NEW YORK STATE DEPARTMENT OF AGRICULTURE AND MARKETS 2015

Ecosystem Based Management Soil Health Mini-Grants

(Round 2)

REQUEST FOR PROPOSALS (RFP)

Funds to improve the soil health and quality on agricultural lands in New York State

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TIMELINE

Release RFP	May 4, 2015
Deadline for Questions	June 1, 2015
Final Questions and Answers Posted	June 5, 2015
Deadline for Proposals	June 15, 2015
Announce and Award Grants	August 2015

PROPOSAL SUBMISSION REQUIREMENTS

Proposals for funding under the Ecosystem Based Management Soil Health Mini Grants must conform to the format provided through the Grants Gateway. PROPOSALS MUST BE SUBMITTED in the Grants Gateway by 4:30 p.m. local time on June 15, 2015 to be considered for funding. Applicants, and not computers or servers, are responsible for the timely submission of proposals. *Proposals received after the scheduled date and time will not be accepted.* Faxed, mailed or e-mailed proposals will not be accepted.

QUESTIONS AND ANSWERS

Prospective applicants with questions concerning this RFP should present those questions to:

Lauren Prezorski

New York State Soil & Water Conservation Committee
10 B Airline Drive
Albany, NY 12235
(518) 457-3738 (phone)

Lauren.prezorski@agriculture.ny.gov

All questions must be submitted in writing to Ms. Prezorski by June 1, 2015. Applicants should note that all clarifications are to be resolved prior to the submission of a proposal. A list of questions about the RFP, answers to those questions as well as any addenda to the RFP, will be added to the Frequently Asked Questions Document posted in the "Funding Opportunities" section of the Department's website, http://www.agriculture.ny.gov/RFPS.html, along with the electronic version of this RFP. Questions and responses will be posted on the website starting no later than May 15, 2015 through June 5, 2015. If you are unable to access the website, please contact Ms. Prezorski to arrange for alternate delivery. All questions and answers shall be incorporated into the RFP as a formal addendum.

1. GENERAL PROGRAM INFORMATION

1.1 Introduction

This Request for Proposals (RFP) applies to proposals submitted for funding consideration from the Environmental Protection Fund (EPF) Ocean and Great Lakes Initiative (Ecosystem Based Management).

The New York State Department of Agriculture and Markets (Department) and the New York State Soil and Water Conservation Committee (State Committee) invites Soil and Water Conservation Districts, or groups of Conservation Districts acting jointly, to submit proposals for funding under the Ecosystem Based Management (EBM) Program. Funds are available for soil health/quality improvement projects on agricultural lands in New York State. All projects must consist of activities that will foster the adoption of soil health practices on farms.

1.2 Background Information

Soil health is the capacity of the soil to function. According to Ray Archuleta, Soil Health expert with the USDA Natural Resource Conservation Service's East National Technology Center, it is

"not the fertilizer, but the ecosystem that feeds the plant". Healthy soil has better infiltration, water storage and soil cover, which allows crops to better withstand both storm events and droughts and protects the environment by reducing sediment and nutrient runoff, leaching and reducing the impacts of flooding. Soil health management involves a reduction in soil disturbance while maintaining a year-round living cover. Prescribed cover crops naturally produce the fertilizer crops require, reduce the impacts of compaction, and stabilize the soil. Healthy soils also infiltrate more water, reducing the impacts of flooding; holding the water for longer crop availability. They require less energy inputs, greater carbon sequestration and in the end, are far more profitable for the farmer. These principles together are a culmination of the principles behind Ecosystem-based Management, "healthy, productive and resilient ecosystems provide important services that people, communities and the economy need."

Soil quality has become one of agriculture's leading concerns on a national level. In an effort to increase the integration of the principles of ecosystem-based management into the principles of soil health, funding has been made available for soil health initiatives that emphasize collaborative efforts to demonstrate the multiple benefits derived by healthy soils.

To support County Soil and Water Conservation Districts in developing initiatives which align with the Agricultural Environmental Management (AEM) process by being planned and implemented based on local needs, funding of up to \$25,000 per District will be available on a competitive basis to develop and implement local initiatives which foster soil quality improvements.

