisa Coverdale, Conservation Innovation Grants Program Manager  
125 S. State Street, Room 4402  
Salt Lake City, UT. 84138.

### **D. How to Submit an Application Electronically**

Applicants may submit applications electronically through Grants.gov, the Federal Government's e-grants portal. Electronic submission through grants.gov is optional. Applications submitted through Grants.gov must contain all of the elements of a complete application and meet the requirements described above. Instructions for electronically submitting the required standard forms, abstract, narrative, and declarations are posted on Grants.gov. The cover letter requesting the State Conservationist's letter of review may be scanned as an attachment to the application.

Instructions for adding attachments are available on Grants.gov. Applications submitted electronically are date and time stamped by Grants.gov and must be received by the identified closing date. Note that NRCS is not responsible for any technical malfunctions or website problems related to Grants.gov submissions. Applicants should begin the Grants.gov process well before the submission deadline to avoid problems.

#### **E. Application Due Date**

Complete applications must be received by NRCS Utah at 125 S. State Street, Room 4402, Salt Lake City, Utah by **4:00 pm MST on June 17, 2009**. A postmark date is NOT a factor in whether an application is received on time. The applicant assumes the risk of any delays in application delivery. Applicants are strongly encouraged to submit completed applications via overnight mail or delivery service to ensure timely receipt by NRCS.

#### **F. Acknowledgement of Submission**

Applications received by the due date will be acknowledged with an official letter. If an applicant has not received an acknowledgement within 30 days of the submission, they must contact the NRCS programmatic contact (See Part VII). Failure to do so may result in the application not being considered for funding by the review panel.

#### **G. Funding Restrictions**

Awardees may not use unrecovered indirect costs as part of their matching funds. CIG funds may not be used to pay any of the following costs unless otherwise permitted by law, or approved in writing by the Authorized Departmental Officer in advance of incurring such costs:

- a. Costs above the amount of funds authorized for the project;
- b. Costs incurred prior to the date of the final executing signature of the agreement/ grant;
- c. No funds will be reimbursed under this agreement until or unless all requirements related to compliance with the National Environmental Policy Act have been satisfied;
- d. Costs which lie outside the scope of the approved project and any amendments thereto;
- e. Entertainment costs, regardless of their apparent relationship to project objectives;
- f. Compensation for injuries to persons, or damage to property arising out of project activities;
- g. Consulting services performed by a Federal employee during official duty hours when such consulting services result in the payment of additional compensation to the employee; and,
- h. Renovation or refurbishment of research or related spaces; the purchase or installation of fixed equipment in such spaces; and the planning, repair, rehabilitation, acquisition, or construction of buildings or facilities.

This list is not exhaustive. Questions regarding the allowances of particular items of cost should be directed to the administrative contact person.

## **H. Patents and Inventions**

Allocation of rights to patents and inventions shall be in accordance with USDA regulation 7 CFR 3019.36. This regulation provides that small businesses normally may retain the principal worldwide patent rights to any invention developed with USDA support. In accordance with 7 CFR 3019.2, this provision will also apply to commercial organizations for the purposes of CIG. USDA receives a royalty-free license for Federal Government use, reserves the right to require the patentee to license others in certain circumstances, and requires that anyone exclusively licensed to sell the invention in the United States must normally manufacture it domestically.

## **I. Environmental Review Requirements**

The National Environmental Policy Act (NEPA) and NRCS regulations that implement NEPA require that an environmental review be prepared for actions where the Agency has discretion and control. Accordingly, NRCS' financial assistance under the CIG program requires compliance with these regulations. As part of the application packet, applicants are required to provide environmental information pertaining to their project (described further under Part IV B.4.k.) to help NRCS determine the appropriate documentation required to comply with NEPA and NRCS regulations. If the application is selected for funding, the NRCS Program Contact and NRCS Environmental Liaison will coordinate with the selected applicant concerning documentation for compliance with NEPA. The NRCS Utah Environmental Liaison, Karen Fullen, may be contacted at 801-524-4566 or karen.fullen@ut.usda.gov. The selected applicant will be required to prepare and/or pay for the preparation of the appropriate NEPA document (e.g., Environmental Assessment and/or Environmental Impact Statement if required for NEPA compliance). Grant funding cannot be approved until the environmental review requirements demonstrating compliance with NEPA are met.

