



# 2019 Partnership Grant Application Instructions

## Important Application Dates

The online system will open for submissions: **March 15, 2019**

Applications, with authorized signatures, due: **April 23, 2019, 5:00 p.m. ET**

**Applications are submitted online at: [www.ciids.org/NESARE/pg/](http://www.ciids.org/NESARE/pg/).**

## Questions?

Visit the Northeast SARE website at: [www.northeastsare.org/PartnershipGrant](http://www.northeastsare.org/PartnershipGrant).

Contact grant manager Carol Delaney at [carol.delaney@uvm.edu](mailto:carol.delaney@uvm.edu) or 802/651-8335, x 555.

## About Northeast SARE

The Northeast Sustainable Agriculture Research and Education (SARE) Program offers competitive grants to farmers, educators, service providers, researchers, and graduate students to address key issues affecting the sustainability of agriculture throughout our region.

The program—including funding decisions—is driven by the Northeast SARE **outcome statement**:

*Agriculture in the Northeast will be diversified and profitable, providing healthful products to its customers; it will be conducted by farmers who manage resources wisely, who are satisfied with their lifestyles, and have a positive influence on their communities and the environment.*



The Northeast region includes:  
Connecticut, Delaware, Maine,  
Massachusetts, Maryland,  
New Hampshire, New Jersey,  
New York, Pennsylvania,  
Rhode Island, West Virginia,  
Vermont, and Washington, D.C.

**Inside**

- [About the Grant Program](#) ..... 2
- [Use of Funds](#) ..... 3
- [Grant Timeline](#)..... 4
- [Preparing Your Application](#) ..... 4
- [Step-by-Step Instructions](#)..... 5
- [Required Documents](#) ..... 9
- [Application Checklist](#) ..... 10
- [Selected Applications](#)..... 10
- [Resources](#) ..... 11

Appendices:

- A. [Budget Guidance](#) ..... 12
- B. [Grantee Reporting and Evaluation Expectations](#)... 17

**Northeast SARE**  
University of Vermont  
140 Kennedy Drive, Suite 201  
South Burlington, VT 05403  
802/651-8335  
[northeastsare@uvm.edu](mailto:northeastsare@uvm.edu)  
[www.northeastsare.org](http://www.northeastsare.org)



Northeast SARE, one of four regional SARE programs, is hosted by the University of Vermont and is funded by the USDA National Institute of Food and Agriculture. USDA is an equal opportunity provider and employer. Northeast SARE programs are offered to all without regard to race, color, national origin, gender, religion, age, disability, political beliefs, sexual orientation, and marital or familial status.

# About the Northeast SARE Partnership Grant Program

## Overview

The Partnership Grant program funds projects conducted by researchers, educators and agricultural service providers working in direct partnership with farmers to encourage design and implementation of innovative solutions to current sustainability challenges related to production, marketing and/or household and community well-being in Northeast farming and food systems, or to strengthen working partnerships between farmers and agricultural service providers to advance sustainable agriculture.

Grants may be used for: research to improve production practices, marketing approaches, or farmer, farmworker or community well-being; education and training programs to increase knowledge and improve decision-making about sustainable practices; on-farm or in-market demonstrations of new techniques; and developing new farm management and community development approaches that support sustainable agriculture outcomes.

Northeast SARE funds a broad range of projects; there are no set restrictions on the topics that Partnership Grants may address so long as the projects lead to new information or working relationships that are consistent with our outcome statement (page 1) and address the program's review criteria. In the past, Partnership projects have experimented with new crop and production methods, addressed farm management challenges, developed unique machines and tools, explored innovative pest control and grazing strategies, tested new ways of marketing agricultural products, and more. Brief descriptions of past Partnership Grant projects are available at:

[www.northeastsare.org/PartnershipGrantExamples/](http://www.northeastsare.org/PartnershipGrantExamples/).

Please note that this program requires an explicit connection to the needs, interests and expertise of farming partners in the Northeast. It is **not** designed to support educational programs for the non-farming general public, food donation efforts, general public awareness campaigns about agriculture and nutrition, or community and school gardening initiatives.

## Eligible Applicants

The grant is open to anyone who works for an organization such as a college or university, extension, agricultural and community nonprofit, etc.; a municipality and state department of agriculture or federal agency like NRCS; or a for-profit business entity that provides agricultural consulting, veterinary services, etc. Project leaders must have the skills and experience needed to oversee and carry out their proposed work.

Applications are limited to one per individual per year. While only one proposal may be submitted from an individual applicant, more than one individual from an organization may apply.

Projects must take place within the Northeast region which includes Connecticut, Delaware, Maine, Massachusetts, Maryland, New Hampshire, New Jersey, New York, Pennsylvania, Rhode Island, West Virginia, Vermont, and Washington, D.C.

Current grant recipients who are behind in their reporting cannot apply.

Northeast SARE will not fund proposals that appear to duplicate work that has been approved for funding by another grant program (within or external to SARE). It is the applicant's responsibility to make clear to reviewers that any proposed work that is part of a project also submitted to/funded by another grant program (within or external to SARE) is unique, though it may build on or complement the other work.

### New for 2019

The time applications are due has been moved to 5:00 p.m. ET.

While smaller, one-year projects are welcome and encouraged, the funding cap for Partnership grant proposals has been increased to \$30,000 to better allow for projects that 1) enlist multi-institution or multi-disciplinary collaboration, 2) explore more complex subject matter, or 3) take longer to document results or changes.

