2013 Illinois Specialty Crop Grant Program

Funded by the United States Department of Agriculture's Specialty Crop Block Grant Program - Farm Bill (*www.ams.usda.gov/scbgp*)	**CFDA# 10.170**

Proposal Submission Guide

Proposals Due: March 15, 2012

Electronic submission of proposal as a PDF document by email is the preferred method of delivery. **Each proposal must be received at the Department by 4:00 p.m. on March 15, 2012.** Applications received after 4:00 p.m., March 15, 2012 (regardless of the postmark date) will not be considered for funding. If delivered personally, secure a receipt from the receptionist. Electronic and fax submissions are allowable. If submitted electronically, ask for email in response confirming receipt.

Submit Applications To:

Email: delayne.reeves@illinois.gov

Fax: 217/524-9129

Mail: IL Specialty Crop Grant Program
Illinois Department of Agriculture
State Fairgrounds, 801 E. Sangamon Ave.
Springfield, IL 62702-1813

Program Contact Information

Delayne Reeves
Illinois Department of Agriculture
State Fairgrounds, 801 E. Sangamon Ave.
Springfield, IL 62702-1813

Phone: 217/524-9129 Fax: 217/524-5960
E-mail: ***delayne.reeves@illlinois.gov***

Introduction

The Illinois Department of Agriculture will be receiving specialty crop block grant funds from the U.S. Department of Agriculture for the Specialty Crop Block Grant Program - Farm Bill (SCBGP-FB) for projects that will begin during calendar year 2013. These grant funds will be used to fund the 2013 Illinois Specialty Crop Grant Program to enhance the competitiveness of specialty crops. The purpose of this grant program is to provide funding through grants for projects relating to the expansion of the specialty crop industry in Illinois. It is estimated that project activities will begin around January 1, 2013 and should conclude by September 29, 2015 at the latest with final reports due at the conclusion of the project and no later than June 30, 2015.

Program Authority

On December 21, 2004, the Specialty Crops Competitiveness Act of 2004 (7 U.S.C. 1621 note) authorized the Department of Agriculture (USDA) to provide grants to State departments of agriculture solely to enhance the competitiveness of specialty crops.

The Food, Conservation, and Energy Act of 2008 (Farm Bill) amended the Specialty Crops Competeveness Act of 2004 and authorized the USDA to provide grants to States for each of the fiscal years 2008 through 2012 to enhance the competitiveness of specialty crops.

Funding

- All proposals and funding levels will be evaluated against the program objective of being rational and meaningful with a measurable means of expanding the Illinois specialty crop industry.
- The Department has the right to reduce a proposal's funding request during the review process.
- The Department reserves the right to consider larger funding requests for projects with exceptional merit.
- Only one funded project per funding cycle will be allowed per organizational unit.
- Preference will be given to regional and/or state-wide projects.

ELIGIBLE GRANT PROJECTS

SOLELY ENHANCE THE COMPETITIVENESS OF ILLINOIS GROWN SPECIALTY CROPS

To be eligible for a grant, the project(s) must **solely enhance the competitiveness** of Illinois grown specialty crops in either domestic or foreign markets. See the SCBGP-FB website (*http://www.ams.usda.gov/scbgp)*, for a complete list of eligible specialty crops and ineligible commodities.

Eligible Specialty Crops

- Algae
- Chickpeas
- Christmas trees
- Cocoa
- Coffee
- Cut flowers
- Dry edible beans
- Dry peas
- Foliage
- Fruit grapes for wine
- Garlic
- Ginger root
- Ginseng
- Herbs
- Honey
- Hops
- Kava
- Lavender
- Lentils
- Maple syrup
- Mushrooms
- Organic fruits and vegetables
- Peppermint
- Popcorn
- Potatoes
- Seaweed
- Spearmint
- Sweet corn
- Sweet Sorghum for human consumption
- Tea
- Vanilla
- Vegetable seeds

Eligible Specialty Crops

The list of Eligible Specialty Crops is determined by the U.S. Department of Agriculture.

The following list of commodities is compiled based on comments and questions received on the definition of "specialty crops". The list is not meant to be comprehensive and will be updated as necessary. **For the complete list and updates, please go to USDA, Agricultural Marketing Service website: *http://www.ams.usda.gov/scbgp*.**

Commonly recognized fruits, vegetables, tree nuts, dried fruits, and nursery crops (including floriculture) are not listed, but are eligible specialty crops.

Ineligible Commodities

- Cotton and cottonseed
- Feed crops such as barley, corn, hay, oats, sorghum grain, millet, alfalfa
- Flaxseed
- Food grains such as rice, rye, wheat
- Livestock and dairy products, including eggs
- Marine or fresh water aquaculture
- Oil crops such as peanut, soybean, sunflower, rapeseed, canola, mustard seed, evening primrose, borage
- Peanuts
- Range grasses
- Sugar beets
- Sugarcane
- Tobacco
- Tofu

Where appropriate, details contained in this document are incorporated from the United States Department of Agriculture, Agricultural Marketing Service's Specialty Crop Block Grant Program - Farm Bill website: http://www.ams.usda.gov/scbgp

ELIGIBLE GRANT PROJECTS, *continued*

ELIGIBILITY

- Proposals will be accepted from non-profit organizations, producer organizations, government agencies, universities, and other organizations related to Illinois' specialty crops industry.
- Proposals cannot be accepted from individuals, individual producers, for-profit businesses, or commercial entities unless the project is focused on research, education, demonstration or in some way benefits the specialty crop industry in a means that can be adequately demonstrated.
- Grant funds will not be awarded for projects that solely benefit a particular commercial product or provide a profit to a single organization, institution, or individual.
- Projects must have a very strong information dissemination and outreach component where results from the project are shared with others and that others may benefit from the project.
- Proposals that involve collaboration or partnerships between producers, industry groups, academics, or other organizations are encouraged.
- Applicants may cooperate with any public or private organization involving agricultural development, research, and/or marketing to enhance Illinois' specialty crop industry.
- If two or more individuals or organizations propose a joint project, they must submit one application as co-applicants.

SOLELY ENHANCE THE COMPETITIVENESS OF ILLINOIS GROWN SPECIALTY CROPS

Projects must ***solely*** enhance the competitiveness of specialty crops. Projects are encouraged pertaining to the following issues affecting the specialty crop industry:

- Increasing child and adult nutrition knowledge and consumption of specialty crops;
- Improving efficiency and reducing costs of distribution systems;
- Assisting all entities in the specialty crop distribution chain in developing "Good Agricultural Practices", "Good Handling Practices", "Good Manufacturing Practices", and in cost-share arrangements for funding audits of such systems for small farmers, packers and processors;
- Investing in specialty crop research, including research to focus on conservation and environmental outcomes;
- Enhancing food safety;
- Developing new and improved seed varieties and specialty crops;
- Pest and disease control; and
- Development of organic and sustainable production practices.

Potential grantees may wish to consider submitting grant proposals that increase the competitiveness of specialty crop farmers, including Native American and disadvantaged farmers. Increasing competiveness may include developing local and regional food systems, and improving food access in underserved communities.

COMPLETED WITHIN THREE CALENDAR YEARS

Projects must be completed within three calendar years after the grant agreement is signed by USDA, AMS and IDOA. Projects shall conclude by September 29, 2015 at the latest with the final report due no later than June 30, 2015.

ELIGIBLE GRANT PROJECTS, *continued*

BENEFIT MORE THAN ONE PRODUCT OR ORGANIZATION

Proposals for grant funds should describe how the project potentially impacts and produces measurable outcomes for the specialty crop industry and/or the public rather than a single organization, institution, or individual.

Grant funds will not be awarded for projects that solely benefit a particular commercial product or provide a profit to a single organization, institution, or individual. Single organizations, institutions, and individuals are encouraged to participate as project partners.

The following are some examples of acceptable and unacceptable projects:

EXAMPLES OF UNACCEPTABLE PROJECTS

- A company requests grant funds to purchase starter plants or equipment used to plant, cultivate, and grow a specialty crop for the purpose of making a profit, or to expand production of a single business.
- A State requests grant funds to make grants to individual specialty crop businesses or roadside stands to promote their individual business.
- A sole proprietor requests grant funds to redesign her/his logo in order to make her/his specialty crop value-added product stand out at the local farmers market.
- A company that develops specialty crop value-added products requests funds to train its employees how to make its value-added products.
- A specialty crop producer requests funds to promote their asparagus at a roadside stand.

EXAMPLES OF ACCEPTABLE PROJECTS

- A State requests funding to contract with a university to conduct research on the feasibility of planting, cultivating, and growing a specialty crop in a particular area, the results of which can be shared with many growers throughout the State.
- A single grower requests funds to demonstrate the viability of organic small fruit production and partners with Cooperative Extension to publicize the working model of diversification to other regional growers.
- A single company requests funds to provide a viable pollination alternative to specialty crop stakeholders in the region, which currently does not have one.
- A single specialty crop organization requests funds to conduct an advertising campaign that will benefit their specialty crop members.
- A single farmer erects high tunnels on their property to extend the growing season of tomatoes and lettuce and conducts a field day and farm tour to encourage other small family farmers to adopt the production methods.

