



New York State
Department of Environmental Conservation
Urban and Community Forestry Grant Program

2007-08 Application and Instructions

Application Deadline: 4:00 p.m. on June 4, 2008

**Governor David A. Paterson
Commissioner Alexander B. Grannis**

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2007 Urban and Community Forestry Grants Program Information for Applicants

General Description:

The New York State Department of Environmental Conservation (DEC) is committed to implementing a successful Urban and Community Forestry (U&CF) Program. The DEC is dedicated to providing support and assistance to communities in comprehensive planning, management, and education to create healthy urban and community forests, and to enhance the quality of life for urban residents. Eligible U&CF projects may include any combination of eligible U&CF activities, must be located on public properties or rights-of-way, and must be equally matched by local resources. Applications must indicate if the proposed project complements other federal, state, and/or municipal projects, and how the project will impact environmental, social, and/or economic issues. Applications must describe the methodology that will be used to achieve the project, must include an itemized budget that details all relevant project-related expenses, and must include information on the cost effectiveness of meeting project objectives and deliverables.

Grant funding is available to eligible municipal and/or not-for-profit organizations having projects located within either of the following funding categories:

- **“Large Cities” with populations of 65,000 or more**
- **“Communities” (small cities, towns, or villages) with populations less than 65,000**

The DEC Division of Lands and Forests anticipates approximately \$900,000 in available state assistance funding for U&CF grants from the NYS Environmental Protection Fund (EPF) under this Request For Applications (RFA).

Quick Start Arbor Day Grants:

Quick Start Arbor Day grants are new this year and are only available to “Communities” (small cities, towns, or villages) and/or Not-For-Profit organizations having projects located within these Communities, that do not yet have any of the following elements of a tree program (certified arborist on staff, tree inventory, management plan) and wish to start one. The DEC is reserving \$20,000 from available U&CF funding for Quick Start Arbor Day Grants. Eligible applicants may request funding up to a maximum grant award amount of \$1,000 for the purpose of organizing and sponsoring an Arbor Day celebration. **Quick Start Arbor Day grants DO NOT require applicants to provide a match.** Arbor Day events should be designed to maximize the involvement and support of community members and officials, and to foster long-term municipal commitment to the goal of achieving the National Arbor Day Foundation’s “Tree City USA” status. More information can be found at www.arborday.org. Applicants will be expected to provide a schedule of events and press coverage, official minutes of meetings relative to a tree program, and photos to illustrate the required mobilization of a community’s interest and commitment.

Who is eligible to apply?

Municipalities and Not-For-Profit Corporations (NFP) acting on behalf of a public ownership interest in the property or acting on behalf of a public property owner may apply. Such an interest may be outright ownership (fee simple), or a lesser interest such as development rights, an easement, or a long-term lease.

“Municipality” means a local public authority or public benefit corporation, a county, city, town, village, school district, community college, supervisory district, district corporation, improvement district within a county, city, town or village, or Indian nation or tribe recognized by the State or the United States with a reservation wholly or partly within the boundaries of New York State, or any combination thereof.

“Not-For-Profit Corporation” means an organization formed pursuant to the Not-For-Profit Corporation Law, having a charity registration number, and qualified for tax-exempt status under Section 501(c)(3) of the Federal Internal Revenue Code.

Projects already receiving funding from other State assistance programs for the same activities of the same project are **ineligible** for funding under this Program.

Are partnership and inter-municipal applications encouraged?

Yes, partnership projects are encouraged between municipalities and between municipalities and not-for-profit organizations. There can only be one designated “lead applicant” named on the grant application. The designated lead applicant must assume the responsibility for entering into a contract with DEC to receive grant funding, and the application must include letters of support from all the participating partners and/or municipalities stating they will participate in the project. The lead applicant will be required to submit a resolution from their governing body, must have a valid Federal Employee Identification Number (FEIN) in their name, and must have a current charity registration number in their name (NPF only). If a municipal jurisdiction (for example, a county) passes a resolution authorizing a department under its jurisdiction to apply for funding, that department can apply only if they have a FEIN in their name and have the authority to sign a contract to receive reimbursement of project-related expenditures.

What types of projects are eligible for funding?