## Farmer Partner Role

Farmers must be partners in the planning and implementation of the project. Northeast SARE defines a farm as a commercial operation with an established farm income of at least \$1,000 from crop or livestock enterprises that may include aquaculture or land based production; see the “What is a farm?” guide at [www.northeastsare.org/PartnershipGrant](http://www.northeastsare.org/PartnershipGrant) for more information. While projects must take place on farms or directly involve farm businesses, additional trial replications on a research farm are acceptable.

The application must include letters from cooperating farmers that describe their experience, confirm their commitment to and importance of the project, and outline the duties they will perform.

## Conflict of Interest

Members of the Northeast SARE Administrative Council are not permitted to apply for or receive funding from SARE grants. Members of grant review teams are not permitted to discuss or vote on applications that involve institutions for which they work, organizations for which they serve as board members or advisors, former graduate student advisees, or close friends and family.

## Public Domain

While applications and reviews will remain confidential, Northeast SARE considers funded projects, subsequent reports, and related information to be in the public domain. If SARE funds are used to develop an exclusive or proprietary process, procedure or technique, these become public information available through our reporting system.

## Funding Available

Partnership Grants are capped at \$30,000. While smaller, one-year projects are encouraged, Partnership Grant proposals that justify the need for a more robust budget will be considered, particularly if projects 1) enlist multi-institution or multi-disciplinary collaboration, 2) explore more complex subject matter, or 3) take longer to document results or changes.

If collaborating organizations are to receive funds, their role should be subsidiary to the applicant institution as the primary/largest recipient of funds. There is no matching funds requirement.

Partnership grants are competitive. Even if applicants have received SARE awards in the past, proposals are reviewed based on their merit and in comparison with other proposals, not based on historic relationships with SARE. In 2018, Northeast SARE received 31 Partnership Grant applications and funded 17 projects for a total of \$238,484.

## Use of Funds

SARE funding must comply with USDA/NIFA and University of Vermont guidelines and therefore, there are certain allowable and ineligible expenses for this grant program, listed below. All grant expenses must be incurred during the contract period, defined in the approved budget before the project begins.

### Funds may be used for expenses specific to the project:

- **Labor**, including wages or salary, and benefits, for individuals working directly on the project;
- **Supplies**, including research supplies, outreach materials, copies, postage, printing, and software specific to the project;
- **Farm equipment rental** and operating charges;
- **Services**, like soil testing, interview transcription, consulting, etc.;
- **Travel and per diem** necessary for the project;
- Specialized **equipment** rented or purchased essential for the project;
- **Journal publication fees** so long as they are incurred during the contract period; and
- **Indirect costs** up to 10 percent of total grant request.

## Funds may NOT be used for:

- **Capital costs**, including the purchase of land, buildings, livestock, machinery, orchards, greenhouses, and other major farm improvements, fixtures and expansion expenses;
- **Normal operating expenses**. Do not ask for specific overhead costs in the form of utility bills, general maintenance, general supplies, or any other expenses that would be there in the absence of the project.
- **Incentive offers** and promotional items, including items of clothing (hats, tee shirts, aprons, etc.), swag, giveaways, subsidies, raffles, gift cards, and branded promotional material;
- Purchase of **motorized vehicles** and equipment;
- Travel to scholarly meetings unless essential to the project, such as presentation of project results;
- International travel unless integral to the project's success and described in the budget justification (Note: There are certain restrictions on costs and carriers.);
- **Cell phone** charges, even if you use your cell phone in the course of the project;
- **Food** expenses unless necessary for the continuity of a training event or project meeting. (Note: When SARE funds are used for meals, USDA employees should note this on their expense reports and deduct meal costs from any per diem reimbursements.); and
- **Expenses outside the grant period**. SARE cannot pay for expenses incurred before the award start date or after the end date on the grant contract.

Additionally, it is expected that costs for copiers, cameras, computers, video equipment, and other items that have a wide range of uses beyond the boundaries of the project be provided by the applicant. To be considered as a direct cost, the item must be clearly essential and specific to the project.

## Grant Timeline

Online system opens for submissions.....	March 15, 2019
Online submission deadline.....	<b>5:00 p.m. ET*</b> , April 23, 2019
<i>*Please note that the application deadline time has changed from past calls.</i>	
Review panel ranks applications.....	April to June 2019
Northeast SARE Administrative Council makes final selections .....	July 2019
Awards announced.....	late July 2019
Funding start date for awarded projects.....	August 1, 2019

## Preparing Your Application

### Online Submission System

To access the online application system, go to: <http://www.ciids.org/NESARE/pg/>. If you do not already have one, the system will prompt you to set up an account and log you into the application site. It will be open for submissions from March 15 to 5:00 p.m. ET on Tuesday, April 23, 2019. It is highly advisable that you avoid waiting until the last minute to submit your application in case of power failures, websites going down, browser incompatibilities, bad weather, and other unexpected calamities. Staff support to answer questions or deal with technical submission issues will be available until 5:00 p.m. ET on the due date. Applications submitted after 5:00 p.m. ET on April 23 will not be accepted.

## **Advanced Planning**

Please prepare your application well in advance of the deadline, keeping in mind that the application signoff sheet must be completed and signed by you, the applicant, as well as the authorized official at your organization or institution. Work on the budget well ahead of time to verify amounts as you go. Also, allow time to receive the commitment letter(s) from your farmer partners and other collaborators. All required documents must be included with your online application.