MULTI-STATE PARTNERSHIPS

Multi-state projects are encouraged to provide a growing need for solutions to problems that cross state boundaries such as, but not limited to: addressing good agricultural practices, research on crop productivity or quality, enhancing access to federal nutrition programs, pest and disease management, or commodity-specific projects addressing common issues in multi-state regions. If interested in working with a particular state or states, please contact the Specialty Crop Block Grant Program – Farm Bill office. For contact information, please go to USDA, Agricultural Marketing Service website: *http://www.ams.usda.gov/scbgp*.

ADMINISTRATION OF GRANTS - *http://www.ams.usda.gov/scbgp*

The following federal grant uniform administrative requirements to the management of each grant award, and the Illinois Department of Agriculture shall in turn apply these requirements to their subgrantees based on the type of organization through their contractual or cooperative linkages. For example, if the Department subawards to a non-profit, the administrative requirements applicable to a non-profit will apply.

- State and Local Governments and Indian Tribal Governments – 7 CFR 3015 and 7 CFR 3016
- Colleges and Universities – 7 CFR 3015 and 7 CFR 3019
- Non-Profits – 7 CFR 3015 and 7 CFR 3019
- For Profits – 7 CFR 3015 and 7 CFR 3019
- 7 CFR Part 3052, "Audit of States, Local Governments, and Non-profit Organizations"

ALLOWABLE COSTS - *http://www.ams.usda.gov/scbgp*

All awards and subawards are subject to those cost principles applicable to the particular organization concerned. For example, if the Department subawards to a university, the cost principles applicable to a university will apply. Please refer to the applicable cost principles when developing your project activities and budget. You may reference **Appendix A List of Selected Items of Cost Contained in OMB Cost Principles Regulations** *(http://www.ams.usda.gov/AMSv1.0/getfile?dDocName=STELPRDC5095255)* to locate the principles applied in establishing the allowability or unallowability of specific items of cost.

All costs must be associated with project activities that enhance the competitiveness of specialty crops.

- **State and Local Governments and Indian Tribal Governments –**

  2 CFR 225 (OMB Circular A-87)

  (http://www.whitehouse.gov/sites/default/files/omb/fedreg/2005/083105_a87.pdf).

  See **SCBGP-FB Appendix B Unallowable and Allowable Costs for State Governments** *(http://www.ams.usda.gov/AMSv1.0/getfile?dDocName=STELPRDC5095256)*, for specific unallowable and allowable costs under the SCBGP-FB for State governments.
- **Colleges and Universities –**

  2 CFR 220 (OMB Circular A-21)

  (http://www.whitehouse.gov/sites/default/files/omb/fedreg/2005/083105_a21.pdf)
- **Non-Profits –**

  2 CFR 230 (OMB Circular A-122)

  (http://www.whitehouse.gov/sites/default/files/omb/fedreg/2005/083105_a122.pdf)
- **For Profits –**

  48 CFR Part 31.2

  (http://ecfr.gpoaccess.gov/cgi/t/text/text-idx?c=ecfr&sid=9b6facc60293cad8d7dd87f703f5f2fe&rgn=div6&view=text&node=48:1.0.1.5.30.2&idno=48)

RESTRICTIONS AND LIMITATIONS ON GRANT FUNDS

- Grant funds shall supplement the expenditure of State funds in support of specialty crops grown in that State, rather than replace State funds.
- Grant funds may not be used to fund political activities in accordance with provisions of the Hatch Act (5 U.S.C. 1501-1508 and 7321-7326).
- Development or participation in lobbying activities pursuant to 31 U.S.C. 1352 including costs of membership in organizations substantially engaged in lobbying are unallowable.
- Capital expenditures for general purpose equipment, buildings, and land are unallowable as direct and indirect charges.

  Capital expenditures means expenditures for the acquisition cost of capital assets (equipment, buildings, land), or expenditures to make improvements to capital assets that materially increase their value or useful life. Acquisition cost means the cost of the asset including the cost to put it in place. Acquisition cost for equipment, for example, means the net invoice price of the equipment, including the cost of any modifications, attachments, accessories, or auxiliary apparatus necessary to make it usable for the purpose for which it is acquired. Ancillary charges, such as taxes, duty, protective in transit insurance, freight, and installation may be included in, or excluded from the acquisition cost in accordance with the governmental unit's regular accounting practices.

  General purpose equipment means equipment, which is not limited to research, scientific or other technical activities. Examples include office equipment and furnishings, telephone networks, information technology equipment and systems, reproduction and printing equipment, and motor vehicles.

  Equipment means an article of nonexpendable, tangible personal property having a useful life of more than one year and an acquisition cost which equals or exceeds $5000.
- Capital expenditures for special purpose equipment are allowable as direct costs, provided that items with a unit cost of $5000 or more have the prior approval of USDA, AMS. (Note: Prior approval from AMS means that the special purpose equipment must be included in the Department's State Plan, and the State Plan must receive approval from AMS. If special purpose equipment was not originally included in the approved State plan, then the grantee must request approval from AMS to purchase the equipment before utilizing grant funds.)

  Special purpose equipment means equipment which is used only for research, scientific, or other technical activities. The special purpose equipment must solely enhance the competitiveness of eligible specialty crops and benefit the specialty crop industry.
- Rental costs of buildings and equipment are allowable as direct costs in accordance with the cost principles in Subpart T of 7 CFR 3015.

PROPOSAL PROCEDURES AND REQUIREMENTS

Proposal Deadline - March 15, 2012 at 4:00 pm

- **Electronic email submissions (Microsoft Word or PDF documents) are preferred**. A response email confirming receipt should be requested. Email submissions should be emailed to *delayne.reeves@illinois.gov*.
- Fax submissions are allowable. **Faxes must be legible on the receiving side to allow scanning and text recognition.** An email in response confirming receipt should be requested. Faxes should be sent to 217/524-5960.
- If a hard copy of the proposal is being submitted, one copy of each proposal packet must be received at the Department by **4:00 p.m. on March 15, 2012**.
- **Applications received after 4:00 p.m., March 15, 2012 (regardless of the postmark date and delivery method) will not be considered for funding.**
- If delivered personally to the Illinois Department of Agriculture, secure a receipt from the receptionist.

REVIEW PROCESS AND STATE PLAN

Grant proposals will be assessed by an internal review committee within the Illinois Department of Agriculture as well as an external committee of representative from throughout the agricultural community by utilizing the "2013 Illinois Specialty Crop Grant Program, Proposal Packet Requirements, IDOA Internal Review Committee Questions and Scoring Criteria" *(copy provided at the end of this Application Guide document)*.

Recommendations will subsequently be made to the Director of Agriculture who will determine those projects selected for funding and the level of funding of each project. These selected proposals will then be submitted to the United State Department of Agriculture for final approval as part of the State of Illinois' State Plan Application.

GRANT AGREEMENT

If the project is selected for funding, a grant agreement will be executed between the organization responsible for the project and the Department. By signing the grant agreement, each Grantee will be agreeing to execute all aspects of the grant agreement according to all applicable State and Federal Regulations or as they may be later revised, and successive published regulations as appropriate; complete activities outlined in the approved Proposal, any approved revisions thereto, and the approved Project Budget; adhere to the SCBGP-FB Award Terms and Conditions as set forth within the grant agreement; and commence the timely drawdown of funds; initial drawdown must be made within the first year of the grant period.

PROPOSAL INSTRUCTIONS

- Proposals must meet ALL set requirements. Failure to follow and complete ALL requirements will result in the proposal not being considered for funding.
- All proposals, including the cover page and budget page, **must** be typed or computer generated.
- The preferred format of the document submitted is electronically (as a PDF or Microsoft Word document).
- Applicants must also submit a W-9 form (*http://www.irs.gov/pub/irs-pdf/fw9.pdf*) (included in proposal packet).
- Copies of the required proposal forms may be requested from the Illinois Department of Agriculture and are also available through the Illinois Department of Agriculture's website (*www.agr.state.il.us*). *NOTE:* All proposal forms are included in this packet.
- Each proposal must be stapled in the upper left hand corner, only.
- **Do not** bind proposals in notebooks, plastic bindings or specially printed covers.
- Proposals must contain page numbers.
- The acceptable font size for the narrative is 11 or 12 pitch with all margins at 1 inch.
- The Application provided by the Department is to be the first page of the proposal packet.
- Do not include instruction pages, additional cover sheets, etc… in your proposal packet.

Important Definitions

- In-kind Contributions: Actual services provided by applicant or third party – no money changes hands. The estimated amount of in-kind contributions needs to be included in the financial letter of commitment that accompanies the application.
- Matching Funds: Additional cash or cash equivalent provided by applicant or third party. Estimated amount of matching funds also needs to be included in the financial letter of commitment. If funds are being provided by someone other than the applicant; the individual and/or company will also have to submit a letter of financial commitment and it will have to be included in the final application. Failure to do so will result in your application not being considered.
- Total Project Cost: All necessary and reasonable costs related to the completion of the project as identified in the budget.

