

**NEW YORK STATE
DEPARTMENT OF AGRICULTURE AND MARKETS**

Ecosystem Based Management

**Erosion and Sediment Control Implementation Grants for the Genesee River and Finger
Lakes Watershed**

Round 2

REQUEST FOR PROPOSALS (RFP)

(RFP0260)

**Funds to improve the water quality of Lake Ontario at the Rochester Embayment and
Reduce Harmful Algal Blooms in the Finger Lakes**

**Funding for this opportunity has been made available through the NYS Environmental
Protection Fund**

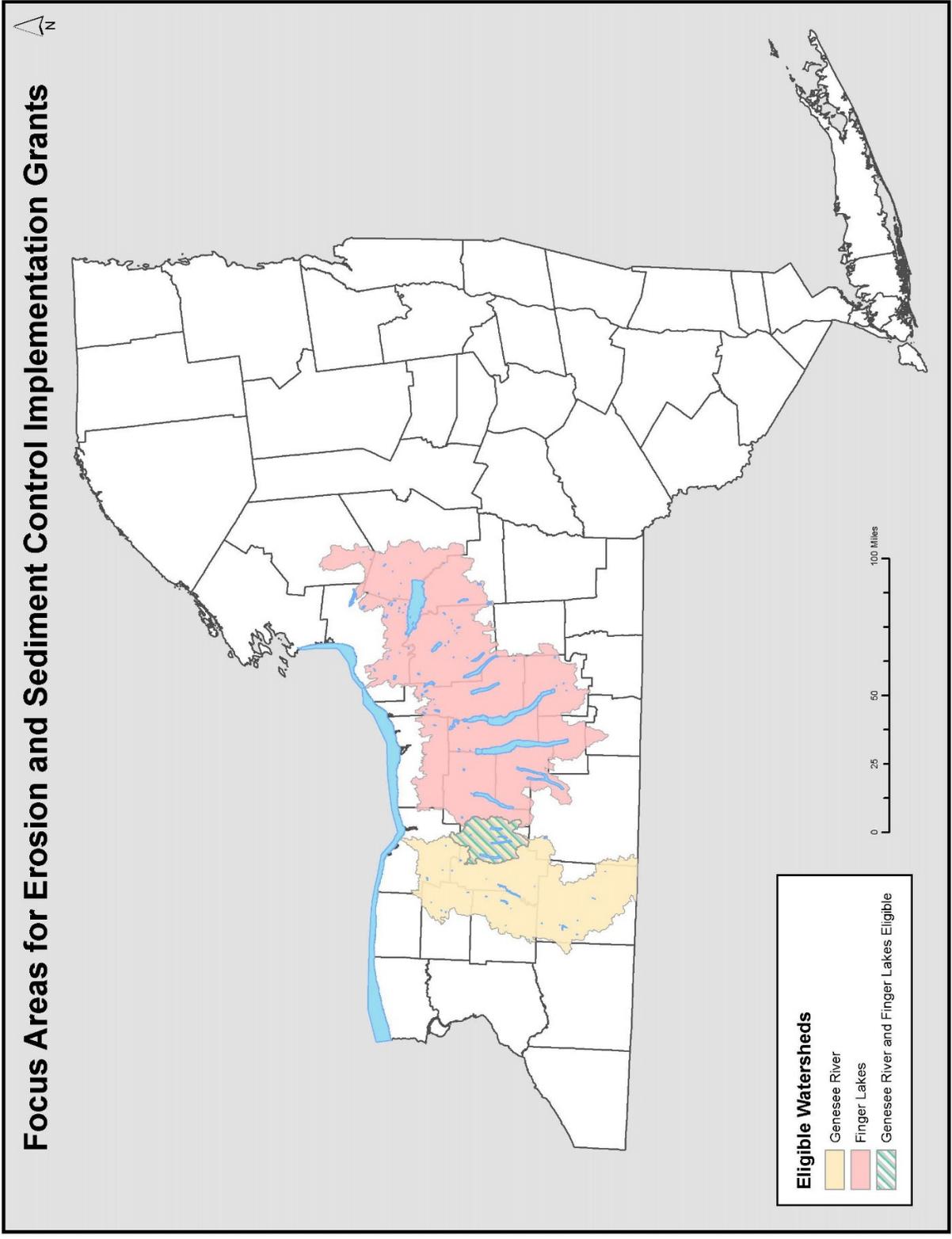
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TIMELINE

Release RFP	August 20, 2021
Deadline for Questions	October 8, 2021
Final Questions and Answers Posted	October 15, 2021
Deadline for Proposals	October 25, 2021
Announce and Award Grants	December 10, 2021

Focus Areas for Erosion and Sediment Control Implementation Grants



1. INTRODUCTION

1.1 Overview

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 to submit proposals for funding under the Ecosystem Based Management (EBM) Program. Funds are available for erosion and sediment control practices on agricultural lands that result in the reduction of nutrients within the Genesee River Watershed and the watersheds of the eleven New York Finger Lakes. These grants are intended to target field-level conservation practices necessary to amend erosion issues and associated nutrient transport. The goal of this program is to reduce the pollutant load within the targeted watersheds and thereby reduce the impacts to the Genesee River and Finger Lakes. It is also intended to help reduce the occurrences of Harmful Algal Blooms in the Finger Lakes.

