

# Western SARE Competitive Grants Research and Education Program 2009 Request for Pre-Applications



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Utah State University

SARE is a USDA competitive grants program that supports agricultural systems that are economically viable, environmentally sound and socially responsible.

Alaska, American Samoa, Arizona, California, Colorado, Guam, Hawaii, Idaho, Micronesia, Montana, Nevada, New Mexico, Northern Mariana Islands, Oregon, Utah, Washington, Wyoming

The Administrative Council of the Western Sustainable Agriculture Research and Education program announces the request for **Research and Education (Chapter 1) pre-applications**. The Council will evaluate your pre-application against the criteria outlined in this request and in comparison with other pre-applications. The Council – a group of agricultural producers, scientists, educators and business leaders – will then contact the principal investigators of projects selected to develop **full applications** for competitive review. Using the pre-application process to apply for Research and Education grants makes it easier for you, and it aids the Council in selecting **relevant** applications diverse in subject matter and geography and in nurturing applications demonstrating outcomes that farmers and ranchers in the region can successfully adopt.

**Important note:** Congress mandates that the SARE grant program depart from “business as usual.” To that end, the Administrative Council requires that agricultural producers be involved from start to finish in the planning, design, implementation and educational outreach of any SARE-funded project. Token representation of producers is not allowed.

As you develop your application, remember that this is a Research **and** Education grant program, not a Research **or** Education program. You must have both elements in your application. In addition, Western SARE requires that all funded projects:

- Address all the Western SARE goals
- Include a minimum of 5 separate producers’ for ‘on-farm’ testing
- Detail educational outreach plans to producers and agricultural/natural resource professionals in your state and the region
- Develop quantifiable educational products and how they will be distributed to producers and Extension and NRCS field office staffs in your state and the Western region

Harnessing the skills and knowledge of farmers and ranchers from a project’s germination is essential to your receiving funding and ensuring success with your project.

## Western SARE Goals

1. Promote good stewardship of the nation’s natural resources by providing site-specific, regional and profitable sustainable farming and ranching methods that strengthen agricultural competitiveness; satisfy human food and fiber needs; maintain and enhance the quality and productivity of soil; conserve soil, water, energy, natural resources and fish and wildlife habitat; and maintain and improve the quality of surface and ground water.
2. Enhance the quality of life of farmers and ranchers and ensure the viability of rural communities, for example, by increasing income and employment, especially profitable self-employment and innovative marketing opportunities in agricultural and rural communities.
3. Protect the health and safety of those involved in food and farm systems by reducing, where feasible and practical, the use of toxic materials in agricultural production, and by optimizing on-farm resources and integrating, where appropriate, biological cycles and controls.
4. Promote crop, livestock and enterprise diversification.
5. Examine the regional, economic, social and environmental implications of adopting sustainable agriculture practices and systems.

## Timetable for 2009 R&E Competitive Grants Program

- Research and Education pre-applications are due at 5 p.m., MDT, June 13, 2008
- Western SARE Administrative Council reviews pre-applications in Summer 2008
- Principal investigators selected to submit full applications contacted in September 2008
- Full applications due Nov. 14, 2008
- Full applications reviewed January and March 2009

## Western SARE Research and Education Grants

The Western SARE Administrative Council encourages projects that:

- Recognize the importance of whole-farm or whole-ranch systems approaches
- Utilize multiple disciplines to address the project
- Produce's impacts and outcomes that can be identified, measured and disseminated
- Address weak links or information gaps in a whole-farm or whole-ranch system
- Include educational outreach to producers and educational products to state extension and NRCS field offices
- Incorporate participatory on-farm/ranch research/demonstrations with producers
- Truly incorporate research with education to accomplish all the Western SARE goals

As you conceptualize and create your pre-application, keep in mind the Western SARE goals listed at the right on page 1 of this request.

An important and practical element of the granting process is following directions. Each year, Western SARE disqualifies applications before review because applicants fail to follow directions. Here are other important matters to remember in the granting process:

- Your project's central purpose should be research **and** educationally based, with required outreach and educational products to disseminate its findings to producers and professional groups (Extension and NRCS professionals, ag lending groups, ag organizations, nonprofits, NGOs, etc.).
- Your application and all deliberations by the technical review committee regarding its merits will remain confidential.
- While your application and its review will remain confidential, the Western SARE program considers all funded applications and subsequent reports and related information to be in the public domain. (See details of this stipulation in Appendix B of this request for application.)