PROGRAM POLICIES

The Illinois Department of Agriculture reserves the right to:

- Reject any or all proposals received
- Request additional information on project proposals
- Provide partial funding for proposal, that may be less than the full amount requested in the grant application
- Require a good faith effort from the project sponsor to work with the Illinois Department of Agriculture subsequent to project completion to develop reporting data or implement the project results, where applicable
- Withhold any payments that do not meet grant conditions
- Require refunding of grant monies used for expenditures not allowed or unauthorized as well as any funds that are not spent at the conclusion of the grant period
- Grantees agree to comply with all applicable federal, state, and local laws, codes, regulations, rules, and orders. The grant will be governed by and construed in accordance with the laws of the State of Illinois. Information submitted in grant proposals is subject to Illinois law.
- Grantees will be accountable for all grant funds awarded.
- Grantees shall maintain books, records, receipts, and accounting procedures and practices sufficient to reflect all costs claimed to have been incurred for the performance of the grant agreement.
- Monthly and final reports shall document all grant expenditures and activities funded with grant funds.
- Monthly reports are due in the IDOA offices on the first business day of each month of the grant agreement period. The final report is due no later than 30 days after the conclusion of the grant period or by June 30, 2015 at the latest. Failure to adequately meet these deadlines can result in the Department of Agriculture terminating the grant agreement and requesting the refund of all grant monies from the grantee.
- As specifically outlined in the grant agreement, Grantees will make receipts, books, and records available for audit or examination by the Department of Agriculture if requested. Records will be maintained for three years from start date of the project.
- Department maintains the option for ownership of any print, broadcast or electronic media generated with grant funds.

PROGRAM POLICIES, *continued*

- Grantees must obtain prior approval from the Illinois Department of Agriculture (Department will notify USDA, SCBGP-FB staff) if there is:

1. Change Key Personnel

   When it is necessary to change the program contact, submit a written request (email is acceptable) to the Department to forward to USDA, SCBGP-FB staff. The notification shall contain the new subgrantee organization or contact name and contact information as well as the approved project tile. The SCBGP-FB grant agreement number affected is also required and will be supplied by the Department to relevant communications.

2. Scope or Objectives

   When it is necessary to modify the scope or objectives of the award, submit a written justification for the change to include the:

   1) The SCBGP-FB grant agreement number affected is required and will be supplied by the Department to relevant communications;
   2) The approved project tile(s) affected by the change(s);
   3) A description of the revised scope or objectives of the award; and
   2) The signature of the Project Coordinator for the Department (State Agency).

   If requesting to discontinue all or a portion of a project in order to add a new project, submit a written justification for the change following the guidelines (details will be provided by the Department) with the new project proposal to include:

   1) Project Title;
   2) Project Partner;
   3) Project Abstract
   3) Project Purpose;
   4) Potential Impact;
   5) Expected Measurable Outcomes;
   6) Work Plan;
   7) Budget Narrative;
   8) Project Oversight;
   9) Project Commitment; and
   10) Signature of the Project Coordinator for the Department (State Agency).

3. Extension of Grant Agreement

   Where an extension of time is required; the extension(s) must be received in writing no later than 60 days prior to the expiration date of the award. The request project contact must contain the following information:

   1) The SCBGP-FB grant agreement number affected is required and will be supplied by the Department to relevant communications;
   2) The length of additional time required to complete project objectives and a justification for the extension;
   2) A summary of progress to date (status of project timeline and objectives…etc.);
   3) An estimate of remaining funds on the scheduled expiration date;
   4) A projected timetable to complete the project for which the extension is being requested; and
   5) Signature of the Project Coordinator for the Department (State Agency).

   Note: All awards are limited to 3 years in duration from the date the grant agreement was signed by the Department.

4. Budget Changes

   Where a modification to the USDA, SCBGP-FB approved budget is required (movement of funds between approved financial categories), the modification must be approved in writing by the USDA, SCBGP-FB if the cumulative amount of such a modification exceeds 20 percent (20%) of the project's total budget as last approved by the SCBGP-FB. A request for a budget change shall include:

   1) A description of the change; and
   2) A justification for the change; and
   3) Signature of the Project Coordinator.

   Note that if the cumulative amount of allowable budget change is less than 20 percent (20%), prior SCBGP-FB approval is not required, but the Department should still be notified.

REQUESTS FOR PAYMENT

Payments of grant funds must be requested by the Project Coordinator using the Quarterly Report Form that will be provided by the Department. Quarterly cash advances shall be limited to the minimum amounts needed to meet current disbursement needs and shall be scheduled so the funds are available closely as is administratively feasible to the actual disbursements for program costs. Payments will be processed by IDOA on a timely fashion. Payment is dependent upon IDOA receiving the funds from USDA, AMS. Each grantee is required to have a certified W-9 on file with the Illinois Comptroller's Office (a copy of the required W-9 form is included in this proposal packet and the completed form must be submitted with the project proposal).

Requests for payments should be scheduled so that all grant funds are utilized by the end of the grant agreement. Any unutilized grant funds at the end of the grant period must immediately be refunded back to IDOA and should be submitted as a check for that amount with the final report that is due no later than 30 days after the conclusion of the grant period.

REPORTING REQUIREMENTS

Monthly Report

On the first business day of each month, the grantee is required to submit via fax or email a completed monthly grant report. Any report NOT received on that date will be considered late. Monthly grant progress report submissions and prior grant history are used when evaluating future grant applications. Failure to submit two reports in a row is cause for the agency's General Counsel to send a letter outlining how to bring the grant into compliance before the agency takes additional action.

All grantees will be required to submit monthly progress reports as funds will be paid in quarterly cash advances at the beginning of the grant term. A copy of the report template is available from the Department. The reports will be monitored for progress and to ensure grantee is proceeding correctly and adhering to all terms and conditions outlined in the grant agreement.

**NOTE: The monthly report template should NOT be used for the final report. The final grant report should be a separate narrative but it will include the financial chart as shown in the monthly report template.

Final Report

Once all grant dollars have been spent or at the conclusion of the grant term, the grantee must submit a final report. A final written report, describing the work performed, copies of all completed grant generated work, results obtained and economic impact is due to the Department within 30 days after the completion of the grant. The final written report shall include a project narrative evaluating the success of the project and identify the performance measures used in the evaluation. The Department can also request the Grantee make a formal presentation to the Department reviewing the results of the grant. Reports and grant funded project results may be posted on State and Federal websites.

The items in the following Checklist must be in the final report and documentation submitted to the Department. <u>Do not use the monthly report template for this report.</u>

FINAL REPORT CHECKLIST

Project Title

- ☐ Provide the project's title.

Project Summary

- ☐ Provide a background for the initial purpose of the project, which includes the specific issue, problem, or need that was addressed by this project.
- ☐ Establish the motivation for this project by presenting the importance and timeliness of the project.
- ☐ If the project built on a previously funded project with the SCBGP or SCBGP-FB describe how this project complimented and enhanced previously completed work.

Project Approach

- ☐ Briefly summarize activities performed and tasks performed during the grant period. Whenever possible, describe the work accomplished in both quantitative and qualitative terms. Include the significant results, accomplishments, conclusions and recommendations. Include favorable or unusual developments.
- ☐ Present the significant contributions and role of project partners in the project.

Goals and Outcomes Achieved

- ☐ Supply the activities that were completed in order to achieve the performance goals and measurable outcomes for the project.
- ☐ If outcome measures were long term, summarize the progress that has been made towards achievement.
- ☐ Provide a comparison of actual accomplishments with the goals established for the reporting period.
- ☐ Clearly convey completion of achieving outcomes by illustrating baseline data that has been gathered to date and showing the progress toward achieving set targets.

Beneficiaries

- ☐ Provide a description of the groups and other operations that benefited from the completion of this project's accomplishments.
- ☐ Clearly state the quantitative data that concerns the beneficiaries affected by the project's accomplishments and/or the potential economic impact of the project.

Lessons Learned

- ☐ Offer insights into the lessons learned by the project staff as a result of completing this project. This section is meant to illustrate the positive and negative results and conclusions for the project.
- ☐ Provide unexpected outcomes or results that were a effect of implementing this project.
- ☐ If goals or outcome measures were not achieved, identify and share the lessons learned to help others expedite problem-solving.

Contact Person

- ☐ Name the Contact Person for the Project
  - Telephone Number
  - Email Address

Additional Information

- ☐ Provide additional information available (i.e. publications, websites, photographs) that is not applicable to any of the prior sections.
  - If project involved creation of any work product, a copy of those items should be included with the final report. Likewise for any additional materials created with grant dollars. Examples can be submitted as photocopy, jpeg or PDF of the artwork.
- ☐ Chart outlining grant fund use & expenditures
  - For this portion of the final report you are required to use the chart from the monthly report template. This is the only section of the monthly report that should be used in the final report.
- ☐ Copies of all invoices relating to grant fund expenditures
  - For this portion of the final report you are required to submit detailed invoices for each expenditure that utilized grant funds.

Additional Documents

- 2013 Illinois Specialty Crop Grant Program
  Proposal Content Details
  USDA, AMS Specialty Crop Block Grant Program—Farm Bill (SCBGP-FB)
  Excerpts from Appendix C—State Plan Format (Last Updated: 31 October 2011)
  This document is provided to the applicant for reference purposes. This document outlines in detail the USDA, AMS requirements for Project Profiles to be submitted within the State's Plan.