1.3 Information for Applicants

The New York State Department of Agriculture and Markets and the New York State Soil and Water Conservation Committee are pleased to announce the availability of funds to support local soil quality improvement initiatives. This funding comes from the Environmental Protection Fund (EPF), as part of the Ocean and Great Lakes Program (Ecosystem Based Management). Healthy soils hold tremendous potential to enhance and improve water and air quality; they are vital to the long term sustainability of our agricultural industry. For this reason, approximately \$170,000 has been allocated to support pilot efforts to build local programs and initiatives that support and encourage the adoption of soil quality improvement practices.

1.4 Available grant funding and match requirements

Approximately \$170,000 is available for Soil Health Mini-Grants with a maximum award level of \$25,000 per application, one application per District. Matching funds are not required, but are strongly recommended. Portions of a project funded from other State sources will not be considered match. The Department reserves the right to award a portion of a grant request.

1.5 Match requirements

Although funding requests do not require matching funds, they are strongly encouraged.

Eligible forms of match include other grants from non-state funding sources, SWCD personnel salaries devoted to the project, if not funded with other State grant sources, overhead expenses, consultant services, supplies, materials, farmer time and labor, equipment use, etc. The cash value of services must be reasonable, and is subject to adjustment by the Department. The State funded portion of the project cannot be increased as a result of budget changes or variations.

Letters of commitment from the project sponsor, all landowners/operators, employers of all personnel, and other entities providing monetary or technical assistance must be submitted. These letters should be uploaded as a single PDF document in the Grants Gateway.

2. ELIGIBILITY

2.1 Applicant eligibility

Eligible applicants are County Soil and Water Conservation Districts within New York State. Partnership applications are encouraged and can include additional conservation partners or multiple Conservation Districts. Only one Conservation District can be listed as the applicant on the application form and the \$25,000 limit still applies. If the project involves one or more partners, the applicant named on the application form must be an eligible applicant and must assume responsibility for entering into a state assistance contract with the Department. In addition, the application must include a letter from all participating partners stating their involvement in the proposed project. One application per District will be accepted. If multiple applications are submitted, only the first complete application will be accepted.

2.2 Project Location

Eligible projects must be submitted on a county or watershed basis, by a local Soil and Water Conservation District within New York State.

2.3 Project Eligibility

Proposed projects must meet the following project eligibility criteria in order to be fully evaluated and scored:

- Projects must be for new Soil Health Initiatives.
- All projects must address soil quality on agricultural lands.
- Projects should demonstrate a link to the County Agricultural Environmental Management (AEM) Strategy.
- Be based on sound agricultural practices and follow the AEM planning process.
- All projects must have defined measurable outcomes or deliverables.
- Must have the capability of being completed and invoiced within two years of signing a state assistance contract with the Department of Agriculture and Markets.
- Must focus on implementation of conservation practices. (Proposals that are strictly for education and/or outreach will not be considered for funding.)

Examples of eligible projects that could potentially be completed within two years of contract approval may include, but are not limited to: implementation of cover crops, conservation tillage, organic amendments, identifying and managing soil constraints, purchasing equipment to overcome obstacles of farmer adoption of soil health practices, fostering farmer-led consortiums or alliances, etc.

2.4 Project Completion Terms

It is anticipated that the Department will announce grant awards by August 2015. A proposed project must be capable of being completed and fully reimbursed no later than two years after

signing a state assistance contract with the Department. If a District receives a grant award, the Department will monitor the progress of the proposed work and will recapture awarded project funding if significant progress is not made by the grantee.

3. PROJECT COSTS

3.1 Eligible expenses include:

- Plans and specifications, including personal services to conduct individual farm level planning.
- Consultant and legal services
- Soil health tests
- Equipment purchase or rental
- Education and outreach efforts in direct relation to soil quality project implementation
- Other direct expenses related to planning and implementation.

State assistance payments may not be used to cover the lease or purchase of equipment unless the equipment is part of well-defined implementation program. (e.g. a no-till seed drill would only be eligible if it is part of a program that will result in the implementation of on-the-ground conservation practices. The project outcome would be acres implemented and the equipment purchase would be considered under the cost effectiveness category.) It is advisable for applicants to request clarification on the eligibility of specific equipment during the open questions and answers period and all determinations will be added to a Frequently Asked Questions Document.