## **Text Limits, Formatting, and Writing Suggestions**

There are word limits for most sections of the application. It is highly advisable to use a word processing program to develop the proposal content offline, ensuring it is accurate and complies with the word limits. Having your own copy is also a good backup if you need to resubmit. We offer a Word document of the application questions for this use at: [www.northeastsare.org/PartnershipGrant](http://www.northeastsare.org/PartnershipGrant).

Do not use special formatting or symbols. These will be lost when you paste the text into the online application template. Use only the keyboard symbols.

Keep the writing clear and simple. Avoid jargon and write for a mixed audience that includes farmers, researchers, extension staff, and other agricultural service providers. You can assume grant reviewers have agricultural knowledge, but may not necessarily have deep expertise in your subject area.

## **Check the Application before You Submit**

Reread your proposal in the online system before submitting it. You can view a draft any time as a pdf or html. Once you have saved your work, you can choose to leave the submission system and return to it later. Once you submit, a pdf is created and stored, available for download.

Ask a colleague or someone familiar with the grant program to review the draft of your application. A fresh set of eyes can help you identify sections that may be unclear, correct errors, and strengthen areas that may need help. SARE staff cannot review proposals but can answer questions. It is advisable to correct any mistakes online before submitting and to print out the final copy for your records.

## **Step-by-Step Instructions**

Note that grant review criteria appear next to related sections. All applications are evaluated using these criteria and must be adequately addressed for an application to be funded.

### **Proposal Title (120 characters including spaces)**

Use a clear, succinct title that captures the primary focus of the project. Avoid acronyms, jargon and unnecessary words.

### **Application Cover Page**

Provide the start date (no earlier than August 1, 2019) and end date for your project. Enter your contact information. Enter contact information for your cooperating farmer(s) and, if applicable, other essential partners involved in implementing the project. You will need to submit a signoff form completed by you and the authorized official of your organization or institution.

### **Proposal Abstract (250 words)**

This is a standalone summary of the project. It should briefly describe the issue, the objective(s), key components of your study's plan of work, and outreach strategy. Since the abstract is the first thing will reviewers see, take some time to make it clear and compelling. You may want to compose the abstract after you have written the rest of your proposal.

## 1. What is the problem and why is it important? (500 words)

Briefly state the problem, issue or opportunity the project will address and explain why it matters. Convey how addressing this problem will improve the sustainability of farming locally and, if applicable, in the Northeast region. If possible, state how and when farmers, farm groups, or other experts in the field have expressed interest or need for this type of investigation; for example, through articles, communications, or surveys.

### Review criteria:

The application adequately demonstrates a clear need for the project. Reviewers want to see documented interest or need for this type of information and how it will help farmers. The proposed project makes a direct link to at least one of the following key sustainable agriculture themes:

- reduction of environmental and health risks in agriculture;
- improved productivity, reduction of costs and/or increase of net farm income;
- conservation of soil, improvement of water quality, and protection of natural resources;
- enhancement of employment in farm communities; and
- improvement of quality of life for farmers, their employees, and the farming community.

## 2. What efforts have been made by others to solve the problem or take advantage of this opportunity? (750 words)

Tell us how your project builds on what is currently known and how it is different. If the practice or approach is known but has not been applied in the Northeast region, explain how you will test an approach that has worked elsewhere or make adaptations for your area. Citing other studies or articles is an acceptable way to demonstrate your knowledge of current research. Full citations may be included in this section or placed in a list and copied into the Citation section in the online template.

### Review criteria:

The project will contribute new information based on an understanding of related work; it will build on current knowledge and avoid merely verifying that an established sustainable practice already works.

## 3. What is/are your proposal's objective(s)? (200 words)

State your project's objective(s) starting with the phrase, "This project seeks to answer the question/demonstrate/discover..." Be specific. End by stating the benefits to farmers if the project is successful.

### Review criteria:

The application clearly states the project objectives that will be achieved leading to useful information for farmers.

## 4. What are your proposal's planned methods and measurements? (1000 words)

For field or laboratory research, include a description of proposed treatments, experimental design, treatment application, data to be collected, measurement protocols, and methods of analysis. Research methods should be rigorous; quantitative methods should yield statistically valid results when possible. While statistical analysis is not required for this grant program, it could strengthen your proposal. If you do plan to use a statistical model, state the design (e.g., one-way ANOVA, etc.).

### Review criteria:

The methods described will provide the evidence needed to meet project objectives. It is clear what will be measured; how, where, and when data will be collected, and who will conduct these activities. Supporting documents are included.

For social science or marketing research, please include a description of the target population(s), research design, methods and instruments to be used, data to be collected, measurement protocols, and methods of analysis.

For education, demonstration, training, or organizing efforts, include a description of the planned activities, engagement strategies, and who will carry out the various components of the efforts.

Explain how you will analyze, summarize, interpret and present any data gathered or program results, whether qualitative or quantitative.

On the attachments page, upload a plot or sampling plan or map, experiment diagram, outline of focus group or interview plan, set of sample survey questions, pro-forma budgets, or other supporting documentation that explains this project. Please refer to page 9 for more information on supporting documents you may need to upload to support your methods and help reviewers understand your study design.

### **5. How will you disseminate your proposed project's results? (250 words)**

Describe how, in specific terms, you will share the results of your project with farmers who can use the information, as well as with relevant organizations or stakeholders. List only what you can reasonably accomplish within your project's timeline and share what audience(s) and projected numbers will be reached.

#### **Review criteria:**

Application describes the outreach plan that have clear deliverables and realistic expectations for how farmers and other target beneficiaries will learn about the project and results.