- 2013 Illinois Specialty Crop Grant Program
  Proposal Packet Requirements
  IDOA Internal Review Committee Questions and Scoring Criteria
  This form is provided to the applicant for reference purposes. The actual form will be utilized by the IDOA Internal Review Committee during review of all submitted applications.

- 2013 Illinois Specialty Crop Grant Program
  Application
  This form is required for the project proposal and should be included as the first page of the proposal packet when submitted to the Department.

- 2013 Illinois Specialty Crop Grant Program
  Budget Information
  This form is required for the project proposal, monthly report and final report.

- United States Department of the Treasury, Internal Revenue Service
  W-9 Form *http://www.irs.gov/pub/irs-pdf/fw9.pdf*
  This form is required for the payments by the Illinois Office of the Comptroller.

2013 Illinois Specialty Crop Grant Program
Proposal Content Details

SPECIALTY CROP BLOCK GRANT PROGRAM - FARM BILL (SCBGP-FB)

CFDA Number: 10.170
Website: www.ams.usda.gov/scbgp

Excerpts from

APPENDIX C - STATE PLAN FORMAT

Last Updated: 31 October 2011

PROJECT PROFILES

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

The following information shall be included in each project profile:

PROJECT TITLE

The title shall adequately describe the project.

ABSTRACT

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

PROJECT PARTNER ORGANIZATION

Include the name of the organization that will partner with the State department of agriculture to lead and execute the project.

PROJECT PURPOSE

The following questions shall be addressed in this section:

- What is the specific issue, problem or need to be addressed by the project?
- Why is the project important and timely?
- What are the objectives of the project?
- Does the project have the potential to enhance the competitiveness of non-specialty crops (ex: farmers market, general buy local, etc.)?
    - IF YES, describe the methods or processes the applicant will use to ensure all grant funds will solely enhance the competitiveness of eligible specialty crops. (Ex: using the registration process for a conference to ensure that only specialty crop farmers attend; matching 50 percent of the funds to cover a portion of the project that does not benefit specialty crops)
- If the project builds on a previously funded SCBGP or SCBGP-FB project, then
    - Describe how the projects differ from one another. Provide a summary (3 to 5 sentences per project) of the results of the completed work on this project, the long-term quantifiable effects of these results (especially as they impact on the specialty crop industry), and how this year's funding will supplement or build on previous funding from the SCBGP or SCBGP-FB.
- Has the project been submitted to or funded by another Federal or State grant program?
    - IF NO, indicate that it has not.
    - IF YES, identify which Federal and/or State grant program and describe how the project differs from and supplements efforts of the SCBGP-FB and the other Federal or State grant program rather than duplicates funding efforts. The SCBGP-FB will not fund duplicative projects.

EXAMPLE 1

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

EXAMPLE 2

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

EXAMPLE 3

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

EXAMPLE 4

The State will partner with a production team to create a suite of six television and radio public service announcements to introduce and promote locally produced specialty crops (**OBJECTIVE**) thereby changing the purchasing behavior of consumers and retailers to "buy local" (**NEED**). This project is a State marketing program. The State will only promote eligible specialty crops such as strawberries, almonds, and peaches. Matching funds will be used to promote other commodities which fall under the state marketing program but are outside the scope of the specialty crop definition **(METHODS OR PROCESSES USED TO ENSURE ALL GRANT FUNDS ENHANCE THE COMPETITIVENESS OF ELIGIBLE SPECIALTY CROPS)**. This project has not been submitted or funded by another Federal or State grant program.

POTENTIAL IMPACT

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

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

EXAMPLE 1

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

EXAMPLE 2

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

EXAMPLE 3

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

EXPECTED MEASURABLE OUTCOMES

The following questions shall be answered in this section.

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

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

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

STEPS TO DEVELOPING OUTCOME MEASURES

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

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

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

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

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

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

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

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

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

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

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

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

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

4) DEVELOP YOUR PERFORMANCE MONITORING PLAN OR DATA COLLECTION PLAN

Define who your data sources are and how the data will be collected. If the project involves a survey, provide some information about the nature of the questions that will be asked, the methodology to be used and the population to be surveyed. If a draft questionnaire is available, you may want to include a copy with the application. Outline how data gathered will be used to correct deficiencies and improve performance, both as it gathered and analyzed and in subsequent project periods. This data collection plan should be integrated into your work plan and budget. When expected measurable outcomes are monitored outside the grant period, include the performance monitoring plan in the expected measureable outcomes section and indicate how monitoring will occur after the grant period ends without Specialty Crop Block Grant Program funding.

EXAMPLES OF OUTCOME MEASURES

The following are examples of outcome measures.

EXAMPLE 1

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

Volume Increase:

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

TARGET 2008: 60,000

TARGET 2009: 70,000

TARGET 2010: 80,000

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

EXAMPLE 2

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

EXAMPLE 3

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

EXAMPLE 4

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

EXAMPLE 5

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

EXAMPLE 6

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

EXAMPLE 7

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

WORK PLAN

The following questions shall be addressed in this section:

- What activities are necessary to accomplish the project objectives?
    - When will your performance monitoring/data collection plan activity be accomplished?
    - How will outcomes measures be completed or measured inside the grant period?
- Who will do the work of each activity? If collaborative arrangements or subcontracts are used, make sure you specify their role and responsibilities in performing project activities.
- When will each activity be accomplished? Include timelines for accomplishing each activity. Make sure to include the month and year the project is scheduled to begin and end.

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

EXAMPLE 1

Project Activity	**Who**	**Timeline**
Assemble the specialty crop steering committee to provide direction throughout project	Agricultural Marketing Council, specialty crop industry representatives from the mushroom, apple, and peach councils	January 2008 - Begin

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

EXAMPLE 2

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

The media campaign will consist of television, radio, and print advertisements. The advertisements will promote the Specialty Crop Program, educate consumers on why they should "Buy Local" when selecting trees, shrubs, and flowers to plant on their properties and encourage consumers to consult with Nursery Certified Professionals when purchasing these plants. The advertisements will be placed in key markets of the state during the spring and summer of 2009 when consumers are most likely to be purchasing plants and plant materials.

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

EXAMPLE 3

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

Meet weekly with selected growers at crop fruition (field)	State University Personnel	10 - 13 months
Collect data from both grower groups on pest densities, crop damage, crop yield and quality, pesticide usage, pest management costs and other pest mgmt. techniques used by growers	State University Personnel	14 - 15 months
Survey growers completing year one in the IPM program as to attitudes and understanding of IPM techniques	Cooperative Extension Personnel	10 months
Compare survey results to initial survey; assess impact of program outcomes	State University Personnel	10 - 11 months
Incorporate most successful ideas/ techniques into IPM field guide with scouting procedures, pest life cycle calendars, and cultural controls, reduced-risk pesticides, and biocontrol Cooperative Extension Personnel options for different pests	State University Personnel	10 - 13 months
Develop/ deliver annual grower workshops to introduce/ improve field guide	Cooperative Extension Personnel	27 - 36 months – End January 2012

BUDGET NARRATIVE

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

PERSONNEL

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

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

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

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

EXAMPLE

Personnel ($27,000.00)

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

FRINGE BENEFITS

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

EXAMPLE

Fringe Benefits ($9,585.00)

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

TRAVEL

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

Note: All travel expenses shall follow grant applicant's written travel policies or U.S. General Services Administration (GSA) rates at http://www.gsa.gov/portal/category/100000.

EXAMPLE

Travel ($1,608.00)

Total funds of **$518.00** are requested for in-state travel to conduct field surveys of PepMV in City X (2 overnight trips) and in City Y (2 day trips) and to attend the annual Agricultural Center Field Day (1 day trip). The total in-state travel cost will consist of car rental (7 days @ $32.00/day), lodging (2 nights @ $60.00), and food (6 days @ $29.00/day). In addition, **$1,090.00** in out-of-state travel funds are requested to defray the travel expense for the PI or designee to attend and present their research findings at the annual American Phytopathological Society meeting in Nashville, TN in 2010. The cost comprises of flight from City Z to Nashville ($350.00), lodging (5 nights @ $99.00), and food (5 days @ $49.00/day).

EQUIPMENT

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

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

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

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

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

- Special Purpose Equipment means equipment which is used only for research, scientific, or other technical activities. Examples of special purpose equipment include microscopes, spectrometers, and equipment which are used for a single purpose to solely enhance the competitiveness of eligible specialty crops and benefit the specialty crop industry and not a particular commercial product or provide a profit to a single organization, institution, or individual.

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

EXAMPLE

Equipment ($5,000.00)

For the purchase of a 96-well thermocycler to accommodate the large numbers of PCR-related experiments outlined in the project. The University donates the use of one ultra-high speed centrifuge, two high speed centrifuges, and three microcentrifuges, and one Biorad iCycler real-time PCR system (with a usage value of $20,000.00) for the entire duration of the project as matching contributions for this project. All the equipment listed above is required for completion of the project.

SUPPLIES

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

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

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

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

EXAMPLE

Supplies ($4,446.00)

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

CONTRACTUAL

- Provide a short description of the services each contract covers.
- Indicate if the cost is a flat rate fee or hourly rate.
- Indicate the flat rate fee or hourly rate to be applied.

- If hourly rates exceed the salary of a GS-14 step 10 Federal employee in your area (for more information please go to www.opm.gov and click on Salaries and Wages), please provide a justification. In preparing your justification, please select from the following situations and include in your detailed justification.