The following types of eligible projects may be applied for in any combination on one application. Please note that *Quick Start Arbor Day* grants must be applied for separately. Projects already receiving funds from other New York State assistance programs for similar activities are **ineligible** for funding under this Program.

☐ Tree inventories and management plans:

DEC recommends an applicant conduct an inventory of existing trees and potential planting spaces and have a management plan, prior to implementing a planting project. Sample inventory information can be tabulated, graphed, mapped, and

evaluated to get a picture of the age, species, health, and geographic distribution of the urban forest. However, a complete (100%) inventory provides specific information for individualized tree care, including hazard tree identification. Communities are encouraged to collect data in a computerized software program that will allow for an environmental benefits analysis. A management plan for the forestry program of the community, should include inventory, staff, budget and scheduling information, which can then be developed to identify needs, set goals, and establish priorities to aid in decision making and guide future UC&F activities. Applications including inventories and/or management plans are encouraged to address environmental issues (including storm water treatment, water quality, air quality, urban heat island effects, structural heating/cooling, or brownfield) that are presently impacted by existing trees, or could be impacted with planting on strategic sites. Applications must also address the presumed affects on social and economic conditions by the presence of trees where they currently exist, and in the selection of future planting sites.

❑ **Tree and shrub planting and maintenance:**

Tree and shrub planting projects must be located on public property, and appropriate consideration should be given to under-served urban neighborhoods. Additional points will be given in the evaluation and scoring of an application if the project is located in an under-served neighborhood. Applications should address how the project will promote the quality of the urban forest in parks and/or open spaces; habitat creation; air and water quality; energy savings; increased property values; revitalization; public health; and/or improved quality of life for residents. Planting and maintenance project applications must include the following information:

- ✓ Is the project consistent with an existing U&CF management plan;
- ✓ Where is the project location (include photos);
- ✓ What is the number of trees to be planted;
- ✓ Provide a list of tree species;
- ✓ Provide the appropriate tree planting specifications for the project location(s);
- ✓ Will the selected project site(s) maximize summer shade to streets, parking lots, buildings and other infrastructure;
- ✓ *A plan for short and long-term maintenance and care to ensure tree survival;
- ✓ Does the project have community support.

(See Attachment 3 - Recommended Minimum Standards for NYS DEC Tree Planting Grants.) Some maintenance expenditures would be eligible for funding, like the simple devices that are available to help keep trees watered on a regular basis, or training in proper pruning techniques.

❑ **Green roofs and/or rain gardens:**

These type of projects must be located on public property and sites should be selected in under-served urban neighborhoods, and/or address environmental issues of urban heat island effect or stormwater management.

How much funding is available for grants?

The DEC anticipates approximately \$900,000 in funding will be available from the NYS EPF for U&CF grant projects. DEC will reserve \$20,000 from this available funding for “Quick Start Arbor Day” grants.

Is there a minimum and maximum grant amount you may apply for and is there a match requirement?

Yes, the minimum and maximum award amounts, and match requirements are as follows:

- Eligible applicants having projects within “**Large Cities**” with populations of 65,000 or more may request between \$5,000 and \$75,000 in state assistance funding, and will be required to provide a **50% match** on approved and eligible project costs.
- Eligible applicants having projects within “**Communities**” (small cities, towns, or villages) with populations less than 65,000 may request between \$2,500 and \$20,000 in state assistance funding, and will be required to provide a **50% match** on approved and eligible project costs.
- “**Quick Start Arbor Day**” grants are only available for small “Communities”. Eligible applicants who are interested in initiating a tree program may request up to \$1,000 for eligible activities. Quick Start Arbor Day grants **do not require any match**.

Please note that ***Federal or other State funding will not be considered as eligible match under this U&CF grant program.*** DEC reserves the right to determine the amount of State assistance available for each category of grant funding, and the right to award a portion of the requested grant amount to assure the best total selection of projects meeting DEC U&CF priorities, if it is in the best interest of the State to do so.

What types of costs are eligible/ineligible for reimbursement?

(Municipalities will be required to follow General Municipal Law procurement guidelines.)