### **6. Proposed project timetable (500 words)**

Outline the project activities in a chronological timeline that states the steps you will take, including planned outreach activities. Starting with your start date, specify in a month/year format (e.g., September 2019) when activities happen. Include how long each step will take and who will do them. Keep in mind that SARE funds will not cover any work prior to August 1, 2019 and that the timeline should align with your budget justification spreadsheet in terms of personnel paid, testing, etc.

#### **Review criteria:**

The timetable is realistic and includes descriptions of who will do what, when and how long each step will take. The timetable is aligned with the project's budget justification.

### **7. What experience, skills and capacity do you, your organization, partner farmer(s), and key collaborators bring to the project? (750 words)**

Describe your qualifications to carry out this work, including expertise, management skills, and outreach capabilities. Explain your organization's experience with projects like this one and, if applicable, specify any organizational contribution of labor, money, or facilities such as a laboratory, greenhouse, livestock, fields, etc.

Name your partner farmer(s) and describe their role in the project.

Describe any key collaborators (including consultants, trainers, etc.) involved.

Signed letters of commitment from your partner farmer(s) and other key collaborators are required (see page 10) and are reviewed for content. Applications with missing letters will be disqualified.

#### **Review criteria:**

The application adequately describes the technical, professional and organizational capacity of both the project leader and the organization to manage the project and communicate effectively with the project's participants and target audiences. The partner farmer(s) is experienced and able to implement the plan.

### **8. Citation list (no word limit)**

Provide a list of citations referenced elsewhere in your application. If you included citations in the other sections, you need not enter anything here.

## 9. What is your budget? (no word limit)

There are two components of the budget: 1) a budget justification and narrative template (an Excel spreadsheet in .xls or .xlsx format) that should be completed first and 2) budget summary in the online application where subtotals from major budget categories from the template are entered.

The budget should be a realistic and complete accounting of anticipated project expenses. A budget lacking sufficient detail may decrease the chances for funding.

See [Appendix A](#) for a sample budget justification and narrative template and budget summary.

### Review criteria:

A clear and sensible budget is proposed. The budget is internally consistent (units provided and math is correct), and justifies how the funds will be spent. Budget items are allowable and reasonable. The overall budget request is appropriate to the scale, scope, and expected results of the project.

**Budget Justification and Narrative Template.** Use the Northeast SARE budget justification and narrative template (Excel spreadsheet) provided in the “Tools for Applicants” application materials at: [www.northeastsare.org/PartnershipGrant](http://www.northeastsare.org/PartnershipGrant). Use only the categories in the template (personnel, materials and supplies, travel, printing/publications, other direct costs, etc.), adding rows or expanding row heights or column widths as needed to accommodate your narrative and justification. Justify each expense with narrative description. Show how each requested amount was determined by itemizing the quantity and per-unit cost of each expense.

Enter any funds for collaborator(s) from another institution or organization in the “Subcontract/ Subawards” section. Make sure their funding request is not the majority of the total budget and upload their plan of work and their own budget spreadsheet with itemized details as separate documents.

Since the budget submitted is what reviewers will approve and requests for changes after submission may not be approved, take the time to calculate your expenses for this project. Only include funds requested from SARE in this budget justification. When complete, upload the Excel template (do not convert to a pdf format) to the online application system.

**Budget Summary.** In the online submission system, enter the budget subtotals for each of the categories of personnel, materials and supplies, travel, printing and publications, and other direct costs, making sure that your dollar amounts exactly match those in your budget justification and narrative template. Only submit one total expense in each category; detailed information is not needed in the online summary.

## Project Categories and Demographic Information

Before the final submission page, you will be asked to identify the topic(s) and commodity(ies) your project addresses. In addition, you will be asked to provide some confidential demographic information. You'll have the option of selecting “choose not to reply” to these questions as this section needs to be completed to submit the proposal. Demographic information is used for internal use only and is not shared with reviewers nor linked to proposals.

## Submission Acknowledgment

Once you submit your application, you should see an acknowledgment page that confirms that Northeast SARE received your application. Later, you will receive another submission acknowledgement from the Northeast SARE office as an email that includes a link to a survey that asks about your experience with the grant application process. Your feedback is anonymous but we greatly appreciate it as it helps us improve our program.

## Required Documents

Applications with missing or incomplete required documents will not advance to grant review so be sure they are attached to your application. Supported uploaded document formats are .pdf, .doc, .docx, .xls, and .xlsx.

Attachments must be directly related to the proposed project work. Do not attach extraneous materials such as brochures or resumes. Do not attach letters of general support from people who are not direct participants. Before submitting the proposal, be sure to upload the following documents. Failure to upload any of the required documents will result in disqualification of your proposal.

### Required Attachments for All Applications

- Signed letter(s) of commitment from partner farmer(s) that includes their role and responsibilities in the project, agricultural or pertinent experience/expertise, a description of their farm, and their comments on the need, potential for success and impact of the project (as a .doc, .docx or .pdf file).
- Budget justification and narrative template (as an .xls or .xlsx file).
- Application sign-off sheet. Complete the information, sign it, and obtain signatures from your organization or institution's authorized official. The completed sign-off sheet is required at the time of application, so be sure to bring this to your institution's authorized official well before the submission deadline.

### Attachments Required in Specific Situations

- If there are consultants, other farmers or other collaborators directly participating in your project, attach a signed letter of commitment from each individual.
- Subawardees need to provide their own plans of work and budget detail documents.
- If you are conducting field trials or on-farm demonstrations, attach plot plans or diagrams for experimental design (hand-drawn is acceptable).
- If you are proposing an invention or prototype, attach diagrams, sketches or explanatory images.
- If your project proposes a feasibility or economic viability study, attach a proof of concept or pro-forma budget.
- If your project will measure changes in human learning or behavior, include sample surveys.