1.2 Proposal Submission Requirements

Proposals for funding under the Ecosystem Based Management Erosion and Sediment Control Implementation Grants must conform to the format provided through the Grants Gateway (AGM01-ESCI2-2020). **PROPOSALS MUST BE SUBMITTED online through the Grants Gateway by 4:00 p.m. local time on October 25, 2021** 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.

1.3 Questions and Answers

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

Lauren Prezorski
New York State Soil & Water Conservation Committee
10B Airline Drive
Albany, NY 12235
P: (518) 485-1470
Email: Lauren.prezorski@agriculture.ny.gov

All questions must be submitted in writing to Ms. Prezorski by October 8, 2021. 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 uploaded in the Grants Gateway. Questions and responses will be updated on Grants Gateway starting no later than August 27, 2021 through October 15, 2021. All questions and answers shall be incorporated into the RFP as a formal addendum.

1.4 Eligible Applicants

Eligible applicants are County Soil and Water Conservation Districts within the eligible geographic boundaries identified on page 3 in this RFP. Counties are not limited to the number of applications that may be submitted, however, only one application per farm will be considered.

1.5 Available Funding and Match Requirements

Approximately \$770,000 is available for the Implementation of Erosion and Sediment Control Practices within the target areas identified on Page 3. Each target area has a separate funding allocation: \$120,000 to support efforts in the Genesee River Watershed and \$650,000 to support projects in the Finger Lakes Watershed. The maximum award level is \$25,000 per project. Matching funds are not required but are strongly recommended. Projects demonstrating higher levels of match will receive higher scores. Portions of a project funded from other State sources will not be considered match. 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, landowner/operator 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.

A written commitment for other required funds or resources must be in place at the time of application (see Appendix E). Sponsor and landowner contributions and expenditures that were made or incurred prior to the contract start date or after contract completion as designated by the Department may not be used as matching funds or reimbursed by the State.

2. PROJECT REQUIREMENTS

2.1 Project Location

Eligible projects must be located within the geographic boundaries of the Genesee River Watershed or the geographic boundaries of the Finger Lakes Watershed as identified on page 3 of this RFP. If the projects fall in the overlapping area of the two watersheds, applicants have the option to select the watershed for which they would like the project considered. A project may only be submitted for consideration under one geographic area (Genesee River **OR** Finger Lakes).

2.2 Eligible Projects

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

- All projects must address erosion and sediment control on agricultural lands.

- Must be for the implementation of conservation practices that meet appropriate NRCS Standards.
- Implementation of cultural practices will only be eligible if part of an erosion control system that dovetails with a structural practice.
- Be based on sound agricultural practices and follow the AEM planning process.
- All projects must have defined measurable outcomes and deliverables. Measurable sediment and nutrient reduction must be estimated at time of application and reported in the final report using the Revised Universal Soil Loss Equation (RUSLE) and /or NY Phosphorus Index (NY P- Index).
- Must have the capability of being completed and invoiced within three years of signing a contract with the Department of Agriculture and Markets.

2.3 Project Duration

It is anticipated that the Department will announce grant awards in December 2021. A proposed project must be capable of being completed and fully reimbursed no later than three years after signing a contract with the Department. If you receive 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.

2.4 BMP Operation and Maintenance Guidelines

A BMP that is funded by this Erosion and Sediment Control Implementation Grants for the Genesee River and Finger Lakes Watershed 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 NYS Agricultural Best Management Practice Systems Catalog.

3. PROJECT COSTS

3.1 Eligible expenses include:

- Architectural and/or engineering services;
- Personal services to implement individual farm level erosion and sediment control practices;
- Consultant and legal services; and
- Other direct expenses related to implementation.

State assistance payments may not be used to cover the lease or purchase of equipment unless the equipment is part of the funded BMP. 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.