Project costs that are eligible for reimbursement and/or the match requirement:

- Material costs: trees, shrubs, stakes, soil, fertilizer, wood chips, etc.
- Force Account and Paid Labor costs: documentation of time worked, tasks, pay ratio and payment (including fringe benefit rate - not to exceed the federal rate).
- Transportation costs: shipping/delivery costs.
- Equipment costs: site preparation, equipment purchase or rental, etc.
- Costs for hand tools or educational resources that enable Tree Board members and volunteers to do their work to enhance the spread of knowledge of community trees and the benefits they provide.

Project costs that are not eligible for grant reimbursement, but may be used towards the match requirement:

- Cash contributions from Local sources (federal and state funding are not eligible sources of match)
- Supplies and materials: the value of the trees and planting items warehoused (not yet installed) at current market prices.
- Donated labor: skilled and professional labor must be computed at the job rate within the recipients' county.
- Donated unskilled labor: work performed by professional or skilled labor in an area outside of their expertise must be computed at minimum wage. (For example, a lawyer donating legal services may compute the value based on their standard billing rate; but the same lawyer donating time painting walls may only bill at the minimum wage.)
- Donated equipment usage: compute the value according to its fair market rental value in project location.
- Professional services: site design, planning, etc.
- Pre-Development costs are not eligible for reimbursement, but may be used for grant match if incurred during the contract term. These include: design fees and other professional fees for the preparation of construction documents.
- Administrative costs may only be used as grant match and may not exceed 20% of the match requirement. These include the following:
 - Planting Supervision: may be provided by a qualified staff person or the design professional that prepared the planting documents.
 - Grant Administration: costs associated with preparing the project agreement (contract), affirmative action, M/WBE, and payment request documentation once the grant is awarded.
 - Advertising Costs: the cost of advertising in newspapers, including minority newspapers, or appropriate construction publications.

Project costs that are not eligible for either reimbursement or the match requirement:

- Costs of preparing the grant application.
- Costs incurred prior to the award (contract start date) of the grant.
- Overhead or indirect costs.

When can a grantee start work?

Work may begin once an official award letter is signed by the DEC Commissioner and a State assistance contract (which includes a project budget, performance time line, project narrative, Appendix A - Standard State Clauses and Appendix B - Standard DEC Clauses) is formally approved between the grantee and DEC; and if applicable, fully approved by the Attorney General (AG) and the State Comptroller (OSC). Contracts that exceed the amount of \$50,000 must be fully approved by the AG and OSC.

When will grant monies be made available to successful grantee(s)?

This is a reimbursement grant program and applicants must plan their financial arrangements accordingly. An applicant's availability of funds is a critical component of the application evaluation process. Reimbursement of project-related expenditures will be made only after the project or key performance milestones have been successfully completed in accordance to the project work plan and budget, and when costs have been fully documented (including the match requirement). Three partial reimbursement payment requests may be processed annually over the term of the contract, provided all contract conditions and/or requirements have been met. A final reimbursement payment will be processed once the project is completed and a DEC Forester completes an on-site inspection to confirm that all work was adequately completed.

Advance payments of up to 25 % of the grant award amount, not to exceed the eligible match in-hand, may be available to a NFP once a contract is formally approved and if applicable, fully approved by the AG and OSC. Pursuant to State Finance Law, municipalities are not eligible to receive advance payments.

How long do I have to complete the project?

The DEC anticipates proposed projects to be completed within a two-year State assistance contract term, beginning with the date the grant is officially awarded by DEC. Projects lasting longer than a two-year term will require approval by DEC and the grantee will be required to provide a written justification to DEC explaining why a longer contract term is needed. All U&CF projects must be completed within a five-year term.

Acknowledgment:

The Grantee must agree to give the NYS Department of Environmental Conservation appropriate credit for its support and shall note the following in all printed documents, video materials, and /or program advertisements resulting from this work. "This Project has been funded in part by a grant from the New York State Department of Environmental Conservation, Urban and Community Forestry Program through appropriations from the New York State Environmental Protection Fund (EPF)".

What are the scoring criteria for review and selection of these projects?

Content of Narrative:

The applicant must define the scope of the work being proposed, what the deliverables will be, and how the deliverables will be reported to DEC at the completion of the project. Any public outreach and/or education proposed in conjunction with the project must also be addressed. How will community residents be involved and/or informed about the project, and what will be the resulting educational value? What, if any, additional benefits can be measured or otherwise evidenced, as a result of this project? For example; is there a particular issue of energy use, heat island effect, air quality, water quality, stormwater management, noise, property values, Environmental Justice, sprawl, wildlife habitat, trail system connectivity, patient recovery, mental health, or other quality of life issues that could be addressed or alleviated?