  1) A description of the steps you took to hire a contractor, which includes obtaining a cost/price analysis from at least three contractors who can perform the service. The purpose of the cost analysis is to review and evaluate each element of cost to determine reasonableness. (Please provide company name and contract amount for each analysis.)

  OR

  2) Due to the complexity or uniqueness of the project, the pool of available and qualified contractors is limited. Therefore, the selected contractor's specialized qualifications necessitate hiring at a rate beyond a GS-14 step 10. (Please outline the unique qualifications of the contractor.)

  - List general categories of items the contract covers such as professional services, travel, lodging, indirect costs, etc.
  - Show the total for all SCBGP-FB funded contractual.

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

EXAMPLE

Contractual ($23,000.00)

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

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

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

OTHER

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

- Conferences/Meeting – Costs of holding a conference or meeting are included in this category. Some examples are the rental of facilities or equipment for the meeting. Details of costs for each conference or meeting should be broken out and provided in the budget.
  - When paying for the travel of a person to attend a conference, meals and lodging may be included in the cost without additional justification.
  - Meals may not be charged as project costs when individuals decide to go to lunch or dinner together when no need exists for continuity of a meeting. Such activity is considered to be

an entertainment cost. In contrast, meals may be charged to the project when a justification is provided that such activity maintains the continuity of the meeting and to do otherwise will impose arduous conditions on the meeting participants. Some examples of acceptable justifications are that the conference facility is located in a remote area where public facilities are not accessible; there will be a speaker and business discussions during the meal; there is insufficient time available to allow participants to go out on their own. If one or more of these justifications cannot be met, or if there are no other acceptable and compelling reasons, then the meals should not be charged to the award. The attendees should be responsible for providing their own meals.
    - Breakfasts for conference attendees are usually considered unallowable as it is expected these individuals will have sufficient time to obtain this meal on their own before the conference begins in the morning.
- Communications – Mailings, postage, express mail, faxes, and telephone long distance charges. Provide the estimated cost for this category.
- Speaker/Trainer Fees – Provide the amount of the speaker's fees and a description of the services they are providing.
- Publication Costs – Provide the estimated cost of printing of brochures and other program materials or scientific or technical journals as well as an estimate of the number of pieces to be printed/published.
- Data collection – Provide the estimated cost of collecting performance data to measure the project outcome measures.
- Show the total for all SCBGP-FB funded Other.

EXAMPLE

Other ($7,493.00)

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

INDIRECT CHARGES

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

The limit on indirect costs will be published in a Federal Register notice each fiscal year. Indirect costs on the grant as a whole (including subprojects) should not exceed the limit published in the Federal Register notice each fiscal year.

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

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

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

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

EXAMPLE

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

PROGRAM INCOME

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

If program income is earned it may be used for 1) expanding the project or program; 2) continuing the project or program after the grant or sub grant support ends; and 3) supporting other projects or programs that further the broad objectives of the grant program. Program income may only be expended on allowable costs that solely enhance the competitiveness of specialty crops.

EXAMPLE

Program Income ($4,750.00)
Registration Fee for 8 week workshop series **- $2,500.00**

Apprentice fee **- $2,250.00**

The income derived from this project will be reinvested into the project to support specialty crop farmer education and participation in future specialty crop workshops.

PROJECT PARTNER OVERSIGHT

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

- Who or what organization will oversee the project activities?
- How will oversight be performed? For example, will weekly or monthly meetings be held to discuss performance toward the completion of the project?

EXAMPLE

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

PROJECT COMMITMENT

Provide the following information in this section:

- What specialty crop stakeholders outside the lead organization support this project and how?
- How will all project stakeholders work toward the goals and outcomes of the project?

EXAMPLE

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

MULTI-STATE PROJECTS

Provide the following information in this section if the project is a multi-state project:

- Which other states are participating?
- How will all States collaborate effectively?
- Has each state participating in the project submitted the project in their State plan?
- Which State is taking the coordinating role (State will be responsible for performance reporting)?
- What percent of the budget is covered by each State?

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

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

EXAMPLE

Grant request: $50,000

State A portion	Direct $30,000
	Indirect $1,500
State B portion	Direct $30,000
	Indirect $1,500

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

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

2013 Illinois Specialty Crop Grant Program

Funded by USDA's Specialty Crop Block Grant Program - Farm Bill
(SCBGP-FB - CFDA #: 10.170)

Proposal Packet Requirements
IDOA Review Committee Questions and Scoring Criteria

SCORE (IDOA Review Committee)

There will be 100 points possible, based on the answers to the following items. ***100 points possible***

All sections of the Proposal as outlined below are required and must be submitted to include all requested details in order and complete. Proposals not following all guidelines set forth in the Request For Proposal Packet will be rejected and will not be considered for funding until all requirements are met.

		Contained in Submitted Proposal Packet: Yes	No		Score
Project Application	Required			The application, supplied by the Illinois Department of Agriculture, must be included with the project proposal as the first page of each submitted grant application packet.	
Project Title	Required			The title shall adequately describe the project	
Organization's Name	Required			Include the name of the organization that will partner with the State department of agriculture to lead and execute the project.	
Abstract (200 words or less)	5 points			Include a project abstract of 200 words or less. The project abstract must contain a summary of the proposed project suitable for dissemination to the public. It should be a self-contained description of the project and should contain a statement of objectives and methods to be employed.	
Project Purpose	5 points			**The following questions shall be addressed in this section:**	
				➢ What is the specific issue, problem or need to be addressed by the project?	
				➢ Why is the project important and timely?	
				➢ What are the objectives of the project?	
				➢ Does the project have the potential to enhance the competitiveness of non-specialty crops (ex: farmers market, general buy local, etc.)?	
				Yes / No: IF YES, how will the applicant ensure that all grant funding is being used to solely enhance the competitiveness of eligible specialty crops? (Ex: using the registration process for a conference to ensure that only specialty crop farmers attend; matching 50% of the funds to cover a portion of the project that does not benefit specialty crops)	
				➢ Does the project build on a previously SCBGP or SCBGP-FB funded project?	
				Yes / No: IF YES, describe how the projects differ from one another. Provide a summary (3 to 5 sentences per project) of the results of the completed work on this project, the long-term quantifiable effects of these results (especially as they impact on the specialty crop industry), and how this year's funding will supplement or build on previous funding from the SCBGP or SCBGP-FB.	
				➢ Has the project been submitted to or funded by another Federal or State grant program?	
				Yes / No: IF NO, indicate that it has not.	
				IF YES, identify which Federal and/or State grant program and describe how the project differs from and supplements efforts of the SCBGP-FB and the other Federal or State grant program rather than duplicates funding efforts. The SCBGP-FB will not fund duplicative projects.	
Potential Impact	5 points			**This section shall show how the project potentially impacts the specialty crop industry and/or the public rather than a single organization, institution, or individual. The following questions should be answered:**	
				➢ Who are the specialty crop beneficiaries of the project?	
				➢ How many specialty crop beneficiaries will be impacted?	
				➢ How will the specialty crop beneficiaries be impacted by the project?	
				➢ What is the potential economic impact of the project if available?	

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Proposal Packet Requirements
IDOA Review Committee Questions and Scoring Criteria

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There will be 100 points possible, based on the answers to the following items. — ***100 points possible***

Section	Points		Yes	No	Item
Expected Measurable Outcomes	**10 points**				**The following questions shall be answered in this section.**
		➢			What is at least one distinct, quantifiable, and measurable outcome that directly and meaningfully supports the project's purpose and is of direct importance to the intended beneficiaries? The measurable outcome, when possible, should include the following:
			Yes	**No**	
					GOAL
					PERFORMANCE MEASURE
					BENCHMARK
					TARGET
		➢			How will performance toward meeting the outcome(s) be monitored?
			Yes	**No**	
					What are your data sources for monitoring performance?
					How will data be collected? For example are you using a survey or questionnaire?
Work Plan	**35 points**				**The following questions shall be addressed in this section:**
		➢			What activities are necessary to accomplish the project objectives?
			Yes	**No**	
					When will your performance monitoring/data collection plan activity be accomplished?
					Will outcomes measures be completed or measured outside the grant period?
					● If YES, include the performance monitoring plan in the work plan and indicate how monitoring will occur after the grant period ends without SCBGP-FB funding.
		➢			Who will do the work of each activity? If collaborative arrangements or subcontracts are used, make sure you specify their role and responsibilities in performing project activities.
		➢			When will each activity be accomplished? Include timelines for accomplishing each activity. Make sure to include the month and year the project is scheduled to begin.
					Explain briefly the activities that will be performed to accomplish the objectives of the project. Indicate who will do the work of each activity.
			Yes	**No**	
					Major considerations: Does the project provide an overall economic benefit to Illinois' specialty crop industry?
					Major considerations: Does the project make good business sense and does it have a high likelihood of success?
					Major considerations: Are the expected benefits of the proposal in-line with the proposed budget?
					Major considerations: Does the project provide benefits to the Illinois specialty crops?
					Other considerations: Does the project contribute to a positive image of Illinois specialty crops?
					Other considerations: Does the project enhance capacity development, infrastructure, or create jobs?