## TO SUBMIT PRE-APPLICATION

Go to <http://wsare.usu.edu/grants> and provide the required information online. Pre-applications are required to be posted on the website no later than 5 p.m., MDT, June 13, 2008.

**Applications not received by this deadline will be disqualified.**

An electronic acknowledgement (email) will be sent to you after you have clicked the completed pre-application box.

Your Research and Education pre-application is required to be submitted using the format contained at the website. This will include the outline below. **Appendix A** includes the cover page format as well as the budget form to be used. These pages will be generated from information you provide online. Please be familiar with the Required Budgetary Details found at <http://wsare.usu.edu/grants/docs/BudgetDetail.pdf> when organizing your budget. However, you are not required to submit these details or a budget justification at the pre-application stage.

Your electronically submitted pre-application will generate:

- A cover page
- A summary page
- A project description
- A budget page

Pre-applications that fail to follow the prescribed format will be rejected.

No signatures are required for submitting a pre-application.

All required field format areas are character-sensitive to insure format uniformity.

**NOTE:**  
**Character limits include spaces and  
punctuation. Plan accordingly.**

# **Research and Education Pre-Application Format**

- I. Title/Cover Page (Generated on line)
- II. Project Summary (2000-character limit)
- III. Project Description
  - a. Statement of problem
  - b. Originality of work to be done – database search
  - c. Relevance to each Western SARE goal
  - d. Objectives
  - e. Methodology
  - f. Timetable of work
  - g. Scholarly and educational products to be produced
  - h. ‘On-farm’ participatory research/demonstrations to be conducted
  - i. Educational outreach plans to producers in your area, state and region
  - j. Educational outreach plans to Extension and NRCS field offices
  - k. Post-project evaluation plan to measure success
- IV. Budget form (Form CSREES-2004) (Generated on-line)

## **Section I: Title/Cover Page (Page will be generated online)**

Information from this page will be generated from required online materials supplied by the principal investigator.

**Section II: Project Summary (2,000-character limit)** in non-technical terms this describes an overview of the project. Include the following in your narrative: a summary of items a-k listed above.

**Section III: Project Description** The project description must address each item that follows a through k in that order.

### **(a) Statement of Problem (1,000-character limit)**

Write a brief concise statement of the problem being addressed in this pre-application. Include the context in which the problem exists and the impacts it is currently having.

### **(b) Original Study (500-character limit)**

Provide evidence for the originality of this study and its future contribution to the body of knowledge related to sustainable agriculture, its practices and its adoption. Search and report findings on the following database:

1. National SARE projects database (<http://www.sare.org/projects>),
2. National Agricultural Library database (<http://www.nal.usda.gov/afsic>)
3. USDA-CSREES-CRIS current research database ([http://cuaes.cornell.edu/CUAESWeb/cris\\_search.htm](http://cuaes.cornell.edu/CUAESWeb/cris_search.htm))
4. Other pertinent databases

### **(c) Relevance to each Western SARE goal (500-character limit)**

Indicate how the project and its potential outcomes are relevant to each of the five Western SARE goals listed on page 2 of this request for pre-applications.

**(d) Objectives (500-character limit)**

Provide a numbered list of concise, specific *measurable* objectives for both the research and education components of your proposed project.

**(e) Methodology (500-character limit)**

Describe the methodology for achieving the desired outcome for each objective.

**(f) Time Table of major events (500-character limit)**

This would include all years of your project

**(g) Scholarly and educational products to be produced (500-character limit)**

List specific journals being targeted for publication, along with specific Extension publications, NRCS Field Office Technical Guide materials and other educational products that will be produced (books, videos, binders, websites, etc.).

**(h) ‘On-farm’ participatory research/demonstrations (500-character limit)**

Identify each producer who has agreed to contribute to the project. Clearly indicate what roles each will conduct in the project. Producers are expected to take part in identifying the problem, planning the research and demonstrating and conducting the research and outreach in collaboration with your project. Indicate from Appendix D which type of participatory project your application reflects.

**(i) Educational outreach plans to producers in your area, state and region (500-character limit)**

Detail how you will conduct your educational outreach plan to producers in (1) your immediate area, (2) your state, and (3) the Western region.