All costs associated with the operation and maintenance of BMPs and equipment will be the sole responsibility of the landowner and/or operator and cannot be used as a match to State Funding.

3.2 Ineligible Expenses

Ineligible expenses include costs paid from other State resources and costs incurred prior to contract approval from the Department. These expenses will not be reimbursed by the State. Funding cannot be used to expand on currently funded soil health initiatives.

4. PROPOSAL FORMAT

4.1 Application Form Instructions

Proposals must be submitted through Grants Gateway. All sections of the application must be completed in order to submit. The Gateway application will utilize an open project work plan. The open work plan includes the following sections:

Project Description – a detailed overview of your soil health initiative that should include desired outcomes and goals for success.

Organizational Capacity – description of the ability and experience of your District and partners to complete this project.

Objectives – the planned goals for the project; what will be achieved.

Tasks – the specific activities or practices that will be implemented to achieve the objectives.

Performance measures – how the project will be measured for achieving success. Performance measures need to be quantifiable; units for the activities listed in your tasks and measurable for achieving the overall project objectives.

Other sections of the Gateway application are used to describe, support and reinforce the project described in the work plan.

4.2 Application Checklist

Please complete, sign and submit the "Checklist for Eligibility and Completeness" with your application to ensure all proposal requirements have been met.

5. PROJECT EVALUATION AND SCORING

All applications that meet all the eligibility criteria will be further evaluated and scored by at least four (4) evaluators. Evaluators will record proposal scores based on the criteria in section 5.1 of this RFP. The scores of the evaluators will be aggregated to make up the proposals total score. All proposals will then be ranked by their grand total score from highest to lowest to make up the final ranked list for awards. Proposals that receive a score of less than 50% of the maximum available aggregate score will not be considered for funding. Proposals will be funded in the order of rank until eligible funding is exhausted or no eligible applications remain.

5.1 Consideration will be given to the following factors in rating proposals:

- 1. Well-Planned, Local Programs for Increasing the Adoption of Soil Quality Improvement Practices (Maximum score of 20 points)
- 2. Scope of Work and Time Frame (Maximum score of 10 points)
- 3. Partner Involvement (Maximum score of 10 points)
- 4. Cost Effectiveness (Maximum score of 10 points)

Applications that demonstrate the following will receive higher scores:

- A good understanding of the obstacles or barriers within your County that may be limiting the adoption of soil health practices.
- A well thought out, creative approach to overcoming these obstacles/barriers.
- Exceptional cost-effectiveness.
- Strong collaboration efforts with other County/Regional partners.
- Alignment with Ecosystem Based Management Principles (see Appendix for list of EBM Principles)
- A strong plan for ongoing sustainability.

5.2 Tie Breaker

If there is a numerical tie after the application has been scored, the application with the greatest percentage of leveraged overall grant funds will determine placement on the ranking list. For example, if two applications score 130 points, and one leverages 15%, the other 10%, the one with greater (15%) match contribution will be funded first. If both applications leverage an identical match, then the proposals with the greatest number of implemented acres will be funded before the other project.

6. AWARDS

Sponsors whose proposals are selected for funding will be notified as soon as possible. Selected proposals must comply with all applicable federal, State and local laws and rules and regulations for funding to be awarded. Evidence of such compliance may be required.

Implementation proposals which are selected for funding may be subject to further review by the NYS Office of Parks, Recreation and Historic Preservation (OPRHP) prior to development of a contract as described in section 14 of this RFP.

7. CONTRACTS

Once an application has been selected for funding, the Department will notify the sponsor of the need to provide information necessary to complete the contract. Payments cannot be made until the contract is fully executed. A minimum of 10 percent of the State assistance payment will be withheld pending satisfactory completion of the contract.

If the Department is unsuccessful in negotiating a contract which will achieve the deliverables in a manner consistent with the proposal as approved and any applicable laws or regulations, the Department reserves the right to rescind its approval of the proposal for funding and instead award the funding to other eligible unfunded project proposals.