4. PROPOSAL FORMAT

4.1 Application Form Instructions

Proposals must be submitted through the Grants Gateway, which follows the questions on pages 14 – 16 of this RFP. Applicants must attach a map showing distance of project to the target waterbody and the nearest named tributary. Other attachments include: a field-level map identifying the proposed project; a District Board Resolution authorizing submittal of the proposal; certification that letters of commitment from all landowners/operators and employers of all partners and entities providing monetary or technical assistance are on file in the District office; certification that the project will have no impact on cultural resources; and photographs documenting project need (optional, but encouraged). It is the responsibility of the applicant to describe current conditions, project need and environmental benefits to be achieved. Lack of information provided may result in lower scores by reviewers.

4.2 COMPLETING THE BUDGET IN GRANTS GATEWAY

****IMPORTANT INFORMATION FOR USING GRANTS GATEWAY****

The Grants Gateway Budget form can be found under the Forms Menu as “Project Budget”. Under the “OTHER” category, enter the Total Project Costs. There is no need to enter additional categories. The itemized project budget form (Appendix C) can be found under the Pre-Submission Uploads section. This budget form must be completed in detail and uploaded for an application to be reviewed.

4.3 Grants Gateway Information

Proposals must be submitted online via the Grants Gateway at <https://grantsgateway.ny.gov> by the date and time posted on Page 2 of this RFP. Reference materials, links to webinars, and videos are available for Grantees applying to funding opportunities on the Grants Management website at <https://grantsmanagement.ny.gov>.

Organizations must first be registered in the Grants Gateway before starting an application,

however, organizations that have already registered do not need to register again. The registration form and instructions can be found at <https://grantsmanagement.ny.gov/register-your-organization>.

Please note that the Grants Gateway is a role-based system and only certain account types (roles) can start and submit applications. Organizations must have a user in place that can submit the application prior to the deadline. The only roles that can submit applications are the Grantee Contract Signatory or the Grantee System Administrator.

- Vendor User Manual: <https://grantsmanagement.ny.gov/grantee-documents#vendor-user-manual>
- How to manage users: Section 2 of the Vendor User Manual
- How to apply to a grant: <https://grantsmanagement.ny.gov/apply-grant> or section 5 of the Vendor User Manual
- FAQs about roles and applications: <https://grantsmanagement.ny.gov/grants-gateway-system-faq>

4.4 Completing Work Plans in Grants Gateway

The Gateway application will utilize an open project work plan. You must follow the instructions below when completing the work plan for each application:

Project Description – List farm name followed by a brief description of the overall farm project.

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

Objectives – List the appropriate Best Management Practice System name. You will need to repeat the system name in the description or enter “same”.

Tasks – List the BMP Practice to be implemented under Task Name. Enter the NRCS Practice Code under the description. Each BMP practice should be listed as a separate task.

Performance measures – In the field for performance measure name, repeat the NRCS Practice Code from the task. In the performance measure narrative, list the quantity and unit for each BMP Practice to be implemented (e.g. 1000 feet, or 1.5 acres).

NOTE: The project work plan must include all the deliverables of your project. Other sections of the Grants Gateway application are used to describe, support and reinforce the project documented in the work plan.

5. EVALUATION CRITERIA AND METHOD OF AWARD

5.1 Scoring Criteria

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

1. Project reduces sediments and/or associated nutrients from entering the target waterbody (Maximum score 30 points);
2. Scope of Work and Time Frame (Maximum score of 10 points); and
3. Cost Effectiveness (Maximum score of 10 points).

Applications that demonstrate the following will receive higher scores:

- a significant reduction in sediment/phosphorus transport;
- close proximity to one of the target waterbodies;
- leverage federal or local resources;

- alignment with Ecosystem Based Management Principles (see Appendix B for list of EBM Principles) and the goals of the appropriate watershed management plan or HAB Action Plan.

5.2 Preference Points

Projects that include matching funds will be awarded up to 5 preference points based on the demonstrated level of match provided. Points for matching funds will be awarded as follows:

- Greater than 50% of the total project cost = 5 points
- Between 35% - 49% of the total project cost = 4 points
- Between 25% - 34% of the total project cost = 3 points
- Between 10% - 24% of the total project cost = 2 points
- Between 1% - 9% of the total project cost = 1 point

5.3 Method of Award

All eligible applications will be reviewed and scored by three (3) 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 and preference points (up to 5 points) based on the level of matching funds will be added to the aggregate score to make up the proposal's grand total score. Proposals will then be ranked by their grand total score from highest to lowest to make up the final ranked lists for awards in each of the targeted watershed areas. The maximum available aggregated score is 150 points based on three evaluators awarding a maximum score of 50 points each. Proposals that receive a score of less than 75 or 50% of the maximum available aggregated score, before preference points are assigned, will not be considered for funding. With all preference points earned the maximum grand total score is 155. Proposals will be funded in the order of rank until available funding for each watershed area is exhausted or no eligible applications remain.