**(j) Educational outreach plans to Extension and NRCS field offices (500-character limit)**

Detail how you will deliver educational products to State/County Extension staff, NRCS Field Offices and other agricultural professionals.

**(k) Post-project evaluation plan to measure success (500-character limit)**

All projects must include a post-project evaluation plan to determine the success of the project. Describe the methods to document the success of educating producer and agricultural/natural resource professionals along with producing and distributing your stated academic and other professional educational products.

**Section IV. Budget (Page will be generated online)** the budget will be generated on the USDA/CSREES Budget Form. No budget justification is needed at this point, but having Required Budgetary Details in mind is suggested.

# Appendix A

## Research and Education Pre-Application Title/Cover Page Form

### COVER PAGE:

- A. **Project Title:** Keep it brief, simple and descriptive.
- B. **Subject Matter Area:** Choose only one from Table #1 on page 6:
- C. **Funding:**  
 1<sup>st</sup> Year \_\_\_\_\_ 2<sup>nd</sup> Year \_\_\_\_\_ 3<sup>rd</sup> Year \_\_\_\_\_ Total \_\_\_\_\_
- D. **Principal Investigator:** List the name, title, address, phone number, fax number and email address. List only one person. This person will serve as the project contact and receive all information from the Western SARE office. This person is responsible for forwarding pertinent information to all producers and other team members.
- E. **Contract and Grant Office (or equivalent):** Name, title, address, phone number, fax number and email address of person in your Contracts and Grants office or Sponsored Programs office who approves all contractual obligations for your organization/institution. This approval is not required for your pre-application. For nonprofit organizations this will typically be the board of trustees. If you have questions, call (435) 797-0351.
- F. **Producers and other Team Members:** List name, title, address, phone number and email address for each. No signatures are required on the pre-application.
- H. **Resubmitted application:** Yes  No  If yes, state name, title and year submitted and briefly address how you modified your application to reflect comments from previous reviews. *A separate box is provided on-line, 500-character limit.*

Western SARE Subject Matter Areas Table 1		
1) Agricultural Marketing	2) Agricultural Systems	3) Agricultural Economics
4) Agricultural Modeling	5) Agroforestry	6) Agronomy
7) Animal Science	8) Education	9) Entomology
10) Horticulture	11) Sustainable Pest Mgt.	12) Natural Resources
13) Quality of Life	14) Range Science	15) Soil Science
16) Tropical Agriculture	17) Water Quality	18) Renewable Energy
19) Food Nutrition	20) Organic Farming	21) Ecological Weed Control
22) Other (specify)		

## USDA/CSREES Budget Form

ORGANIZATION	SARE FUNDS -Year 1-	SARE FUNDS -Year 2	SARE FUNDS -Year 3-	TOTAL SARE -				
PRINCIPAL INVESTIGATOR(S) & PROJECT CONTACT								
<b>A. Salaries and Wages</b>								
1. No. of Senior Personnel								
a. ___ (Co)-PI(s)/PD(s).....	\$	\$	\$	\$				
b. ___ Senior Associates .....								
2. No. of Other Personnel (Non-Faculty)								
a. ___ Research Associates-Post Doctorate.....								
b. ___ Other Professionals.....								
c. ___ Graduate Students.....								
d. ___ Hourly Labor .....								
e. ___ Secretarial-Clerical .....								
f. ___ Technical, Shop, and Other .....								
<b>Total Salaries and Wages .....</b>								
<b>B. Fringe Benefits (If charged as Direct Costs)</b>								
<b>C. Total Salaries, Wages, and Fringe Benefits (A plus B).</b>								
<b>D. Nonexpendable Equipment</b>								
<b>E. Materials and Supplies</b>								
<b>F. Travel (domestic)</b>								
<b>G. Publication Costs/Page Charges</b>								
<b>H. Computer (ADPE) Costs</b>								
<b>I. All Other Direct Costs</b>								
<b>J. Total Direct Costs (C through I).....</b>								
<b>K. Indirect Costs/Tuition Reimbursement (Not Allowed)</b>								
<b>L. Total Amount of This Request .....</b>	\$							