The standard term for all projects will be two years plus three months for project administration and completion of the final report. The earliest contract start date would be the date of the project award letter. These dates may be subject to change. The project sponsor may request a different term, if necessary. Funding of proposals that extend over more than one State fiscal year will be subject to the reappropriation of funds.

8. PAYMENT

Payment for invoices submitted by the Contractor shall only be rendered electronically unless payment by paper check is expressly authorized by the Commissioner, in the Commissioner's sole discretion, due to extenuating circumstances. Such electronic payment shall be made in accordance with ordinary State procedures and practices. The Contractor shall comply with the Comptroller of the State of New York's procedures to authorize electronic payments. Contractor acknowledges that it will not receive payment on any invoices submitted under this Agreement if it does not comply with the Comptroller of the State of New York's electronic payment procedures, except where the Commissioner has expressly authorized payment by paper check as set forth above.

9. REPORTING REQUIREMENTS

Department staff will monitor the progress of each funded project.

The Department reserves the right to modify the reporting requirements during the course of the project. At a minimum, progress reports will be required two (2) times per year as specified by Department. In addition, an original and one copy of a comprehensive final report will be required within sixty (60) days following completion of the project. For all projects, the final report shall include a final budget report detailing expenditures; a detailed description of the work completed, problems encountered, if any, and lessons learned, as well as, such other information as the Department may deem necessary. In addition, the Department reserves the right to visit any or all of the projects during or after project completion.

Final reports for projects shall also include photographs of the work site before and after practice implementation, BMP Procurement Records, and Consultant Engineer's Certification of BMPs (if needed).

The Department reserves the right to make all final reports available to the NYS Ocean and Great Lakes Ecosystem Conservation Council and the general public.

The Department reserves the right to conduct a follow-up evaluation of funded projects in order to determine long-term impacts.

The Department and Comptroller's Office reserves the right to audit the Project Sponsor's books and records relating to the performance of the project during and up to six (6) years after the completion of the project.

10. LIABILITY

The State will not be held liable for any costs incurred by any District for work performed in the preparation of and production of a proposal, or for any work performed prior to the formal execution of a contract.

11. FREEDOM OF INFORMATION

All proposals submitted and all related contracts and reports may be subject to disclosure under the Freedom of Information Law.

12. NYS MASTER CONTRACT

New York State has developed a standard "Master Contract" containing standard clauses required in all State Contracts. The Master Contract will be executed for all projects awarded under the Soil Health Mini Grants, and applicants are responsible for complying with the terms and conditions contained therein.

13. OTHER CONSIDERATIONS

The Department reserves the right to:

- reject any or all proposals received with respect to this RFP;
- waive or modify minor irregularities in proposals received after prior notification and concurrence of the applicant;
- request from an applicant additional information as deemed necessary to more fully evaluate its proposal;
- amend the program's specifications after their release, with appropriate written notice to all potential applicants;
- select only certain portions of proposals for State funding;
- negotiate the terms of any agreement proposed by the applicant; and
- make all final decisions with respect to the amount of State funding and the timing of payments to be provided to an applicant.

All eligible proposals submitted in response to this RFP will become the property of the New York State Department of Agriculture and Markets.

14. NYS OFFICE OF PARKS, RECREATION AND HISTORIC PRESERVATION REQUIREMENTS

Projects which include ground disturbing activities, construction of new buildings, or modification of buildings over 50 years old will be subject to further review by the NYS Office of Parks, Recreation and Historic Preservation (OPRHP). The Department reserves the right to request such additional information as is necessary to allow OPRHP to make a determination regarding the potential impacts of the project on historical sites or artifacts and possible alternatives which avoid or mitigate adverse impacts.

15. NYS ENVIRONMENTAL QUALITY REVIEW ACT REQUIREMENTS

Some projects may be subject to review under the New York State Environmental Quality Review Act (SEQRA). The Department reserves the right to request additional information as needed to comply with SEQRA requirements.

16. DEBRIEFING

Pursuant to section 163(9)(c) of the State Finance Law, an unsuccessful bidder has the right to a debriefing regarding the reasons its application was not selected for award. Upon request, the Department will provide a debriefing to any unsuccessful applicant as to the reasons that the proposal submitted was not selected for an award. To request a review of an unsuccessful application contact Ms. Judy Giovannetti, Division of Fiscal Management, by phone at: (518) 457-6172 or via e-mail at judy.giovannetti@agriculture.ny.gov A review should be requested by an unsuccessful applicant within thirty (30) days of the date of the notice that its proposal was not selected for an award.