The narrative description of the project must not exceed three pages and must address the following points:

- ✓ type of project
- ✓ location of project
- ✓ work proposed
- ✓ project schedule
- ✓ overall existing condition or situation of the site
- ✓ role of those involved with the project
- ✓ relationship of the project to any significant resources on the property and how those resources will be impacted
- ✓ current and anticipated financial resources of an organization
- ✓ Environmental Justice community

Content of Project Budget:

Applications must address the reasonableness of project-related costs given the scope of the work's level of effort, complexity and anticipated project benefits. The budget must total the required match amount plus the state assistance amount requested and/or required to complete the project. Cost proposals must be submitted using the Project Budget form included in this RFA.

A NFP designated as the "lead applicant" must demonstrate that it has the capacity to administer the project, has the necessary funds to complete the project, and must submit copies of financial statements and letters of reference with their application.

Projects already receiving funding from other State assistance programs for the same activities of the same project are **ineligible** for funding under this Program. **A project's reasonableness of costs is an evaluation factor in the scoring of your project.** The project budget must clearly distinguish expenses being claimed under the State grant share and the local match share.

Method of Award:

All applications received will be reviewed for eligibility as listed in the Evaluation of Proposals section of this RFA. All eligible applications will then be categorized by “Large cities”, “Community”, or “Arbor Day Quick Start” as must be indicated by the applicant on the application cover. Applications will then be evaluated and scored by DEC review team members. The reviewers’ scores will be averaged for each application to determine a final score. Final scores will then be ranked from highest to lowest within each of the categories.

Applications will be selected for funding within each grant category, beginning with the highest scored project and moving down the list until all available funding is exhausted, or no eligible applications remain; with the exception that in the small “Community” and “Quick Start Arbor Day” categories, the highest scored application from each one of the nine DEC Regions will be funded first (see Attachment 2 - Directory of Division of Lands & Forests Regional Offices). The remaining projects will be selected for funding beginning with the highest down to the lowest ranked projects, regardless of the DEC Regional geographic location.

Evaluation of Proposals: four-step evaluation and scoring process

Step I: Eligibility criteria: Applications must meet all of the below criteria to be eligible for further review.

- A. Applications must be received by DEC, or postmarked by 4:00 p.m., June 4, 2008.
- B. Is the applicant or “designated lead applicant” an eligible municipality or NFP? The applicant must provide **all** information, forms and documents required in the RFA instructions and on the application checklist.
- C. Did the eligible applicant or “designated lead applicant” provide a resolution or a letter of intent to submit one original resolution prior to contract execution.?
- D. Did the NFP designated as the “lead applicant” demonstrate that it has the capacity to administer the project and funds, and did they submit copies of financial statements and letters of reference?
- E. The proposed project(s) is/are eligible U&CF projects.

Step II: General criteria for all eligible applications: (total number of points is 90)

(Applicants are encouraged to refer to the following in formulating their proposals.)

1. The scope of work to be undertaken is defined. (0-5-10 pts.)
2. The methodology to be used to achieve the final product is described. (0-5-10 pts.)
3. The project is cost-effective. (0-15-30 pts.)
4. The budget is reasonable and itemized, accurately reflects allowable percentages for project costs, and identifies matching funds.(0-5-10 pts.)
5. The project will build partnerships. (0-5-10 pts.)
6. The project includes outreach and education (in topics promoting any aspect of U&CF). (0-5-10 pts.)
7. The project will promote long-term support of its goals and future benefits.(0-5-10 pts.)

Quick Start Arbor Day applications will not undergo any further review.

Step III: Additional criteria (excluding Quick Start Arbor Day applications): (total number of points is 40)

8. The applicant has guidance on the project from a natural resource professional. (0-10 pts)
9. Will the project complement, or help to implement, other federal, State, regional, or municipal plans or programs? (0-10 pts.)
10. Will the project provide social or economic benefits? (0-10 pts.)
11. Will the project provide environmental benefits? (0-10 pts.)