**Pre-application Reviewer Evaluation Form**

Criteria	Possible Points
Statement of Problem	10
Originality of work to be done + database search	10
Relevance to each Western SARE goal	10
Objectives	10
Methodology	10
Timetable of work	5
Scholarly and Educational products to be produced	10
'On-farm' participatory research/demonstrations to be conducted	10
Educational outreach plans to producers in your area, state and region	10
Educational outreach plans to Extension and NRCS field offices	10
Post-project evaluation plan to measure success	5
Total points possible under the technical review:	100

**Comments:**

**Overall recommendation:**

- Develop Full Application
- Some Merit
- No Full Application



## **Appendix B**

### **Special Notes Regarding Western SARE and USDA Policies and Requirements**

All SARE grant recipients must read and subscribe to the spirit and letter of the policies, requirements and restrictions listed in the following special notes:

1. The United States Department of Agriculture (USDA) prohibits discrimination in its programs on the basis of race, color, national origin, sex, religion, age, disability, political beliefs and marital or familial status. (Not all prohibited bases apply to all programs.) Persons with disabilities who require alternate means of communication of program information (Braille, large print, audio tape, etc.) should contact the Western SARE program by phone at (435) 797-2257 or email at [wsare@ext.usu.edu](mailto:wsare@ext.usu.edu)

2. The Western SARE program considers all funded applications and subsequent reports and related information to be in the public domain. A prime directive from Congress in the SARE enabling legislation ensures that results from all studies be provided to producers and other interested parties in a timely and effective manner. Successful applicants (and their institutions) must agree to grant to Utah State University, the host institution, an irrevocable royalty-free, nonexclusive right and license to use, reproduce, make derivative works, display, publish and perform any copyrights or copyrighted materials (including any computer software and its documentation and/or databases) developed under Subcontract for the purpose of education and research or to the extent required to meet USU obligations under its Prime Award. All reports related to funded projects will be made available to all interested parties in printed, electronic or other means of communication without discrimination. Names, addresses, telephone numbers and email addresses of investigators (from funded projects) may be provided to interested news entities, producers or organizations for subsequent inquiries.

3. The Western SARE Administrative Council will give considerable weight to reporting records (length of time that reports are overdue, etc.) of previous recipients of SARE contracts or grants when evaluating projects for any future Western SARE funding. Grant recipients are encouraged to submit reports in a timely manner as this will affect Administrative Council decisions.

The Sustainable Agriculture Research and Education program (SARE) is funded through the USDA Cooperative State Research, Education and Extension Service (CSREES) under Chapter 1 of Title XVI of the Food, Agriculture, Conservation, and Trade Act of 1990 and extended by the 1995 Farm Bill reauthorization. The purpose of the subtitle is to encourage research with education and on-farm demonstration projects designed to increase the producer knowledge base and assist in the adoption of sustainable practices on the land. Ideally, projects will integrate research, education and on-farm demonstrations within whole-farm sustainable agricultural systems involving plants and animals, demonstrating tangible outcomes and addressing Western SARE goals.