5.4 Tie Breaker

If there is a numerical tie after the applications have 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 75 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 project that is closest to its target waterbody will be funded first. If two projects are still equal, the final determination will be made by a coin toss.

5.5 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.

5.6 Debriefing

Following the announcement of the applicants awarded funding under this RFP, unsuccessful applicants may request a debriefing from the Department's Program Manager no later than fifteen (15) calendar days from the date of the non-award notification. This debriefing will be limited to a discussion of the failed aspects of the subject application. To request a review of an unsuccessful application, contact Ms. Kimberly Carr, Division of Fiscal Management via e-mail at procurement.info@agriculture.ny.gov.

6. CONTRACTS & PAYMENT TERMS

6.1 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 with the Department. Payments cannot be made until the contract is fully executed. Once executed, sponsors may request a 25% advance funding payment. **All other payments are reimbursement based.** 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 contracts will be three full construction years plus two months for project administration and completion of the final report. The project start date will be the date of issue on the contract. Funding of proposals that extend over more than one State fiscal year will be subject to the reappropriation of funds.

Project location is a significant factor in determining project ranking, therefore, amendments to change project location will not be considered. If an awardee is unable to complete the approved project in the approved location, termination of the contract will result.

6.2 New York State 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 this funding opportunity, and applicants are responsible for complying with the terms and conditions contained therein.

6.3 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.

6.4 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.

6.5 Liability

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

7. 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. 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, including quantifiable pollutant reductions, 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 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.

Progress reports shall provide a detailed narrative description of the work that has been completed under the Contract and shall include an identification of specific objectives that have been accomplished to date. Progress reports will be required when requesting any form of Amendment to this Agreement, regardless of the reporting period. The Department reserves the right to request additional progress reports as deemed necessary throughout the Contract period.

8. CONSIDERATIONS

8.1 Reserved Rights

The Department reserves the right to:

- Modify proposal submission requirements as deemed necessary with appropriate written notice to all potential applicants;
- reject any or all proposals received in response to this RFP;
- withdraw the RFP at any time, at the State Committee's and the Department's discretion;
- make an award under the RFP in whole or in part;
- disqualify any applicant whose conduct and/or proposal fails to conform to the requirements of the RFP;
- prior to the deadline for proposals, amend the RFP specifications to correct errors or oversights, or to supply additional information, as it becomes available and with appropriate written notice to all potential applicants by posting amendments on the Grants Gateway;
- prior to the deadline for proposals, direct applicants to submit proposal modifications addressing subsequent RFP amendments;
- change any of the scheduled dates;
- eliminate any mandatory, non-material specifications with which all applicants cannot comply;

- waive any requirements that are not material;
- 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 for the purpose of assuring a full and complete understanding of an applicant's proposal and/or to determine an applicant's compliance with the requirements of the RFP;
- negotiate the terms of any agreement proposed by the applicant, including the size and scale of the project in relation to funds available; 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.

8.2 Freedom of Information

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

8.3 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. All applicants must complete and sign a certification that these requirements will be followed for all applicable practices implemented under this opportunity.

8.4 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.

Grant Application Form

RFP0260

Erosion and Sediment Control in the Genesee River and Finger Lakes Watershed Round 2

Please Answer ALL Questions

Part 1: Applicant Information

1. Applicant Soil and Water Conservation District (SWCD): Click here to enter text.
2. Contact Person: Click here to enter text.
3. Mailing Address: Click here to enter text.
4. Phone: Click here to enter text.
5. Email Contact: Click here to enter text.

Part 2: General Project Information:

1. Farm Name: Click here to enter text.
2. Project Location: Click or tap here to enter text.
3. Target Waterbody (please refer to the map on page 3): Choose an item.
4. Type of Farm Operation: Click here to enter text.
5. Number of animal units (if any): Click here to enter text.
6. Acres Owned: Click here to enter text.
7. Acres Operated: Click here to enter text.