## **J. Withdrawal of Applications**

Applications may be withdrawn by written notice at any time before an award is made. Applications may be withdrawn by the applicant, or by an authorized representative thereof, if the representative's identity is made known and the representative signs a receipt for the application.

## **K. Deliverables**

Applications must include the following activities as deliverables:

- a. Semi-annual reports;
- b. Supplemental narratives to explain and support payment requests;
- c. Final report;
- d. Performance items specific to the project that indicate progress; and
- e. New technology and innovative approach fact sheet.

## **V. APPLICATION REVIEW**

### **A. Application Review and Selection Process**

Prior to the technical review, each application will be screened for completeness and compliance with the provisions of this notice. Incomplete applications, and those that do not meet the provisions of this notice, will be eliminated from competition and notification of elimination will be mailed to the applicant.

Applications meeting the provisions of this notice will be reviewed by members of the State Technical Committee or subcommittee(s) therefore. Applications will be reviewed based on the

Criteria for Application Evaluation. Reviewed applications will be forwarded to the State Conservationist, who will make the final selection and funding decisions.

## **B. Criteria for Application Evaluation**

Members of the State Technical Committee or subcommittee(s) thereof will use the following criteria to evaluate project applications.

### 1. Purpose, Approach, and Goals:

- a. The purpose and goals are clearly stated;
- b. There is strong potential for successful completion;
- c. Outcome is clearly measurable with regards to the CIG natural resource concern(s);
- d. Project conforms to RGP description of innovative projects or activities;
- e. Design and implementation of project is based on sound methodology and/or demonstrated technology;
- f. Project promotes environmental enhancement and protections in conjunction with agricultural; and
- g. The project has a significantly positive environmental impact in consideration of potentially adverse impacts.

### 2. Project Management:

- a. Milestones and timeline are clear and reasonable;
- b. Project staff has the technical expertise needed;
- c. Budget is adequately explained and justified; and
- d. Percentage that project leverages non-Federal matching funds above the required 50 percent (degree to which non-Federal matching funds are leveraged).

### 3. Transferability:

- a. Potential to transfer the approach or technology nationally or to other geographic or socio-economic areas; and
- b. Project will result in the development or improvement of NRCS technical or related materials that will help foster expanded adoption of the innovative technology or approach.

### **C. Anticipated Announcement and Award Dates**

CIG Awards are anticipated to be announced by July 1, 2009. Funds are not awarded, and work may not start, until an agreement is signed by both NRCS and the grantee. All agreements are expected to be awarded by August 14, 2009.

## **VI. AWARD INFORMATION AND ADMINISTRATION**

### **A. Award Notification**

Applicants who have been selected for funding pending environmental review will receive a letter of official notification. Upon notification of selection, the applicant should contact the NRCS Environmental Liaison, Karen Fullen, in order to determine the scope and level of NEPA documentation required for the project. Karen Fullen can be contacted at 801-524-4566 or at [Karen.fullen@ut.usda.gov](mailto:Karen.fullen@ut.usda.gov). The environmental documentation prepared to meet NEPA requirements must be prepared prior to award of grant funds. The official notice will also indicate the need to work with the administrative contact to develop an agreement prior to starting work on the project. Applicants who are not selected will be notified by official letter.

### **B. Environmental Review Requirements**

Project proponents that are selected to receive grant funding will need to work with the NRCS Program Contact and NRCS Environmental Liaison concerning what documentation will need to be prepared for compliance with the National Environmental Policy Act (NEPA) and NRCS regulations. Selected applicants may be required to prepare and/or pay for the preparation of the appropriate NEPA document if an Environmental Assessment and/or Environmental Impact Statement is needed. All NEPA and related environmental compliance requirements must be satisfied before any reimbursable costs are incurred and prior to commencement of the project.