## **Appendix C**

### **Special Notes Regarding Western SARE Logic Model**

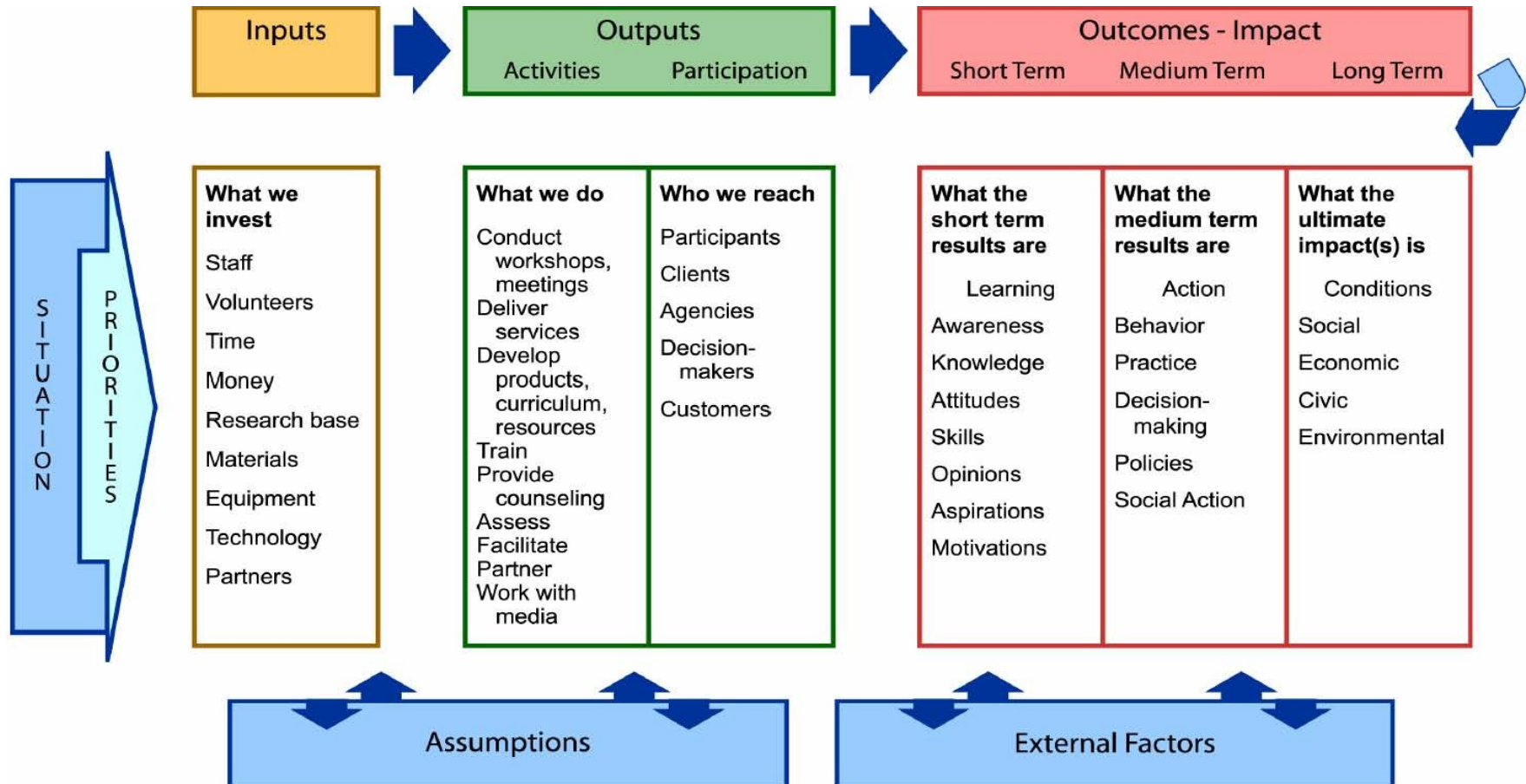
To assist you in writing your Western SARE application, may we remind you that this Request for Applications (RFA) reflects USDA, OMB and Western Deans and Directors efforts to implement the “Logic Model” across all grant programs. You can learn more about the importance of “measurable outcomes” and the “Logic Model” at University of Wisconsin and other salient websites:

- <http://www.uwex.edu/ces/lmcourse/>
- [http://www.rand.org/pubs/technical\\_reports/TR101/TR101\\_ch2.pdf](http://www.rand.org/pubs/technical_reports/TR101/TR101_ch2.pdf)
- <http://www.wisc.edu/provost/assess/manual/manual1.html>
- <http://www.uwex.edu/ces/pdande/evaluation/evallogicmodel.html>

It is also important to remember that (as defined in the listed websites):

- GOALS are broad statements that describe the desired longer-term IMPACTS of what you want to accomplish.
- OBJECTIVES (i.e. desired OUTCOMES) are specific CHANGES expected in your target population(s) as a result of your program or research.
- OBJECTIVES = DESIRED OUTCOMES.
- OBJECTIVES, or desired OUTCOMES, usually result IN THE LONG TERM with changes in:
  - Knowledge (and/or)
  - Attitudes (and/or)
  - Skills (and/or)
  - Behaviors (and/or)
- IMPACTS are the social, economic, civic or environmental consequences of the program or research. IMPACTS tend to be longer term and so may be equated with GOALS.
- Thus, IMPACTS tend to be longer term than OUTCOMES.
- OUTPUTS are specific activities or research products that are generated through the investment of grant resources.

Standard Logic Model from University of Wisconsin



**Situation:** Sustainable agriculture first came to general awareness in the early 1980s because of concerns with rising costs and falling prices, impacts of agricultural chemicals on the environment and the effects of agricultural industrialization on farm families and rural communities.