Part 3: Project Timing and Costs:

1. Proposed Start Date: Click here to enter a date.
2. Expected Completion Date: Click here to enter a date.
3. If you have applied/received any additional funding for the projects within this proposal, indicate the funding source and amount:
Source(s): Click here to enter text.
Amount(s): Click here to enter text.
4. Has this project (or any component) been funded in the past? If yes, please include in the project description. Yes No

Part 4: Project Narrative

1. Short Project Description (up to 500 characters): [Click here to enter text.](#)
2. Describe the project: what will be done, how it will be accomplished, the farm need, and how it links to a specific watershed plan and/or Harmful Algal Bloom Action Plan: [Click here to enter text.](#)
3. Described who will do the project, their affiliation, role and qualifications: [Click here to enter text.](#)
4. What is the projected reduction in sediment and/or phosphorus (e.g. tons/year and/or lbs./year): [Click here to enter text.](#)
What method was used to determine this estimate: [Choose an item.](#)
5. Provide a timeline description for how the project will be completed in two years or less: [Click here to enter text.](#)

Part 5: Additional Information

1. Has an AEM Tier 3 plan been developed for the farm? Yes No
2. Does this project address a concern identified in the plan? Yes No
3. If a CAFO farm is included in the application, are they compliant with appropriate CAFO General Permit requirements:
(CAFO = Concentrated Animal Feeding Operation)
 Yes No N/A (*If no, the farm is not eligible to participate in this program*)
4. If the proposed project is on rented land, is there a written lease agreement that extends to the lifespan of the proposed practice(s)? Yes No
5. How far is the proposed project from the target waterbody identified in question 2.3: [Click here to enter text.](#)
6. How far is the proposed project from the nearest named tributary: [Click here to enter text.](#)
7. What is the 12-digit hydrologic unit code (HUC) #(s) of the watershed of the proposed project: [Click here to enter text.](#)

Part 6: Budget

1. Complete the Grants Gateway Project Budget as directed in section 4.2 of this RFP.
2. Complete and attach the Project Budget and Budget Narrative Form (see Appendix C), which can be found in the pre-submission uploads section of Grants Gateway. Matching funds from sponsor and landowner are not required but must be documented in Appendix C if they are to be considered as part of the application.

Part 7: Project Work Plan

Complete the Project Work Plan in Grants Gateway following the directions provided in section 4.4 of this RFP. It is IMPORTANT that the work plan be completed as directed.

Part 8: Maps

Please attach required maps as outlined in Section 4.1 of this RFP.

Part 9: SWCD Resolution

Please attach a SWCD Board resolution authorizing the submission of this application pursuant to the Erosion and Sediment Control Implementation Grants for the Genesee River and Finger Lakes Watershed - Round 2.

NOTE: If the project application includes participating landowner(s) that are either SWCD Board Members or Employees, please attach a copy of the official Board Meeting minutes that reflect the process for the selection of the farm(s), disclosure of interests, and necessary recusals from the authorizing resolution.

Part 10: Letters of Commitment

The submission of this application by the Grantee Signatory serves as a commitment to all deliverables and expenses within the project proposal by the Soil and Water Conservation District. Please attach a certification that written commitments have been obtained, and are on file, for all other project partners, including landowners, listed in the application. (See Appendix E.)

Part 11: Cultural Resources Certification

Please attach a signed certification that the District has obtained a “no impact” cultural resource determination from the State Historic Preservation Office (SHPO) within the Office of Parks, Recreation and Historic Preservation (OPRHP); or has determined that the project site is outside of any archaeologically sensitive areas based on the Cultural Resources Information System (CRIS) database. (See Appendix F.)

APPENDIX A

**Erosion and Sediment Control Implementation Grants
for the Genesee River and Finger Lakes Watershed
Round 2**

Hourly Rate Recommendation

The following rates were acquired from SWCDs based on our inquiry as part of the 2020 annual reports submitted.

The 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 :

	<u>Hourly Rate</u>	<u>Overhead</u>	<u>Total</u>
Managerial	\$63.00	\$5.00	\$68.00
Technical	\$40.00	\$5.00	\$45.00
Senior Tech	\$48.00	\$5.00	\$53.00
Secretarial	\$40.00	\$5.00	\$45.00
Engineer	\$66.00	\$5.00	\$71.00

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.

APPENDIX B

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*](#),".

APPENDIX C

Project Budget and Budget Narrative Form

Erosion and Sediment Control Implementation Grants for the Genesee River and Finger Lakes Watershed

Round 2

EXPENDITURE	STATE REQUEST	SPONSORS CONTRIBUTION*	LANDOWNER CONTRIBUTION*	TOTAL PROJECT COSTS	NARRATIVE (Include Source, and detailed description of expense)
PERSONAL SERVICES				0	
CONTRACTUAL SERVICES				0	
ENGINEERING SERVICES				0	
SUPPLIES				0	
OTHER DIRECT EXPENSES RELATED TO PROJECT CONSTRUCTION/PROJECT DELIVERABLES				0	
OVERHEAD EXPENSES (Derived from Using the Recommended Rates)				0	
BMPs				0	
TOTALS	0	0	0	0	
Cost Share Percentages (% of Total Project Cost)	0.00%	0.00%	0.00%	0.00%	

APPENDIX D

**Erosion and Sediment Control Implementation Grants
for the Genesee River and Finger Lakes Watershed
Round 2**

EVALUATION SCORE SHEET

Each component of the proposal will be evaluated per criteria described in the left-hand column. Numbers in **BOLD** are the maximum score for the category. Numbers that are not bold reflect how points are apportioned within each category.