## Application Checklist

Use this checklist to ensure that your application is complete before submitting.

- Cover page with proposal abstract (250 words)
- What is the problem and why is it important? (500 words)
- What efforts have been made by others to solve the problem or take advantage of this opportunity? (750 words)
- What is/are your proposal's objective(s)? (200 words)
- What are your project's planned methods and measurements? (1000 words)
- How will you disseminate your proposed project's results? (250 words)
- Proposed project timetable (500 words)
- What experience, skills and capacity do you, your organization, partner farmer(s), and key collaborators bring to the project? (750 words)
- Citation list (no fixed word limit)
- What is your budget? (no fixed word limit)

### Attachments:

- Signed letter(s) of commitment from partner farmer(s)
- Budget justification and narrative template
- Application sign-off sheet
- All other supporting documents (outlined in Required Documents, above)

## Applications Selected for Funding

If the Northeast SARE Administrative Council selects your project for funding, you may expect the following.

### Notification

The Northeast SARE Administrative Council will meet to select applications for funding in late July 2019 and SARE staff will notify applicants of the status of their applications after the meeting.

### Contracting and Disbursement of Funds

The authorized official of the grant recipient's organization or institution will receive a Subcontract Agreement from the University of Vermont, the host institution for Northeast SARE. Funds are to be used exclusively for project activities, subject to the restrictions outlined in "Use of Funds." Funds are released on a reimbursement basis on a net 30-day term to the institution or organization upon invoices with supporting documentation. Since funds are released on a reimbursement basis, your organization needs to have the financial capacity to pay project expenses up front, including payments for any collaborator subawardees. Northeast SARE will hold the last 20 percent of the award until the project work, including outreach, has been completed and the final project report has been received and approved by SARE staff.

For more information, please refer to, "Managing Your Northeast SARE Partnership Grant," at:

[www.northeastsare.org/ManagePartnershipGrant](http://www.northeastsare.org/ManagePartnershipGrant).

### IACUC and IRB Documentation

If your project is funded and involves livestock, SARE requires certification of protocol review from your university's Institutional Animal Care and Use Committee (IACUC) before issuing an award contract. If your project is funded and involves humans as research subjects, your institution may require a Protection of Human Research Subjects review, and SARE will need a completed approval document from your institution's Institutional Review Board (IRB) for Protection of Human Subjects in Research.

## Required Reporting

Northeast SARE requires annual progress reports and a comprehensive final report for all projects. All reports will be submitted in the national SARE online reporting system. Reports should describe the progress made on the research project, detail the findings observed, and document any outputs and impacts. All outreach and educational activities should be reported as well as any measured changes in knowledge or awareness, attitudes and opinions, and/or the adoption of new practices. Publications, photos, and other documentation should be added to the report as attachments to help document and promote the project.

Annual progress reports are due on January 15 and final reports are due within 60 days of the project's end date. The final report should include full, detailed results of the project and outreach activities conducted.

Northeast SARE asks that Partnership Grant recipients provide contact information for at least two years after the project has ended to allow for follow-up and response to inquiries about the project (see Appendix B for types of post-project information SARE collects). For more information on what SARE hopes its project investments will achieve, see the SARE Logic Model at: [www.northeastsare.org/LogicModels](http://www.northeastsare.org/LogicModels).

## Acknowledging SARE

Grantees are required to acknowledge Northeast SARE as the funding source in all project publications and outreach materials.

## Resources

The following SARE resources may help you as plan and write your application.

- Refer to the SARE bulletin, "How to Conduct Research on Your Farm or Ranch," at: [www.sare.org/Learning-Center/Bulletins/How-to-Conduct-Research-on-Your-Farm-or-Ranch](http://www.sare.org/Learning-Center/Bulletins/How-to-Conduct-Research-on-Your-Farm-or-Ranch).
- Visit SARE's national reporting site to learn about funded projects: [projects.sare.org/search-projects/](http://projects.sare.org/search-projects/).
- The Alternative Farming Systems Information Center (AFSIC) at the National Agricultural Library specializes in identifying resources about sustainable food systems and practices: [www.nal.usda.gov/afsic](http://www.nal.usda.gov/afsic). Information specialists can share resources and search techniques that may be relevant to your application. Contact AFSIC via the web, email at: [afsic@nal.usda.gov](mailto:afsic@nal.usda.gov), or phone: 301-504-6559.

## Appendix A: Budget Guidance--Explanation of Expense Categories and Examples

Use one of the Northeast SARE budget justification and narrative templates (Excel spreadsheet) provided at: [www.northeastzare.org/PartnershipGrant](http://www.northeastzare.org/PartnershipGrant). You may select a template that matches your project's length (i.e., one-, two-, or three-year overall budget length) and fits your institution's budgeting needs. Complete descriptions for each item; the template will total categories for each year, and you will use these category totals to enter in the online project summary. Expenses must be itemized—comprised by the quantity and per-unit cost of each expense--and include a narrative description that explains the need for and use of each expense, and calculate the total cost of each item. Round subtotals to the nearest dollar. Save and upload the budget justification in a spreadsheet format (.xls or .xlsx only). While descriptions of budget items are provided in the template, see below for more explanations of some budget categories.

### Personnel

Show **personnel costs** – your time or the time of other employees – as an hourly rate times anticipated time needed to complete the project, or, if salaried, the percentage of time (FTE) and salary rate. Provide the same detail (normally in hours) for consultants, which can include cooperating farmers or project collaborators. Use your timeline section to help you estimate the hours worked.