Congressional directives: Congress defines sustainable agriculture as “...an integrated system of plant and animal production practices having a site-specific application that will, over the long-term: satisfy human food and fiber needs; enhance environmental quality and the natural resource base upon which the agriculture economy depends; make the most efficient use of nonrenewable resources and on-farm resources and integrate, where appropriate, natural biological cycles and controls; sustain the economic viability of farm operations; and enhance the quality of life for farmers and society as a whole.” SARE has been funded since 1988 in order to “... encourage research and education designed to increase knowledge and extend information about Sustainable Agricultural production systems that:

- maintain and enhance the quality and productivity of the soil;
- conserve soil, water, energy, natural resources, and fish and wildlife habitat;
- maintain and enhance the quality of surface and ground water;
- protect the health and safety of persons involved in the food and farm/ranch system;
- promote the well being of animals;
- increase the employment opportunities in agriculture.

SARE summarizes the above responsibilities as: **SARE works to increase knowledge about – and help farmers and ranchers adopt – practices that improve profits, environmental stewardship, and quality of life.**

SARE **Research and Education** (Chapter 1) funding supports projects that “...should be conducted to obtain data, develop conclusions, demonstrate technologies and conduct educational programs that promote agricultural production systems that reduce, to the extent feasible and practicable, the use of chemical pesticides, fertilizer, and toxic natural materials, improve farm management to enhance agricultural productivity, profitability, and competitiveness, and promote crop, livestock, and enterprise diversification.”

SARE **Professional Development Program** (Chapter 3) is designed to “...develop specific training and education activities to facilitate adoption of sustainable agriculture production systems and practices, as researched and developed under SARE, water quality, and other appropriate research programs at the USDA.”

**Priorities:** Facilitate and increase the scientific investigation and education of sustainable agricultural production systems.

**External Factors:**

- Funding from Congress
- Prices/economics (more/less favorable to conventional)
- Incentives
- Regulations



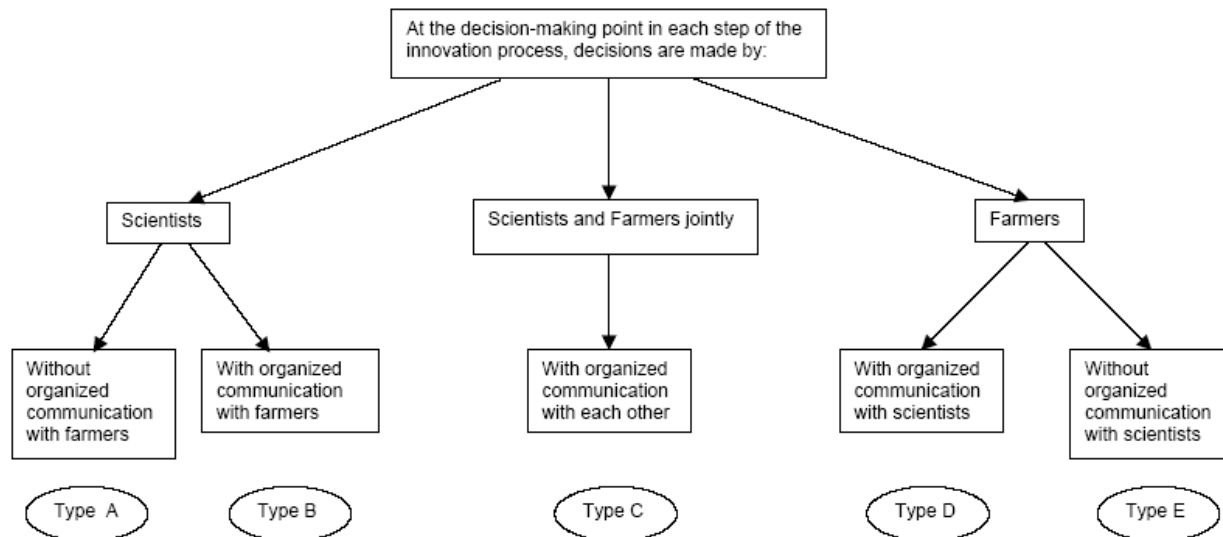
ACTIVITIES – What SARE does		PARTICIPANTS- Who we REACH	OUTCOMES- SHORT	OUTCOMES - MEDIUM	OUTCOMES - LONG-TERM	
Research and Education Grants	<b>R&amp;E Grants Interdisciplinary research</b>	<p>Researchers, producers, and other collaborators</p> <p>Satisfaction with granting process</p>	<p><b>New/better knowledge of SA production and marketing practices;</b> (including risks and certainties &amp; economic data)</p> <p><b>New scientific knowledge</b> (Including: research results)</p>	<p><b>Knowledge/research results disseminated</b></p> <ul style="list-style-type: none"> <li>•Through direct project outreach</li> <li>•Through linkage to Professional Development Program (SARE)</li> <li>•Through links to communications</li> <li>•Dissemination knowledge to producers</li> </ul>	<b>Adoption of Sustainable Agriculture Practices Advanced Sustainable Agriculture Knowledge</b>	<p><b>Improved conditions, e.g.</b></p> <ul style="list-style-type: none"> <li>•Increased profitability and/or reduced risk</li> <li>•Improved soil quality</li> <li>•Improved surface water quality</li> <li>•Increased healthful products available; increased access to locally grown food</li> <li>•Healthier environment</li> <li>•Increased farm/ranch efficiencies (e.g. net grazing efficiency)</li> <li>•Improved quality of life/increased satisfaction with quality of life</li> </ul>
	<b>On-farm experimentation including applied/participatory R&amp;E Grants</b>	<p><b>Participating farmers and ranchers (grantees &amp; collaborators)</b></p> <p>Satisfaction with granting process</p>	<p><b>New knowledge of SA production/marketing practices</b> (including risks and certainties &amp; economic data)</p> <p><b>Increased awareness</b> <b>Increased knowledge</b> <b>Increased skills</b> <b>Increased learning</b></p>	<p><b>Increased adoption of sustainable production/marketing practices by those directly involved in projects,</b> e.g.</p> <ul style="list-style-type: none"> <li>•value-added production</li> <li>•Increased diversification</li> <li>•Reduced use of purchased off-farm inputs; net energy inputs</li> <li>•Increased # of networks organized</li> <li>•Action of production practices changed</li> </ul>		