2013 Illinois Specialty Crop Grant Program

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Proposal Packet Requirements

IDOA Review Committee Questions and Scoring Criteria

SCORE (IDOA Review Committee)

There will be 100 points possible, based on the answers to the following items.

100 points possible

				Score
Budget Worksheet	25 Points		Use the budget page provided in the grant application. A detailed project budget is required for the year(s) in which grant support is requested. Include any unusual or significant expenditures in a supplemental budget page and explain the items in the budget narrative section. Do not use your own budget sheet. Only use the budget sheet format provided. Copies of this sheet are available from the Department in Microsoft Excel and PDF form format.	
			How do you intend to use the grant funds? Provide a breakdown of the components of the proposal and where the grant funds fit into the overall project financing. Prioritize funding needs, if possible. Provide budget estimates for all project costs.	
		➢	Are grant funds being adequately and responsibly utilized to make the project successful?	
		➢	Does the project make good business sense according to the proposed expenses and activities noted in the budget?	
		➢	Is the budget in-line with the anticipated project results? Is the budget realistic?	
		➢	Does the project coordinating entity have a process in place to track and account for grant fund expenditures?	
		➢	Can accounting and project records be readily retrieved and reported?	
Budget Narrative			Although there is no specific format for the supplemental budget, the budget should contain a narrative in paragraph format as outlined in the Request for Proposal Packet for each project to determine that the costs are reasonable and allowable. The budget narrative should clearly show the source of all funds that support the project. If matching funds are budgeted, please do not commingle non-federal funds with federals in each budget section. If matching funds (not a requirement) are included in the State Plan, please show these funds separately.	
			Funds should be categorized in the same budget object class codes as listed below:	
		a.	Personnel	
		b.	Fringe Benefits	
		c.	Travel	
		d.	Equipment	
		e.	Supplies	
		f.	Contractual	
		g.	Construction	
		h.	Other	
		i.	Indirect Charges	
		j.	Program Income	
Project Oversight	5 points		If this is a project administered by a project partner, this section shall include the project partner's oversight and not the State department of agriculture oversight. The following questions and	
		➢	Who will oversee the project activities?	
		➢	How will oversight be performed? For example, will weekly or monthly meetings be	
		Yes / No		
			Project Partners: Include the names, addresses, phone numbers and email for all individuals involved in the grant.	
		Yes / No		
		➢	How will oversight be performed? Include timelines.	
			Project Partners: Include the names, addresses and phone numbers for all individuals involved in the grant.	

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Proposal Packet Requirements

IDOA Review Committee Questions and Scoring Criteria

			SCORE (IDOA Review Committee)
There will be 100 points possible, based on the answers to the following items.			*100 points possible*
Project Commitment	**5 points**	Provide the following information in this section: ➢ Who supports this project? ➢ What specialty crop stakeholders outside the lead organization support this project and how? ➢ How will all grant partners work toward the goals and outcomes of the project? Describe the oversight practices that provide sufficient knowledge of grant activities to ensure proper and efficient administration. Describe how all grant partners commit to and work toward the goals and outcome measures of the proposed project. Yes / No Major considerations: Does the project create collaborative efforts that enable multiple organizations or individuals to achieve collective results that would not be possible by individual entities? Are project leaders and staff are capable of successfully carrying out the proposed activities? Do the applicants demonstrate commitment by way of in-kind time, resources, or other means?	
TOTAL			

SC - 13 -

2013 Illinois Specialty Crop Grant Program
APPLICATION

Applicant Information			
Name of Applicant			
Applicant's Address			
Applicant's City / State / Zip			
Applicant's DUNS Number			
Applicant's CCR Registration			
Contact Information			
Contact's Name			
Contact's Address			
Contact's City / State / Zip			
Contact's Phone			
Contact's Fax			
Contact's Email			
Proposal Information			
Submittal Date			
Project Title			
Brief Project Description 200 words or less *(Can be submitted on separate sheet of paper)*			
Project / Funding Period	**January 1, 2013**	to	
Amount of Grant Funds Requested			

2013 Illinois Specialty Crop Grant Program

Budget Information

Expenditure	Category	Invoice Number	Amount on Invoice Charged Against Grant	Amount of Matching Funds	Amount of In-Kind Contributions	Total
	----		$0.00	$0.00	$0.00	$ $0.00
	----		$0.00	$0.00	$0.00	$ $0.00
	----		$0.00	$0.00	$0.00	$ $0.00
	----		$0.00	$0.00	$0.00	$ $0.00
	----		$0.00	$0.00	$0.00	$ $0.00
	----		$0.00	$0.00	$0.00	$ $0.00
	----		$0.00	$0.00	$0.00	$ $0.00
	----		$0.00	$0.00	$0.00	$ $0.00
	----		$0.00	$0.00	$0.00	$ $0.00
	----		$0.00	$0.00	$0.00	$ $0.00
	----		$0.00	$0.00	$0.00	$ $0.00
	----		$0.00	$0.00	$0.00	$ $0.00
	----		$0.00	$0.00	$0.00	$ $0.00
	----		$0.00	$0.00	$0.00	$ $0.00
	----		$0.00	$0.00	$0.00	$ $0.00
	----		$0.00	$0.00	$0.00	$ $0.00
TOTAL			$ $0.00 Column Total should equal grant amount.	$ $0.00 -	$ $0.00 -	$ $0.00 -

Form **W-9**
(Rev. December 2011)
Department of the Treasury
Internal Revenue Service

Request for Taxpayer Identification Number and Certification

Give Form to the requester. Do not send to the IRS.

Print or type
See **Specific Instructions** on page 2.

Name (as shown on your income tax return)

Business name/disregarded entity name, if different from above

Check appropriate box for federal tax classification:
☐ Individual/sole proprietor ☐ C Corporation ☐ S Corporation ☐ Partnership ☐ Trust/estate

☐ Limited liability company. Enter the tax classification (C=C corporation, S=S corporation, P=partnership) ▶

☐ Other (see instructions) ▶

☐ Exempt payee

Address (number, street, and apt. or suite no.)

Requester's name and address (optional)

City, state, and ZIP code

List account number(s) here (optional)

Part I **Taxpayer Identification Number (TIN)**

Enter your TIN in the appropriate box. The TIN provided must match the name given on the "Name" line to avoid backup withholding. For individuals, this is your social security number (SSN). However, for a resident alien, sole proprietor, or disregarded entity, see the Part I instructions on page 3. For other entities, it is your employer identification number (EIN). If you do not have a number, see *How to get a TIN* on page 3.

Note. If the account is in more than one name, see the chart on page 4 for guidelines on whose number to enter.

Social security number
☐☐☐ – ☐☐ – ☐☐☐☐

Employer identification number
☐☐ – ☐☐☐☐☐☐☐

Part II **Certification**

Under penalties of perjury, I certify that:

1. The number shown on this form is my correct taxpayer identification number (or I am waiting for a number to be issued to me), and
2. I am not subject to backup withholding because: (a) I am exempt from backup withholding, or (b) I have not been notified by the Internal Revenue Service (IRS) that I am subject to backup withholding as a result of a failure to report all interest or dividends, or (c) the IRS has notified me that I am no longer subject to backup withholding, and
3. I am a U.S. citizen or other U.S. person (defined below).

Certification instructions. You must cross out item 2 above if you have been notified by the IRS that you are currently subject to backup withholding because you have failed to report all interest and dividends on your tax return. For real estate transactions, item 2 does not apply. For mortgage interest paid, acquisition or abandonment of secured property, cancellation of debt, contributions to an individual retirement arrangement (IRA), and generally, payments other than interest and dividends, you are not required to sign the certification, but you must provide your correct TIN. See the instructions on page 4.

Sign Here **Signature of U.S. person ▶** **Date ▶**

General Instructions

Section references are to the Internal Revenue Code unless otherwise noted.

Purpose of Form

A person who is required to file an information return with the IRS must obtain your correct taxpayer identification number (TIN) to report, for example, income paid to you, real estate transactions, mortgage interest you paid, acquisition or abandonment of secured property, cancellation of debt, or contributions you made to an IRA.

Use Form W-9 only if you are a U.S. person (including a resident alien), to provide your correct TIN to the person requesting it (the requester) and, when applicable, to:

1. Certify that the TIN you are giving is correct (or you are waiting for a number to be issued),

2. Certify that you are not subject to backup withholding, or

3. Claim exemption from backup withholding if you are a U.S. exempt payee. If applicable, you are also certifying that as a U.S. person, your allocable share of any partnership income from a U.S. trade or business is not subject to the withholding tax on foreign partners' share of effectively connected income.

Note. If a requester gives you a form other than Form W-9 to request your TIN, you must use the requester's form if it is substantially similar to this Form W-9.

Definition of a U.S. person. For federal tax purposes, you are considered a U.S. person if you are:

- An individual who is a U.S. citizen or U.S. resident alien,
- A partnership, corporation, company, or association created or organized in the United States or under the laws of the United States,
- An estate (other than a foreign estate), or
- A domestic trust (as defined in Regulations section 301.7701-7).

Special rules for partnerships. Partnerships that conduct a trade or business in the United States are generally required to pay a withholding tax on any foreign partners' share of income from such business. Further, in certain cases where a Form W-9 has not been received, a partnership is required to presume that a partner is a foreign person, and pay the withholding tax. Therefore, if you are a U.S. person that is a partner in a partnership conducting a trade or business in the United States, provide Form W-9 to the partnership to establish your U.S. status and avoid withholding on your share of partnership income.