### Non-Personnel

For **materials and supplies**, be sure to itemize the quantity and per-unit cost of each expense. For example, if under materials you are proposing to buy spiral-bound notebooks, your budget line should list the item, specify why they are needed, how many are needed, and the cost per unit (“Notebooks for field day trainings, 150 @\$3 each = \$450”).

Perennials and livestock may be considered within the materials and supplies expense line. Perennial crops or livestock are generally unallowable expenses for the purposes of establishing a commercial enterprise. However, if you are conducting a variety trial, or testing a crop that is new to your region, and the amount is clearly what would be sufficient for plot trials and not to establish commercial production, the purchase of perennial plants is allowable. The purchase of bees for research is also allowable when the numbers are in accord with creating a common basis for treatment comparison. The introduction of smaller, shorter-lived animal species as a treatment of a study can be an allowable expense if the cost is low, an example being the use of ducks or chickens as pest or weed control. Feed during the study period is allowed and housing or fencing investments are treated as equipment expenses, as described above in the previous section. If the livestock are a normal part of your farm operation, only request the cost of the livestock if they are in addition to the numbers you usually carry and the study involves a loss of income. SARE funds are not meant to subsidize farm expansions.

For **travel**, include who is traveling, where they are going, the purpose of the trip, and the distance per trip (“Four farmers, car travel to trainings, travel from their farms to the research station, once a month for three months for twelve 60-mile average round trips @ \$0.545/mile = \$392.40”). International travel is discouraged and, if proposed, must be integral to the project's success and described in your budget justification. There are certain restrictions on costs and carriers; contact SARE staff for details.

### Other Direct Costs

**Conferences/Meetings/Workshops-Expenses.** **Food expenses** are typically **not** allowed unless clearly justified as light refreshments or working lunches necessary for the continuity of a training or meeting.

**Purchase of Equipment / Rental of Equipment or Land-use Charges.** Your organization should already have essential office supplies such as copiers, cameras, computers, video equipment, and other items that could have a wide range of uses beyond the boundaries of the project, so any requests for these items must be clearly justified as essential and specific to the project. SARE funds cannot be used to pay

general overhead expenses such as utility bills, general maintenance, general office supplies, ongoing operating costs, or other expenses that would be there in the absence of the project. General-use items like these are part of your institutional overhead and are covered by the allowance for indirect costs.

**Subcontracts/Subawards.** Provide the name and institution of the subawardee and the total funds requested. The subawardee will provide a plan of work and their own budget (may use SARE budget template or own as long as detail is there.)

### **Indirect Costs**

If your institution or organization has a currently active federally negotiated indirect cost rate, you can request 10% of the overall award as indirect. Calculate this amount by dividing the project's direct costs by nine, or estimate it as 11.11 percent of direct costs. If your institution's rate is less than this calculation, you must use the lesser amount or, if your institution has never had a federally negotiated rate, you may request a de minimis rate of 10 percent of direct costs.

Private businesses are issued service agreement contracts and do not qualify for indirect funds, and they may include any direct office and administrative expenses as direct costs.

# Example of Budget Justification and Narrative

The following example is provided for illustrative purposes only.

Budget Justification and Narrative		Applicant's name and institution:		Yao Chiang, Jackson College		
Funding Categories / Item Name	Narrative justification of expense	Unit	Quantity	\$ per unit	Quantity x \$ =	
<b>PERSONNEL</b>						
<i>Only people employed by the recipient organization or farm should be listed in this category. Those employed elsewhere should be listed under "Other direct costs," or, if individuals are to be paid by another institution via a subaward to that institution, they should be included in a separately detailed subcontract budget and the subcontract total should be listed below under "Subcontracts" in "Other direct costs."</i>						
<b>Salaries and wages.</b>						
<i>Provide narrative detail of each person's role in the project or the services they are providing through their work on the project. Show full-time equivalency as a percentage and salary for each year, or provide hourly wage times number of hours, to equal total \$ requested.</i>						
<b>Project leader(s).</b>						
Yao Chiang, associate director, Home Research Center, Jackson College	Coordinate activity with the participating farm to oversee the experiment and outreach effort, 1 year	FTE	0.05	\$ 75,580.00	\$	3,779.00
					\$	-
<b>Student wages.</b>						
					\$	-
					\$	-
<b>Support staff.</b>						
Ratan Choudary, student assistant	summer labor; setting out treatments, collecting the insect counts and samples, entering data into computer database, measuring harvest yields	hr.	165	\$ 15.50	\$	2,557.50
					\$	-
<b>Other hired labor.</b>						
					\$	-
					\$	-
<b>Subtotal: Salaries and wages</b> (rounded to the nearest dollar)					\$	<b>6,337</b>
<b>Fringe benefits.</b>						
<i>If applicable, provide the fringe rate that will be applied to wages above and the total for each wage line or category.</i>						
Fringe on PI labor at 45%		%	0.45	\$ 3,779.00	\$	1,700.55
Fringe on student labor at 22%		%	0.22	\$ 2,557.50	\$	562.65
					\$	-
<b>Subtotal: Fringe benefits</b> (rounded to the nearest dollar)					\$	<b>2,263</b>
<b>PERSONNEL TOTAL</b> (salaries, hourly labor, and fringe benefits)						<b>\$8,600</b>
<b>NON-PERSONNEL</b>		<b>Unit</b>	<b>Quantity</b>	<b>\$ per unit</b>	<b>Quantity x \$ =</b>	
<b>Materials and supplies.</b>						
<i>Indicate each item with quantity and estimated cost. Include narrative justification on how the item fits the project, its direct need and why not otherwise available through the organization. Items must be project-specific and able to be tracked as being used for the project. General-use items such as office supplies are not allowable unless the items can be tracked and itemized for a project-specific purpose.</i>						
Seed	for planting treatment plots, 3 lbs per 40 plots	lb.	120	\$ 4.69	\$	562.80
Insect traps	for monitoring aphids, one per 12.5 feet X 10 sides	ea.	125	\$ 5.49	\$	686.25
Plastic mulch	for field plot planting	acre	2	\$ 400.00	\$	800.00
Sample bags, one ream of 500 #6	for field samples, plant material	ream	1	\$ 49.59	\$	49.59
Zip-lock bags	for field samples, soil samples, 20 per box	box	10	\$ 4.89	\$	48.90
					\$	-
<b>Subtotal: Materials and supplies</b> (rounded to the nearest dollar)					\$	<b>2,148</b>
<b>Travel.</b>						
<i>For travel of employees/personnel only; list consultant travel under consultants and list conference attendee travel under trainee support. Provide detail as to the destination, purpose of the travel, who is traveling, number of travelers. If a mileage reimbursement, provide miles x rate (not more than federal rate). If lodging, provide rate x number of nights. If travel meals, specify the per diem or allowance to be used</i>						
Yao Chiang	Nine round trips from campus to cooperating farm to monitor project and collect samples by project leader @ 25 miles	miles	450	\$ 0.545	\$	245.25
Yao Chiang	One round trip from campus to State Experiment Station by project leader to share preliminary results	miles	62	\$ 0.545	\$	33.79
Yao Chiang	Project leader to present at regional vegetable conference, lodging 3 nights	nights	3	\$ 150.00	\$	450.00
					\$	-
<b>Subtotal: Travel</b> (rounded to the nearest dollar)					\$	<b>729</b>