### **C. Grant Agreement**

The CCC, through NRCS, will use a grant agreement with selected applicants to document participation in the CIG component of EQIP. The grant agreement will include:

- a. Project purpose;
- b. Project objectives and deliverables;
- c. Final project plan listing cooperators in the project and identifying the grant applicant and project manager;
- d. Project timelines and expected project completion date;
- e. Project progress and budget reporting requirements;
- f. Award amount and budget information;
- g. Information regarding requests for advance of funds or reimbursement;
- h. Role of NRCS technical oversight in the project;

- i. Changes in project plans; and
- j. Other requirements and terms deemed necessary by the CCC to protect the interests of the United States.

#### **D. Reporting Requirements**

Grantees receiving an advance of Federal funds of more than \$25,000 are required to submit a SF-272 (Report of Federal Cash Transactions) and, when necessary, the continuation sheet, SF-272-A, no later than 15 days following the end of each quarter or 90 days after project completion. These reports are used to monitor cash advanced to recipients and to obtain disbursement and outlay information for each award.

Grantees must submit a Financial Status Report (SF 269) no later than 30 days after the end of each quarter and 90 days after completion of project. The SF-272 and SF-269 are available at: <http://www.nrcs.usda.gov/programs/cig/InfoForGrantees.html>.

In addition, the grantee must submit a written performance progress report to the NRCS program contact and the NRCS technical contact every 6 months. This report is distinct from the quarterly financial report described above. Each progress report shall cover work performed during the previous 6-month period, including any funded or unfunded time extensions, a comparison of actual accomplishments to project goals, and a statement of work projected to be completed in the next 6-month period.

The grantee is responsible for providing the technical assistance required to successfully implement and complete the project. NRCS will designate a Program Contact, an Administrative Contact, and a Technical Contact to provide oversight for each project receiving an award. These individuals will have technical oversight responsibility for the project.

To satisfy the requirements of EQIP (7 CFR 1466) compliance measures, the grantee is required to submit as a component of the semi-annual progress report:

1. A list of producers, identified by name and social security number, of all EQIP-eligible producers or entities involved in the project;
2. The dollar amount of direct and indirect payment made to each individual producer or entity for any structural, vegetative, or management practices. Both quarterly and cumulative payment amounts must be submitted; and
3. A self-certification indicating that each individual or entity receiving a direct or indirect payment through this grant is in compliance with the EQIP Payment Limitation, AGI, HEL, and Wetlands Conservation Compliance Farm Bill provisions.

A progress report template will be provided to grantees by the NRCS program contact. This template is available on the NRCS CIG website at:

<http://www.nrcs.usda.gov/programs/cig/InfoForGrantees.html>.

The grantee must send copies of each semi-annual progress report to these NRCS contacts, and comply with any requests for information from these individuals. NRCS recommends that the grantee work closely with these subject matter experts throughout the course of the project.

Upon passage of the completion date of the project, a final report must be submitted within 90 days detailing project activities, funding received, funding expended, results, and potential for transferability of results. The final report should address completion of the project deliverables listed in the grant agreement.

NRCS will host an annual meeting for CIG grantees and NRCS technical contacts. Grantees may be required to give a presentation to NRCS staff and/or partners providing project updates, findings and achievements at formal or informal meetings. Grantees will be required to attend these sessions at their own expense.

## **VII. AGENCY CONTACTS**

### **CIG Program Contact:**

Lisa Coverdale  
State CIG Program Manager  
125 S. State Street, Room 4402  
Salt Lake City, UT. 84138-1100  
Phone: (801) 524-4565 Fax: (801) 524-4403  
E-mail: [lisa.coverdale@ut.usda.gov](mailto:lisa.coverdale@ut.usda.gov)

### **CIG Technical Contact:**

Elise Boeke  
Assistant State Conservationist - Technology  
125 S. State Street, Room 4402  
Salt Lake City, UT. 84138-1100  
Phone: (801) 524-4562 Fax: (801) 524-4403  
E-mail: [elise.boeke@ut.usda.gov](mailto:elise.boeke@ut.usda.gov)