The person who gives Form W-9 to the partnership for purposes of establishing its U.S. status and avoiding withholding on its allocable share of net income from the partnership conducting a trade or business in the United States is in the following cases:

• The U.S. owner of a disregarded entity and not the entity,

• The U.S. grantor or other owner of a grantor trust and not the trust, and

• The U.S. trust (other than a grantor trust) and not the beneficiaries of the trust.

Foreign person. If you are a foreign person, do not use Form W-9. Instead, use the appropriate Form W-8 (see Publication 515, Withholding of Tax on Nonresident Aliens and Foreign Entities).

Nonresident alien who becomes a resident alien. Generally, only a nonresident alien individual may use the terms of a tax treaty to reduce or eliminate U.S. tax on certain types of income. However, most tax treaties contain a provision known as a “saving clause.” Exceptions specified in the saving clause may permit an exemption from tax to continue for certain types of income even after the payee has otherwise become a U.S. resident alien for tax purposes.

If you are a U.S. resident alien who is relying on an exception contained in the saving clause of a tax treaty to claim an exemption from U.S. tax on certain types of income, you must attach a statement to Form W-9 that specifies the following five items:

1. The treaty country. Generally, this must be the same treaty under which you claimed exemption from tax as a nonresident alien.

2. The treaty article addressing the income.

3. The article number (or location) in the tax treaty that contains the saving clause and its exceptions.

4. The type and amount of income that qualifies for the exemption from tax.

5. Sufficient facts to justify the exemption from tax under the terms of the treaty article.

Example. Article 20 of the U.S.-China income tax treaty allows an exemption from tax for scholarship income received by a Chinese student temporarily present in the United States. Under U.S. law, this student will become a resident alien for tax purposes if his or her stay in the United States exceeds 5 calendar years. However, paragraph 2 of the first Protocol to the U.S.-China treaty (dated April 30, 1984) allows the provisions of Article 20 to continue to apply even after the Chinese student becomes a resident alien of the United States. A Chinese student who qualifies for this exception (under paragraph 2 of the first protocol) and is relying on this exception to claim an exemption from tax on his or her scholarship or fellowship income would attach to Form W-9 a statement that includes the information described above to support that exemption.

If you are a nonresident alien or a foreign entity not subject to backup withholding, give the requester the appropriate completed Form W-8.

What is backup withholding? Persons making certain payments to you must under certain conditions withhold and pay to the IRS a percentage of such payments. This is called “backup withholding.” Payments that may be subject to backup withholding include interest, tax-exempt interest, dividends, broker and barter exchange transactions, rents, royalties, nonemployee pay, and certain payments from fishing boat operators. Real estate transactions are not subject to backup withholding.

You will not be subject to backup withholding on payments you receive if you give the requester your correct TIN, make the proper certifications, and report all your taxable interest and dividends on your tax return.

Payments you receive will be subject to backup withholding if:

1. You do not furnish your TIN to the requester,

2. You do not certify your TIN when required (see the Part II instructions on page 3 for details),

3. The IRS tells the requester that you furnished an incorrect TIN,

4. The IRS tells you that you are subject to backup withholding because you did not report all your interest and dividends on your tax return (for reportable interest and dividends only), or

5. You do not certify to the requester that you are not subject to backup withholding under 4 above (for reportable interest and dividend accounts opened after 1983 only).

Certain payees and payments are exempt from backup withholding. See the instructions below and the separate Instructions for the Requester of Form W-9.

Also see *Special rules for partnerships* on page 1.

Updating Your Information

You must provide updated information to any person to whom you claimed to be an exempt payee if you are no longer an exempt payee and anticipate receiving reportable payments in the future from this person. For example, you may need to provide updated information if you are a C corporation that elects to be an S corporation, or if you no longer are tax exempt. In addition, you must furnish a new Form W-9 if the name or TIN changes for the account, for example, if the grantor of a grantor trust dies.

Penalties

Failure to furnish TIN. If you fail to furnish your correct TIN to a requester, you are subject to a penalty of $50 for each such failure unless your failure is due to reasonable cause and not to willful neglect.

Civil penalty for false information with respect to withholding. If you make a false statement with no reasonable basis that results in no backup withholding, you are subject to a $500 penalty.

Criminal penalty for falsifying information. Willfully falsifying certifications or affirmations may subject you to criminal penalties including fines and/or imprisonment.

Misuse of TINs. If the requester discloses or uses TINs in violation of federal law, the requester may be subject to civil and criminal penalties.

Specific Instructions

Name

If you are an individual, you must generally enter the name shown on your income tax return. However, if you have changed your last name, for instance, due to marriage without informing the Social Security Administration of the name change, enter your first name, the last name shown on your social security card, and your new last name.

If the account is in joint names, list first, and then circle, the name of the person or entity whose number you entered in Part I of the form.

Sole proprietor. Enter your individual name as shown on your income tax return on the “Name” line. You may enter your business, trade, or “doing business as (DBA)” name on the “Business name/disregarded entity name” line.

Partnership, C Corporation, or S Corporation. Enter the entity's name on the “Name” line and any business, trade, or “doing business as (DBA) name” on the “Business name/disregarded entity name” line.

Disregarded entity. Enter the owner's name on the “Name” line. The name of the entity entered on the “Name” line should never be a disregarded entity. The name on the “Name” line must be the name shown on the income tax return on which the income will be reported. For example, if a foreign LLC that is treated as a disregarded entity for U.S. federal tax purposes has a domestic owner, the domestic owner's name is required to be provided on the “Name” line. If the direct owner of the entity is also a disregarded entity, enter the first owner that is not disregarded for federal tax purposes. Enter the disregarded entity's name on the “Business name/disregarded entity name” line. If the owner of the disregarded entity is a foreign person, you must complete an appropriate Form W-8.

Note. Check the appropriate box for the federal tax classification of the person whose name is entered on the “Name” line (Individual/sole proprietor, Partnership, C Corporation, S Corporation, Trust/estate).

Limited Liability Company (LLC). If the person identified on the “Name” line is an LLC, check the “Limited liability company” box only and enter the appropriate code for the tax classification in the space provided. If you are an LLC that is treated as a partnership for federal tax purposes, enter “P” for partnership. If you are an LLC that has filed a Form 8832 or a Form 2553 to be taxed as a corporation, enter “C” for C corporation or “S” for S corporation. If you are an LLC that is disregarded as an entity separate from its owner under Regulation section 301.7701-3 (except for employment and excise tax), do not check the LLC box unless the owner of the LLC (required to be identified on the “Name” line) is another LLC that is not disregarded for federal tax purposes. If the LLC is disregarded as an entity separate from its owner, enter the appropriate tax classification of the owner identified on the “Name” line.

Other entities. Enter your business name as shown on required federal tax documents on the "Name" line. This name should match the name shown on the charter or other legal document creating the entity. You may enter any business, trade, or DBA name on the "Business name/ disregarded entity name" line.

Exempt Payee

If you are exempt from backup withholding, enter your name as described above and check the appropriate box for your status, then check the "Exempt payee" box in the line following the "Business name/ disregarded entity name," sign and date the form.

Generally, individuals (including sole proprietors) are not exempt from backup withholding. Corporations are exempt from backup withholding for certain payments, such as interest and dividends.

Note. If you are exempt from backup withholding, you should still complete this form to avoid possible erroneous backup withholding.

The following payees are exempt from backup withholding:

1. An organization exempt from tax under section 501(a), any IRA, or a custodial account under section 403(b)(7) if the account satisfies the requirements of section 401(f)(2),

2. The United States or any of its agencies or instrumentalities,

3. A state, the District of Columbia, a possession of the United States, or any of their political subdivisions or instrumentalities,

4. A foreign government or any of its political subdivisions, agencies, or instrumentalities, or

5. An international organization or any of its agencies or instrumentalities.

Other payees that may be exempt from backup withholding include:

6. A corporation,

7. A foreign central bank of issue,

8. A dealer in securities or commodities required to register in the United States, the District of Columbia, or a possession of the United States,

9. A futures commission merchant registered with the Commodity Futures Trading Commission,

10. A real estate investment trust,

11. An entity registered at all times during the tax year under the Investment Company Act of 1940,

12. A common trust fund operated by a bank under section 584(a),

13. A financial institution,

14. A middleman known in the investment community as a nominee or custodian, or

15. A trust exempt from tax under section 664 or described in section 4947.

The following chart shows types of payments that may be exempt from backup withholding. The chart applies to the exempt payees listed above, 1 through 15.

IF the payment is for . . .	THEN the payment is exempt for . . .
Interest and dividend payments	All exempt payees except for 9
Broker transactions	Exempt payees 1 through 5 and 7 through 13. Also, C corporations.
Barter exchange transactions and patronage dividends	Exempt payees 1 through 5
Payments over $600 required to be reported and direct sales over $5,000 [1]	Generally, exempt payees 1 through 7 [2]

[1] See Form 1099-MISC, Miscellaneous Income, and its instructions.