<b>Publications/printing.</b>					
<i>Publishing of an article in a scientific or technical journal or other type of field/program related publication or for commercial printing of brochures and program materials. Photocopying costs should be included under "Other direct costs."</i>					
		Unit	Quantity	\$ per unit	Quantity x \$ =
Printed color guidebook, to be duplicated at Princeton Printing.	For outreach in winter workshop training programs. Cost estimate from printer for 24 page booklets.	each	100	\$ 9.95	\$ 995.00
					\$ -
<b>Subtotal: Publications</b> (rounded to the nearest dollar)					<b>\$ 995</b>
<b>Other Direct Costs</b>					
<i>Communications. Mailings, postage, conference calls. Cell phone charges are not allowable.</i>					
Postage for field day outreach	300 flyers sent in mail @ \$0.46 each	each	300	\$ 0.460	\$ 138.00
					\$ -
<i>Photocopying. In-house photocopying.</i>					
Photocopying of handout for field day	for field day, 12 pages each packet, 50 attendees	page	600	\$ 0.05	\$ 30.00
					\$ -
<i>Speaker / trainer fees. Include name, fee, and description of the services they are providing.</i>					
Pierre Boivert, retired extension entomologist	four half-days assisting with training farmer and staff on major dates for data collection, measurements, and interpretation	half-day	4	\$ 125.00	\$ 500.00
					\$ -
<b>Consultants.</b>					
<i>Name of those receiving stipends or payments for services and their organization or farm, statement of work or description of what will be done to earn the payment, and breakdown of number of days or hours of service and rate of pay. Provide detail of consultant expenses to be reimbursed such as travel. Add attachment if needed to define the scope of work.</i>					
Insect Specialist/Consultant, TBD	For insect IPM work in study to determine threshold and identification of pests-2.5 hrs/month for 4 months @ \$55/hr	hrs	10	\$ 55.00	\$ 550.00
					\$ -
					\$ -
<b>Services.</b> For non-contracted services rendered for the project. Provide details (fees or hired payments, purpose and quantities).					
LabTech, LLC.	Lab analyses of 33 forage samples	each	99	\$ 12.00	\$ 1,188.00
LabTech, LLC.	Tissue analyses	each	4	\$ 125.00	\$ 500.00
LabTech, LLC.	PSNT tests	each	32	\$ 4.50	\$ 144.00
<b>Conferences/meetings/workshops.</b> Note that costs for project personnel traveling to conferences should be under "Travel".					
Pierre Boivert, retired extension entomologist	Travel to State Research station to assist in presenting preliminary results	miles	72	0.545	\$ 39.24
					\$ -
<b>Conferences/meetings/workshops.</b> Expenses of holding meetings or training events. Note that travel by employees/personnel should be listed under Travel, and travel for presenters under either Consultants or Speakers, and travel for trainee participants under Trainee Support.					
Signage	Directions, date, time for field day event	each	2	\$ 35.00	\$ 70.00
					\$ -
					\$ -
					\$ -
<b>Off-site office rental.</b> Only allowable if necessary for a project specific purpose.					
					\$ -
					\$ -
<b>Purchase of equipment (or the cost of fabrication of equipment).</b>					
					\$ -
					\$ -
<b>Rental of equipment or land-use charges</b>					
Extra land rental for experimental plots	Rented in 10 acre units	acre	10	\$ 125.00	\$ 1,250.00
					\$ -
<b>Other / miscellaneous.</b> These costs must always be identified in order to be allowed.					
Antonello De Campo	cooperating farmer for test field prep, laying mulch, planting, and maintenance	days	2	\$ 300.00	\$ 600.00
					\$ -
<b>Sum of Other Direct Costs before subcontracts/subawards</b> (rounded to the nearest dollar)					<b>\$ 5,009</b>
<b>Subcontracts/Subawards.</b>					
<i>List the institution, organization or farm. Provide project leader's name and amount of subaward. For each subaward, attach a proposed plan of work and include a spreadsheet of budget detail justification/narrative.</i>					
Nafesa Ibrahim	Delaware State University			Total from separate spreadsheet:	\$ 4,500
				Total from separate spreadsheet:	
<b>Sum of all subcontracts</b>					<b>\$ 4,500</b>
<b>Subtotal: Other direct costs</b> (rounded to the nearest dollar)					<b>\$ 9,509</b>