### **CIG Administrative Contact:**

Pam Harvey  
Grants and Agreements  
125 S. State Street, Room 4402  
Salt Lake City, UT. 84138-1100  
Phone: (801) 524-4580 Fax: (801) 524-4403  
E-mail: [pam.harvey@ut.usda.gov](mailto:pam.harvey@ut.usda.gov)

Additional information about CIG, including fact sheets and frequently asked questions (FAQs), is available on the CIG webpage: [www.nrcs.usda.gov/programs/cig](http://www.nrcs.usda.gov/programs/cig)

Signed in Salt Lake City, Utah on May 11, 2009.

SYLVIA A. GILLEN

Utah State Conservationist  
Natural Resources Conservation Service

## VIII. OTHER INFORMATION

**Important: Applications Missing Any of These Required Items Will Not Be Considered**

### CONSERVATION INNOVATION GRANTS FISCAL YEAR 2009 APPLICATION PACKAGE CHECK LIST

- ❑ **1. Application Cover Sheet:** Complete Standard Form 424 (SF-424) Application for Federal Assistance
- ❑ **2. Project Summary Sheet:** (One page maximum, template available)
  - a. Project Title
  - b. Project Director name, contact information (including e-mail)
  - c. Names and affiliations of project collaborators
  - d. Project Purpose /Products
  - e. Project Deliverables
  - f. Project Scope/Area
  - g. Project Start and End Dates (Projects should plan to begin no earlier that September 30, 2009)
  - h. CIG Component Category (Natural Resource Concerns and Technology)
  - i. Proposal Review Category (Water Quality-Livestock; Water Quality-Not Livestock; Water Quantity; Soils Resources; Atmospheric Resources; Grazing Land, Forest Health; Wildlife Habitat, and On-Farm Energy Efficiency)
  - j. Certification-Request for Federal Funds
- ❑ **3. One-Page Abstract:** (non-confidential summary describing the project and expected outcomes and benefits)
- ❑ **4. Project Description:** (15 pages maximum, double spaced, single sided, 12 point font)
  - a. Project narrative
  - b. Project background
  - c. Project objectives
  - d. Project methods
  - e. Location and size of project area (include map if possible)
  - f. Producer participation
  - g. Project action plan and timeline
  - h. Project management
  - i. Benefits or results expected and transferability
  - j. Project evaluation
  - k. Environmental information and assessment of environmental impacts
- ❑ **5. Budget Information:** Submit a completed Standard Form 424A (SF-424a) Budget Information-Non-Construction projects or SF424C Budget Information- Construction projects.
- ❑ **6. Budget Narrative:** Submit a detailed budget narrative (maximum of 3 pages)
- ❑ **7. Declaration of Beginning Farmer or Rancher, Socially Disadvantaged Farmer or Rancher (Special Provisions):** If applicable, include a statement declaring your status as a Beginning Farmer or Rancher, Socially Disadvantaged Farmer or Rancher, or Community-based Organization representing these entities.

- ❑ **8. Declaration Environmental Quality Incentives Program (EQIP) Eligibility:** Include a statement indicating that the proposed project will involve EQIP-eligible producers. Applicants must make a declaration in writing that they, or parties involved in the project, are eligible for EQIP. (If EQIP eligible producers are not involved, the proposal will be considered ineligible.)
- ❑ **9. Certifications:** Complete Standard Form 424B (SF-424b) Assurances-Non-Construction projects or SF424D Assurances – Construction projects
- ❑ **10. DUNS Number:** For information about how to obtain a DUNS number go to [www.grants.gov/RequestaDUNS](http://www.grants.gov/RequestaDUNS) or call 1-866-705-5711. Please note that the registration may take up to 14 business days to complete.
- ❑ **11. Required Central Contractor Registration (CCR) Registration:** Visit [www.ccr.gov](http://www.ccr.gov) to register.

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