Preference Points	Max Points	Score
<p>Matching funds demonstrate a solid commitment to project success.</p> <p>Sponsor and landowner match are:</p> <ul style="list-style-type: none"> Greater than 50% of the total project cost Between 35% - 49% of the total project cost Between 25% - 34% of the total project cost Between 10% - 24% of the total project cost Between 1% - 9% of the total project cost No matching funds are involved 	<p>5</p> <p>5</p> <p>4</p> <p>3</p> <p>2</p> <p>1</p> <p>0</p>	

Scoring Key

Total Points Available	Exceeds All or Most Criteria	Exceeds Some Criteria	Meets Criteria	Meets Some but Not All Criteria	Does Not Meet Most Criteria	Meets No Criteria
30	25-30	19-24	13-18	7-12	1-6	0
10	9-10	7-8	5-6	3-4	1-2	0

Review Criteria	Max Points	Score
<p>Project reduces sediment and/or nutrients from entering the target watershed or its tributaries.</p> <p><i>How well does the applicant address the following:</i></p> <ul style="list-style-type: none"> The project addresses an identified need or opportunity to reduce sediment and nutrients from entering one of the target waterbodies identified in the RFP. 	<p>30</p> <p>5</p>	

<ul style="list-style-type: none"> • The proximity of the project to the target waterbody suggests a close relationship between the farm resource concern and the potential pollutant source to the waterbody. 	5	
<ul style="list-style-type: none"> • Once implemented, the project will result in a significant reduction of sediment/nutrients entering the target waterbody. This was determined using a sound scientific approach. 	10	
<ul style="list-style-type: none"> • The BMP selection is appropriate for the concern and is based on a recommendation from an AEM Tier 3 plan. 	5	
<ul style="list-style-type: none"> • The project is consistent with Ecosystem Based Management Principles 	5	
<p><i>Adequate Scope of Work and Time Frame</i></p> <p><i>How well does the applicant address the following:</i></p> <ul style="list-style-type: none"> • The proposal contains sufficient evidence that the project is feasible, agreeable to all landowners and operators involved, and can be completed within a three-year time frame. 	10	
<ul style="list-style-type: none"> • There is demonstrated experience and ability of the sponsor and project staff to undertake the proposed activity. 	2	
<ul style="list-style-type: none"> • Project deliverables are clearly defined and consistent with RFP objectives. Sufficient information has been provided to clearly describe the pollution concern being addressed by the proposed project. 	3	
<p><i>Project cost effectiveness:</i></p> <p><i>How well does the applicant address the following:</i></p> <ul style="list-style-type: none"> • BMP(s) to be implemented are cost effective relative to the ecosystem benefits. 	10	
<ul style="list-style-type: none"> • Estimated time to complete and hourly rates being charged for technical/engineering services and administration are reasonable (e.g. reflect average costs documented in the NRCS Field Office Technical Guide; administrative, technical, and engineering services reflect an appropriate percentage of the total project cost). 	6	
	4	
TOTAL Points	50	

APPENDIX E

**Erosion and Sediment Control Implementation Grants
for the Genesee River and Finger Lakes Watershed
Round 2**

Certification of Letters of Commitment

County Soil and Water Conservation District: [Click here to enter text.](#)

Project Proposal Name: [Click here to enter text.](#)

The undersigned certifies that Letters of Commitment for the above reference project proposal are current and on file at the Soil and Water Conservation District office. These written commitments include a separate letter for each project partner, including landowners, and the specific level of commitment to be provided for the project; as stated in the proposal.

I hereby affirm under penalty of perjury that information provided on this form and attached statements and exhibits are true and accurate. False statements made herein are punishable as a Class A misdemeanor pursuant to Section 210.45 of the Penal Law.

(Title) _____ of (entity)

(date) _____ (signature) _____ (print name)

APPENDIX F

Cultural Resource Requirements

Erosion and Sediment Control Implementation Grants for the Genesee River and Finger Lakes Watershed Round 2

NYS OFFICE OF PARKS, RECREATION AND HISTORIC PRESERVATION REQUIREMENTS

For ground disturbing or potentially ground disturbing implementation activities, please consult the NYS Cultural Resource Information System website to determine if the project is located in an archeologically sensitive area <https://cris.parks.ny.gov/Login.aspx?ReturnUrl=%2f>.