17. WORKERS' COMPENSATION AND DISABILITY INSURANCE REQUIREMENTS

New York State Workers' Compensation Law sections 57 and 220 require that the Department not enter into a contract unless proof of Workers' Compensation and Disability Insurance in a form satisfactory to the New York State Workers' Compensation Board has been secured.

Recipients of grants under this RFP will be required to produce proof of Workers' Compensation and Disability Insurance in a form satisfactory to the New York State Workers' Compensation Board prior to the execution of the contract.

Please refer to the Workers' Compensation and Disability Insurance Requirements posted on the Department's website, www.agriculture.ny.gov under the heading of this RFP or visit the New York State Workers' Compensation Board website, www.wcb.ny.gov for more information. You may contact the Board's Bureau of Compliance with any questions related to workers' compensation or disability insurance at (866) 298-7830.

18. REGISTRATION REQUIREMENTS FOR APPLICANTS

The State of New York has initiated a new statewide prequalification process designed to facilitate prompt contracting for not-for-profit vendors. New York Soil & Water Conservation Districts (SWCDs) are exempt from this *prequalification process*, however, the State requires any such SWCD that intends to seek a State grant to *register* on the State's new Grants Gateway. Applicants will be asked to submit commonly requested documents, and answer frequently asked questions once. The application requests organizational information about the applicant's capacity, legal compliance, and integrity. To learn more about this initiative and prequalification, please visit the Grants Reform website (http://www.GrantsReform.ny.gov/Grantees) where you can preview the questions and required documents.

All applicants are required to register prior to grant application and execution of contracts. If applicant is not registered as required, the Department may not be able to evaluate that applicant's proposal.

The following is a summary of the steps that must be undertaken in order for you to register.

- Go to the Grants Reform website (http://www.grantsreform.ny.gov/Grantees) and download a copy of the Registration Form. Please review the instructions for submission of this Form. The form must be signed and notarized by an authorized representative of your organization, and must be submitted as soon as possible in order to gain access to the Grants Gateway.
- Upon submission of your Registration Form, you will be provided with a User ID allowing you to gain access to the New York State Grants Gateway.
- Applicants who have already submitted registration materials and received their user credentials do not have to re-register.
- Please refer to the Gateway Training Materials and resource links posted on the "Grantees" section of the Grants Reform website for help. If you still have questions, please address them to the Grants Reform Team at: GrantsReform@Budget.ny.gov with "Prequalification" in the subject line. If you have not yet registered, please do so immediately.

BMP Operation and Maintenance Guidelines

A BMP that is funded by this Soil Health Mini-Grants opportunity must be maintained and properly operated for the conservation purposes for which the practice was approved. The project sponsor must ensure that active BMPs, at a minimum, be operated and maintained by the Landowner and/or Operator for the lifespan period. For information on BMPs including life spans please refer to the Draft Agricultural Management Practices Catalog.

Soil Health Mini Grant Hourly Rate Recommendation

The following rates were acquired from SWCDs as a result of our inquiry as part of the 2014 annual reports submitted.

The new hourly rates which can be used by SWCDs, in lieu of providing justification for calculating their actual salary, benefit and overhead, to calculate total personnel services costs are as follows:

	Hourly Rate	Overhead	Total
Managerial	\$52	\$5	\$57
Technical	\$35	\$5	\$40
Senior	\$41	\$5	\$46
Secretarial	\$36	\$5	\$41

Districts may use their actual salary, benefit and overhead figures in lieu of the above set rates. In those cases, full documentation must be provided to obtain payment. In cases where interns, seasonal or part-time employees are used, actual hourly rates will have to be used and justified.

These rates, including overhead expenses, can also be used for local agency personnel (NRCS, CCE) as well as private sector consultants. These individuals will also have the option to use and fully justify their own actual rates. Overhead expenses cannot be used for actual rates.

IMPORTANT

When using State Rates in Grants Gateway, enter \$0 under the annual salary prompt.