<b>NON-PERSONNEL TOTAL</b>		<b>\$ 13,381</b>
<b>TOTAL DIRECT COSTS</b>		<b>\$21,981</b>
<b>Indirect costs.</b> Describe indirect rate or calculations being used, not to exceed the allowed cap, so round down when necessary. Farms and other private businesses should leave the amount blank or enter \$0 (see below).	<i>Indirect costs, federally negotiated rate higher than 10%; accepting 10% of total request, calculated as 0.1111 of total direct costs</i>	\$ 2,442.00
<b>TOTAL SARE REQUEST</b>		<b>\$ 24,423</b>
<b>Acknowledge that indirect has been offered through the application instructions by checking off (X) one of the boxes below.</b>		
Indirect is requested, based on the de minimis rate (our organization has never had a federally negotiated indirect cost rate).		<input type="checkbox"/>
Indirect is requested, based on having a federally negotiated indirect cost rate (subject to USDA/NIFA cap of 10% federal funds).		<input checked="" type="checkbox"/>
No indirect is requested.		<input type="checkbox"/>
<b>Notice of availability of indirect cost recovery.*</b>		
<b>Non-profit organizations and academic institutions may be eligible to claim indirect cost recovery as follows:</b>		
An organization not having a federally negotiated rate for indirect costs, and never having had one previously, may claim up to 10% of modified total direct costs (MTDC) as de minimis to cover overhead.**		
An organization having a current federally negotiated rate for indirect costs may request indirect up to the USDA/NIFA cap for this program, which currently is 10% of the total SARE request.***		
If your organization previously had a federally negotiated rate but it is no longer in effect, your organization is not eligible for indirect funds.****		
* <b>Small for-profit businesses</b> (such as commercial farms, veterinary services, private consultants, farm service or product suppliers) receiving SARE awards through UVM will receive vendor service agreements as a contract (rather than a subaward agreement with the flow down of federal regulation) and these service agreements cannot include indirect. Any overhead expenses that can be directly attributable to the grant project may be included in the direct cost budget.		
** <b>De minimis.</b> Organizations that have never had a federally negotiated rate agreement may use a de minimis rate of 10% of modified total direct costs (MTDC). MTDC includes all direct costs except for subaward amounts above \$25,000 for each subaward organization, and also excludes trainee/participant support costs, long-term rentals, and equipment purchases.		
*** <b>Current negotiated rate.</b> For institutions having a current federally negotiated rate, to calculate the cap (10% of total funds) divide total direct costs by nine (and round down) or multiply direct costs by 11.11%.		
**** <b>Ineligible for indirect.</b> Organizations with previously negotiated indirect cost rates that are no longer in effect may not use the previous rate and may not use de minimis, i.e., your organization is not eligible to receive indirect costs.		

## Example of Budget Summary

The subtotals are taken from the budget justification and narrative template above and entered into the online application system.

Personnel total.....	\$8,600
Materials and supplies total.....	\$2,148
Travel total.....	\$729
Printing and publications total.....	\$995
Other direct costs total .....	\$9,509
Indirect costs* (limited to 10% of overall federal funds) .....	\$2,442
Total grant funds requested (rounded to nearest dollar).....	\$24,423

\*The indirect may be up to 10 percent of direct costs at the de minimis rate, if your organization never had a federally negotiated rate.

## Appendix B: SARE Partnership Grantee Reporting and SARE Post-Project Evaluation

Logic model category	Performance indicators <i>(When you report, you will receive prompts for these indicators, but are expected to report only where you have information to report.)</i>	Who Collects / When Reported	
		Grantee collects/ reports by end of project	SARE collects/ post project (from grantee and/or farmer partner(s))
Participants	Number of farmers participating in research	✓	
	Number of farmers reached through outreach	✓	
	Number of agricultural service providers reached through outreach	✓	
Outputs: – activities – information – products	Research activities conducted	✓	
	Research results of the project	✓	
	Number and type of outreach activities conducted to share project results	✓	
	Number of journal articles in press or published <i>(if produced)</i>	✓	✓G, F
	Number and types of other, non-refereed outreach publications <i>(if produced)</i>	✓	✓G, F
Learning outcomes	Number of farmers directly involved in project who report changes in KASA (knowledge, attitudes, skills, awareness)	✓	✓G, F
Action outcomes	Number of farmers directly involved in project who use information learned to adopt a practice, approach, technology <i>(including what is adopted)</i>	✓	✓G, F
	New collaborations as a result of project <i>(by grantee and/or farmers)</i>	✓	✓G, F
	SARE grant leveraged another grant <i>(by grantee and/or farmers)</i>	✓	✓G, F
	Number of citations of project results		✓G, F
Condition outcomes	Economic, environmental, social benefit(s) for farmers/ranchers from making changes on farm/ranch		✓G, F