## **Appendix D**

### Types of Participatory Research Based Upon Decision Making

#### **Producer- Researcher Collaboration**



#### **Type A**

- **Research Station land used**
- **Station does farming**
- **Little or no grower involvement**
- **Main Goal: published research**

#### **Benefits/Limitations:**

**Relevance to producers may be poor if communications with them is limited**

#### **Type B**

- **Research Station land used**
- **Station does farming**
- **Producer is consultative; time only invested**
- **Main Goal: published research**

#### **Benefits/Limitations:**

**Relevance to producers may be improved if they are regularly consulted**

#### **Type C**

- **Researcher and farmer both involved in farming**
- **Goals: publishable research; also includes crop yield and farm income**



**Benefits/Limitations:**

**Producers insure some relevance if significantly involved in research  
Treatments may be compromised as other priorities compete for producer's time**

**Type D**

- **Producer does all farming**
- **Researcher and farmer collaborate on plan**
- **Grower manages plots with input from researcher**
- **Goals: yield, income, then publishable research**

**Benefits/Limitations:**

**Grower insures relevance  
Grower may take economic loss on production**

**Type F**

- **Farmer does all farming on own land**
- **Farmer may or may not collaborate with researcher on plan and plot management**
- **Goals: yield, income, lastly publishable research**

**Benefits/Limitations:**

**Producer relevance is assured  
Producer bears risk unless compensated  
Plot work competes with other needs; treatments may be compromised  
Research has little leverage in plot management**

## Literature Review

• Biggs, S. 1989. Resource poor farmer participation in research: A synthesis of experiences from nine national agricultural research systems. OFCOR Comparative Study Paper 3. Int. Service for National Agricultural Service, The Hague, the Netherlands.

•

Lilja, N., and J. Ashby. 1999. Types of participatory research based on locus of decision-making. Available online @

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• Karlen, D., C. Cambardella, C. Bull, C. Chase, L. Gibson, and K. Delate. 2006. Producer-Researcher interactions in on-farm research. *Agon. J.* 99:779-790.

•

Van de Fliert, E., R. Dilts, and J. Pontius. 2001. Farmer researcher teams, farmer field schools and community IPM.