[2] However, the following payments made to a corporation and reportable on Form 1099-MISC are not exempt from backup withholding: medical and health care payments, attorneys' fees, gross proceeds paid to an attorney, and payments for services paid by a federal executive agency.

Part I. Taxpayer Identification Number (TIN)

Enter your TIN in the appropriate box. If you are a resident alien and you do not have and are not eligible to get an SSN, your TIN is your IRS individual taxpayer identification number (ITIN). Enter it in the social security number box. If you do not have an ITIN, see *How to get a TIN* below.

If you are a sole proprietor and you have an EIN, you may enter either your SSN or EIN. However, the IRS prefers that you use your SSN.

If you are a single-member LLC that is disregarded as an entity separate from its owner (see *Limited Liability Company (LLC)* on page 2), enter the owner's SSN (or EIN, if the owner has one). Do not enter the disregarded entity's EIN. If the LLC is classified as a corporation or partnership, enter the entity's EIN.

Note. See the chart on page 4 for further clarification of name and TIN combinations.

How to get a TIN. If you do not have a TIN, apply for one immediately. To apply for an SSN, get Form SS-5, Application for a Social Security Card, from your local Social Security Administration office or get this form online at *www.ssa.gov*. You may also get this form by calling 1-800-772-1213. Use Form W-7, Application for IRS Individual Taxpayer Identification Number, to apply for an ITIN, or Form SS-4, Application for Employer Identification Number, to apply for an EIN. You can apply for an EIN online by accessing the IRS website at *www.irs.gov/businesses* and clicking on Employer Identification Number (EIN) under Starting a Business. You can get Forms W-7 and SS-4 from the IRS by visiting IRS.gov or by calling 1-800-TAX-FORM (1-800-829-3676).

If you are asked to complete Form W-9 but do not have a TIN, write "Applied For" in the space for the TIN, sign and date the form, and give it to the requester. For interest and dividend payments, and certain payments made with respect to readily tradable instruments, generally you will have 60 days to get a TIN and give it to the requester before you are subject to backup withholding on payments. The 60-day rule does not apply to other types of payments. You will be subject to backup withholding on all such payments until you provide your TIN to the requester.

Note. Entering "Applied For" means that you have already applied for a TIN or that you intend to apply for one soon.

Caution: *A disregarded domestic entity that has a foreign owner must use the appropriate Form W-8.*

Part II. Certification

To establish to the withholding agent that you are a U.S. person, or resident alien, sign Form W-9. You may be requested to sign by the withholding agent even if item 1, below, and items 4 and 5 on page 4 indicate otherwise.

For a joint account, only the person whose TIN is shown in Part I should sign (when required). In the case of a disregarded entity, the person identified on the "Name" line must sign. Exempt payees, see *Exempt Payee* on page 3.

Signature requirements. Complete the certification as indicated in items 1 through 3, below, and items 4 and 5 on page 4.

1. Interest, dividend, and barter exchange accounts opened before 1984 and broker accounts considered active during 1983. You must give your correct TIN, but you do not have to sign the certification.

2. Interest, dividend, broker, and barter exchange accounts opened after 1983 and broker accounts considered inactive during 1983. You must sign the certification or backup withholding will apply. If you are subject to backup withholding and you are merely providing your correct TIN to the requester, you must cross out item 2 in the certification before signing the form.

3. Real estate transactions. You must sign the certification. You may cross out item 2 of the certification.

4. Other payments. You must give your correct TIN, but you do not have to sign the certification unless you have been notified that you have previously given an incorrect TIN. "Other payments" include payments made in the course of the requester's trade or business for rents, royalties, goods (other than bills for merchandise), medical and health care services (including payments to corporations), payments to a nonemployee for services, payments to certain fishing boat crew members and fishermen, and gross proceeds paid to attorneys (including payments to corporations).

5. Mortgage interest paid by you, acquisition or abandonment of secured property, cancellation of debt, qualified tuition program payments (under section 529), IRA, Coverdell ESA, Archer MSA or HSA contributions or distributions, and pension distributions. You must give your correct TIN, but you do not have to sign the certification.

What Name and Number To Give the Requester

For this type of account:	Give name and SSN of:
1. Individual	The individual
2. Two or more individuals (joint account)	The actual owner of the account or, if combined funds, the first individual on the account [1]
3. Custodian account of a minor (Uniform Gift to Minors Act)	The minor [2]
4. a. The usual revocable savings trust (grantor is also trustee)	The grantor-trustee [1]
b. So-called trust account that is not a legal or valid trust under state law	The actual owner [1]
5. Sole proprietorship or disregarded entity owned by an individual	The owner [3]
6. Grantor trust filing under Optional Form 1099 Filing Method 1 (see Regulation section 1.671-4(b)(2)(i)(A))	The grantor*
For this type of account:	**Give name and EIN of:**
7. Disregarded entity not owned by an individual	The owner
8. A valid trust, estate, or pension trust	Legal entity [4]
9. Corporation or LLC electing corporate status on Form 8832 or Form 2553	The corporation
10. Association, club, religious, charitable, educational, or other tax-exempt organization	The organization
11. Partnership or multi-member LLC	The partnership
12. A broker or registered nominee	The broker or nominee
13. Account with the Department of Agriculture in the name of a public entity (such as a state or local government, school district, or prison) that receives agricultural program payments	The public entity
14. Grantor trust filing under the Form 1041 Filing Method or the Optional Form 1099 Filing Method 2 (see Regulation section 1.671-4(b)(2)(i)(B))	The trust

[1] List first and circle the name of the person whose number you furnish. If only one person on a joint account has an SSN, that person's number must be furnished.

[2] Circle the minor's name and furnish the minor's SSN.

[3] You must show your individual name and you may also enter your business or "DBA" name on the "Business name/disregarded entity" name line. You may use either your SSN or EIN (if you have one), but the IRS encourages you to use your SSN.

[4] List first and circle the name of the trust, estate, or pension trust. (Do not furnish the TIN of the personal representative or trustee unless the legal entity itself is not designated in the account title.) Also see *Special rules for partnerships* on page 1.

***Note.** Grantor also must provide a Form W-9 to trustee of trust.

Note. If no name is circled when more than one name is listed, the number will be considered to be that of the first name listed.

Secure Your Tax Records from Identity Theft

Identity theft occurs when someone uses your personal information such as your name, social security number (SSN), or other identifying information, without your permission, to commit fraud or other crimes. An identity thief may use your SSN to get a job or may file a tax return using your SSN to receive a refund.

To reduce your risk:

- Protect your SSN,
- Ensure your employer is protecting your SSN, and
- Be careful when choosing a tax preparer.

If your tax records are affected by identity theft and you receive a notice from the IRS, respond right away to the name and phone number printed on the IRS notice or letter.

If your tax records are not currently affected by identity theft but you think you are at risk due to a lost or stolen purse or wallet, questionable credit card activity or credit report, contact the IRS Identity Theft Hotline at 1-800-908-4490 or submit Form 14039.

For more information, see Publication 4535, Identity Theft Prevention and Victim Assistance.

Victims of identity theft who are experiencing economic harm or a system problem, or are seeking help in resolving tax problems that have not been resolved through normal channels, may be eligible for Taxpayer Advocate Service (TAS) assistance. You can reach TAS by calling the TAS toll-free case intake line at 1-877-777-4778 or TTY/TDD 1-800-829-4059.

Protect yourself from suspicious emails or phishing schemes. Phishing is the creation and use of email and websites designed to mimic legitimate business emails and websites. The most common act is sending an email to a user falsely claiming to be an established legitimate enterprise in an attempt to scam the user into surrendering private information that will be used for identity theft.

The IRS does not initiate contacts with taxpayers via emails. Also, the IRS does not request personal detailed information through email or ask taxpayers for the PIN numbers, passwords, or similar secret access information for their credit card, bank, or other financial accounts.

If you receive an unsolicited email claiming to be from the IRS, forward this message to *phishing@irs.gov.* You may also report misuse of the IRS name, logo, or other IRS property to the Treasury Inspector General for Tax Administration at 1-800-366-4484. You can forward suspicious emails to the Federal Trade Commission at: *spam@uce.gov* or contact them at *www.ftc.gov/idtheft* or 1-877-IDTHEFT (1-877-438-4338).

Visit IRS.gov to learn more about identity theft and how to reduce your risk.

Privacy Act Notice

Section 6109 of the Internal Revenue Code requires you to provide your correct TIN to persons (including federal agencies) who are required to file information returns with the IRS to report interest, dividends, or certain other income paid to you; mortgage interest you paid; the acquisition or abandonment of secured property; the cancellation of debt; or contributions you made to an IRA, Archer MSA, or HSA. The person collecting this form uses the information on the form to file information returns with the IRS, reporting the above information. Routine uses of this information include giving it to the Department of Justice for civil and criminal litigation and to cities, states, the District of Columbia, and U.S. possessions for use in administering their laws. The information also may be disclosed to other countries under a treaty, to federal and state agencies to enforce civil and criminal laws, or to federal law enforcement and intelligence agencies to combat terrorism. You must provide your TIN whether or not you are required to file a tax return. Under section 3406, payers must generally withhold a percentage of taxable interest, dividend, and certain other payments to a payee who does not give a TIN to the payer. Certain penalties may also apply for providing false or fraudulent information.