Ecosystem Based Management Principles

What is Ecosystem-based Management?

In the New York Ocean and Great Lakes Ecosystem Conservation Council's Report, "Our Waters, Our Communities, Our Future," ecosystem-based management (EBM) is defined as an innovative approach to management that is distinct from traditional models. EBM recognizes that humans are integral parts of any ecosystem and that ecosystems are vital in supporting human life. It emphasizes the need to establish strong partnerships to address complex and often contentious issues and requires the integration of ecological, social, economic, and institutional perspectives.

The principles that generally guide EBM are:

- EBM emphasizes the *protection* of ecosystem structure, functioning, and key processes based on science;
- EBM is *place-based* in focusing on a specific ecosystem and the range of activities affecting it;
- EBM explicitly accounts for the *interconnectedness within systems*, recognizing the importance of interactions among many target species or key services and other non-target species;
- EBM acknowledges the *interconnectedness among systems*, such as air, land and sea;
- EBM *integrates* ecological, social, economic, and institutional perspectives, recognizing their strong interdependencies and mutual influences;
- EBM emphasizes *collaborative governance processes*, working together with citizens, landowners, businesses, local governments, interested organizations, and others to face problems, identify opportunities, make feasible improvements, and find common solutions. The processes are often as unique as the situation, but the common theme is the active participation of partners.

New York Ocean and Great Lakes Ecosystem Conservation Council's Report, "*Our Waters, Our Communities, Our Future,*".

New York State Department of Agriculture and Markets 2014 Ecosystem Based Management Soil Health Mini-grants

(Round 2)

EVALUATION SCORE SHEET

<u>Instructions</u>: Evaluate each component of the proposal, per criteria described in the left hand column. Provide comments at the bottom.

SCORING KEY

Total	Exceeds All	Exceeds	Meets	Meets Some	Does Not	Meets No
Points	or Most	Some	Requirements	But Not All	Meet Most	Requirements
Available	Requirements	Requirements		Requirements	Requirements	
20	17 - 20	13 -16	9 - 12	5 - 8	1 - 4	0
10	9 - 10	7 - 8	5 - 6	3 - 4	1 - 2	0

Review Criteria	Max Points	Score
Project Clearly demonstrates a well-planned local program for increasing the		
adoption of soil health practices How well does the applicant address the following:	20	
Watershed analysis has already been conducted to document high priority farms for soil health implementation, consistent with AEM concepts and approach outlined in AEM Guide.		
• There is good documentation of understanding the current local obstacles for farmer adoption of soil health practices.		
• The proposal clearly identifies the number of farms and acres in which soil health practices will be implemented, and includes an aggressive or innovative approach to achieving these goals.		
 The project addresses the objectives and goals outlined in the County AEM Strategy. 		
 The project is consistent with Ecosystem Based Management Principles 		
Adequate Scope of work and Time Frame How well does the applicant address the		
following:		
The feasibility of the project is clearly demonstrated.	10	
• There is demonstrated experience and ability of the sponsor and project staff to undertake the proposed activity.		
 Project deliverables are clearly defined and consistent with program objectives. Proposal clearly defines what is to be done, how it will be done, who will do it and when it will be done. 		
 Project is consistent with, or in cooperation with, other watershed planning and/or implementation activities in the project area or is part of a phased effort in the watershed. 		
 Practices to be installed are listed in DEC's Agricultural Management Practice Catalog or consistent with the Cornell Soil Health Assessment Training Manual. 		

 The proposal uses a coordinated and integrated professionals to maximize the ability to reach a The proposal clearly defines partner affiliation partner is the County Water Quality Coordinate identifies which members.) 	I interdisciplinary team of a diverse farm audience. and involvement (e.g. If local	
 Project is cost effective How well does the application Acres of soil health practices to be implemented ecosystem benefits. 	10	
 Estimated time to complete and hourly rates be administrative or technical/engineering service average costs documented in the NRCS Field of administrative, technical, and engineering service percentage of the total project cost). 	es are reasonable. (e.g. reflect Office Technical Guide; ices reflect an appropriate	
 Equipment purchases, if needed, are well justif which they will be used, both during and follow 		
TOTAL Points	50	
·		
	D.	
Name: Signature:	Date:	