- For self-determination, please see the *Instructions for Using NYS Cultural Resource Information System website*. If the project is not located in a shaded area, copy and paste the map into a Microsoft document (i.e. Word, Publisher, etc.) and include the following information:
 - SWCD and SWCD Contact Person
 - Project Title (Farm Name/BMP to be implemented)
 - Landowner Name

Retain a copy of each map necessary and note if the project is not located in an archeological sensitive area on the cultural resource certification.

- If the project is located in an archeological sensitive area, you will need to submit the project for review through the CRIS website.
- Part of NRCS's current agreement with SHPO identifies the potential of each BMP to disturb the ground. The list of BMPs is attached as SHPO Ground Disturbing Potential. SHPO has agreed that BMPs identified on that list as NG (not ground disturbing) need not be submitted to their office for review. If you do not submit a project to SHPO for this reason, please note this on the Cultural Resource Certification. Practices listed as Potentially Ground Disturbing (PG) will need to be submitted through the CRIS website.
- Projects that are ground disturbing or PG within an archaeological sensitive area must be submitted to NYS OPRHP. Letters from NYS Office of Parks, Recreation and Historical Preservation with "no impact" determinations should be noted on the cultural resource certification and copies of the letters must be kept on file in the District office.

**Erosion and Sediment Control Implementation Grants
for the Genesee River and Finger Lakes Watershed
Round 2**

Cultural Resource Certification

County Soil and Water Conservation District: [Click here to enter text.](#)

Project Proposal Name: [Click here to enter text.](#)

The undersigned certifies that the above reference project (check all the apply):

- Does not include any ground disturbing or potentially ground disturbing practices.
- Has been self-determined to be outside of all archaeological sensitive areas using the New York State Cultural Resource Information System. A map with the project name and landowner name is on file in the District office.
- The project has been reviewed by the New York State Office of Parks, Recreation and Historical Preservation and has been determined to have no impact on archaeological and/or historic resources listed in or eligible for the New York State and National Registers of Historic Places. A copy of this letter is on file in the District office.

I hereby affirm under penalty of perjury that information provided on this form are true and accurate. False statements made herein are punishable as a Class A misdemeanor pursuant to Section 210.45 of the Penal Law.

(Title) _____ of (entity)

(date) _____ (signature) _____ (print name)

SHPO Ground Disturbing Potential

(G=Ground Disturbing, NG=Not Ground Disturbing, PG=Potentially Ground Disturbing)

Code	Name	Rating
560	Access Road	G
311	Alley Cropping	NG
575	Animal Trails and Walkways	PG
310	Bedding	G
314	Brush Management	PG
322	Channel Vegetation	PG
324	Deep Tillage	G
326	Clearing & Snagging	G
397	Commercial Fishponds	G
317	Composting Facility	PG
327	Conservation Cover	NG
328	Conservation Crop Rotation	NG
656	Constructed Wetland	G
360	Closure of Waste Impoundments	PG
332	Contour Buffer Strips	NG
330	Contour Farming	NG
331	Contour Orchard and Other Fruit Area	PG
585	Contour Stripcropping	NG
335	Controlled Drainage	G
340	Cover Crop	NG
342	Critical Area Planting	PG
589A	Cross Wind Ridges	NG
589B	Cross Wind Stripcropping	NG
589C	Cross Wind Trap Strips	NG
348	Dam, Diversion	G
402	Dam, Floodwater Retarding	G
349	Dam, Multiple Purpose	G
356	Dike	G
362	Diversion	G
432	Dry Hydrant	PG
647	Early Successional Habitat Development/Mgt.	NG
382	Fence (high-tensil)	NG
382	Fence (all other)	G
386	Field Border	NG
393	Filter Strip	PG
394	Firebreak	PG
398	Fish Raceway or Tank	PG
Bio 395	Fish Stream Improvement	PG
Bio 399	Fishpond Management	N G

400	Floodwater Diversion	G
404	Floodway	G
511	Forage Harvest Management	NG
655	Forest Harvest Trails & Landings	G
490	Forest Site Preparation	PG
666	Forest Stand Improvement	NG
410	Grade Stabilization Structure	G
412	Grassed Waterway	G
548	Grazing Land Mechanical Treatment	PG
561	Heavy Use Area Protection	PG
422	Hedgerow Planting	PG
422A	Herbaceous Wind Barriers	NG
423	Hillside Ditch	G
320	Irrigation Canal or Lateral	G
388	Irrigation Field Ditch	G
464	Irrigation Land Leveling	G
552A	Irrigation Pit or Regulating Reservoir - Irrigation Pit	G
552B	Irrigation Pit or Regulating Reservoir - Regulating Reservoir	G
436	Irrigation Storage Reservoir	G
442	Irrigation System - Sprinkler	G
443	Irrigation System - Surface & Subsurface	G
441	Irrigation System - Microirrigation	G
447	Irrigation System, Tailwater Recovery	G
428A	Irrigation Water Conveyance,Ditch and Canal Lining - Nonreinf Concrete	G
428B	Irrigation Water Conveyance,Ditch and Canal Lining - Flexible Membrane	G
428C	Irrigation Water Conveyance,Ditch and Canal Lining - Galvanized Steel	G
430AA	Pipeline - Aluminum Tubing	PG
430BB	Pipeline - Asbestos-Cement	G
430CC	Pipeline - Nonreinf Concrete	G
430DD	Pipeline - High-pressure, Underground, Plastic	G
430EE	Pipeline - Low-pressure, Underground, Plastic	G
430FF	Pipeline - Steel	PG
430GG	Pipeline - Reinf Plastic Mortar	G
430HH	Pipeline - Rigid Gated Pipeline	PG
449	Irrigation Water Management	PG
460	Land Clearing	G
451	Land Reclamation-Fire Control	G
453	Land Reclamation-Landslide Treatment	G
454	Land Reclamation-Subsidence Treatment	G
455	Land Reclamation-Toxic Discharge Control	G

456	Land Reclamation-Highwall Treatment	G
543	Land Reconstruction, Abandoned Mined Land	G
544	Land Reconstruction, Currently Mined Land	G
466	Land Smoothing	G
468	Lined Waterway or Outlet	G
634	Manure Transfer	G
457	Mine Shaft & Adit Closing	PG
482	Mole Drain	G
484	Mulching	NG
590	Nutrient Management	NG
500	Obstruction Removal	G
582	Open Channel	G
512	Pasture & Hay Planting	NG
595A	Pest Management	NG
516	Pipeline	PG
378	Pond	G
521A	Pond Sealing or Lining - Flexible Membrane	PG
521B	Pond Sealing or Lining - Soil Dispersant	PG
521C	Pond Sealing or Lining - Bentonite Sealant	PG
521D	Pond Sealing or Lining - Cationic Emulsion-Waterborne Sealant	PG
521E	Pond Sealing or Lining - Asphalt-Sealed Fabric Liner	PG
462	Precision Land Forming	G
338	Prescribed Burning	PG
528A	Prescribed Grazing	NG
532	Pumped Well Drain	PG
533	Pumping Plant for Water Control	PG
550	Range Planting	NG
562	Recreation Area Improvement	PG
566	Recreation Land Grading & Shaping	G
568	Recreation Trail & Walkway	PG
554	Regulating Water in Drainage Systems	NG
329A	Residue Management, No-till & Strip Till	NG
329B	Residue Management, Mulch till	NG
329C	Residue Management, Ridge Till	nG
344	Residue Management, Seasonal	NG
643	Restoration and Management of Declining Habitats	NG
391A	Riparian Forest Buffer	PG
390	Riparian Herbaceous Cover	NG
555	Rock Barrier	PG
558	Roof Runoff Management	PG
570	Runoff Management System	PG
646	Shallow Water Management for Wildlife	G

350	Sediment Basin	G
571	Soil Salinity Management-Nonirrigated	NG
572	Spoil Spreading	G
574	Spring Development	G
580	Streambank & Shoreline Protection	PG
584	Stream Channel Stabilization	G
585	Stripcropping, Contour	NG
586	Stripcropping, Field	NG
587	Structure for Water Control	G
606	Subsurface Drain	G
607	Surface Drainage, Field Ditch	G
608	Surface Drainage, Main or Lateral	G
609	Surface Roughening	NG
600	Terrace	G
610	Toxic Salt Reduction	NG
612	Tree/Shrub Establishment	PG
660A	Tree/Shrub Pruning	NG
614	Trough or Tank	PG
620	Underground Outlet	G
645	Upland Wildlife Habitat Management	PG
472	Use Exclusion	PG
630	Vertical Drain	G
312	Waste Management System	PG
313	Waste Storage Facility	G
359	Waste Treatment Lagoon	G
633	Waste Utilization	NG
636	Water Harvesting Catchment	G
638	Water & Sediment Control Basin	G
640	Waterspreading	G
641	Water Table Control	G
642	Water Well	G
351	Well Decommissioning	PG
658	Wetland Creation	G
659	Wetland Enhancement	G
657	Wetland Restoration	G
644	Wetland Wildlife Habitat Management	PG
648	Wildlife Watering Facility	G
380	Windbreak/Shelterbelt Establishment	PG
650	Windbreak/Shelterbelt Renovation	PG