Step IV: Specific criteria regarding the quality of techniques and standards to be used in the project: (0 to a maximum of 15 pts., use the best score from A, B, C, or D).

12.
 - A. For inventories: Will the inventory be a computerized, complete (100%) inventory of both existing trees and potential planting sites?
 - B. For management plans: Will the management plan have a budget and schedule, and set goals?
 - C. For planting: Is the project consistent with an U&CF management plan? Will it be done according to the BMPs as in Attachment 3? Is there long-term support for care and maintenance?
 - D. For green roofs and/or raingardens: Are the design specifications/standards referenced? Is there long-term support for care and maintenance? Will there be a post implementation environmental benefits evaluation?

Are there other special requirements that need to be met?

Yes, the following applies to all applicants and projects.

Affirmative Action/Equal Employment Opportunity Requirements:

Article 15-A of the Executive Law pertains to Minority and Women-Owned Business Enterprises (MWBE) and Equal Employment Opportunity (EEO). State contracts in excess of \$25,000 must comply with the EEO goals identified in Attachment 1 of this document. Applicants selected to receive a grant will be required to document and certify their compliance with these regulations.

Environmental Justice:

Through this grant program, DEC demonstrates a commitment to Environmental Justice for communities which may be burdened by negative environmental consequences. Environmental Justice is defined by DEC as the fair treatment and meaningful involvement of all people regardless of race, color, national origin, or income, with respect to the development, implementation and enforcement of environmental laws, regulations and policies. All applicants are encouraged to develop and implement community-based management plans or projects, which engage the community or neighborhood within a municipality in conducting inventories, assessments, development of management plans, and carrying out urban forestry practices. This grant initiative will give additional consideration to those projects which satisfy evaluation criteria and benefit communities or neighborhoods which remain challenged by past social and environmental practices. This consideration will seek to remedy communities, including minority and low-income communities, burdened by negative environmental consequences and will also ensure the equitable distribution of environmental benefits to all New York State communities.

Permits:

Depending on the project scope, some tree planting projects may require permits from agencies such as the NYS DEC or the US Army Corps of Engineers (COE). All applications should address whether permits are required, and if they are, the status of the permit application. It is recommended that you consult with the Governor's Office of Regulatory Reform (GORR) Permit Assistance Hotline at 1-800-342-3464, or DEC and/or the COE directly, to determine if any permits are needed, especially if your project is located in or adjacent to a water body, (e.g., stream, lake, wetland, canal). Other permit considerations could include: historic review requirements for projects that involve properties listed on, or eligible for, the State/National Register, all work undertaken as part of a grant-assisted project must conform to the Secretary of the Interior's Standards and Guidelines for Archaeology and Historic Preservation; projects located in coastal or river front communities must meet coastal consistency requirements for the NYS Secretary of State's Coastal Management Program.

Documentation of Ownership and Public Interest in Property:

Not-For-Profit Corporations who submit grant applications must be able to document adequate ownership rights in and to the subject property, and that the ownership or use of the subject property is of a public nature. A duly licensed attorney is to provide an opinion of counsel certifying that the applicant has title or other property right or license in and to the property, that such right allows use of a public nature, and the right to undertake the project.

Municipal Endorsement:

A municipal endorsement and authorization to conduct the project on municipal property is required and must be submitted with the grant application by non-municipal applicants for projects that will be located on municipal property (Sample endorsement attached).

Signed Original Authorizing Resolution:

A resolution in a format similar to that listed in the Sample Resolution section of this RFA, must accompany the application, or the applicant must commit by providing a letter of intent to submit one prior to contract execution.

Additional Required Information/Attachments:

- ✓ Highlighted excerpts in local planning documents or the municipal urban forestry management plan, that support the project narrative.

- ✓ Applications for tree planting projects must include photos showing the project area in enough detail to clearly document the existing conditions of the site, keyed to plans and project schedule. It is not necessary to include photos of every planting site, however, photos should clearly represent the project and verify the proposed project benefits.

- ✓ Applications for tree planting projects must also include detailed planting specifications including, tree species to be planted and the type of planting site. Applications must include future plans for maintenance and care of the project trees.

What grant preparation assistance is available?

For general information on completing this application and for clarification of application requirements, contractual terms and procedures, contact:

Karen Engel, Program Manager
Urban and Community Forestry
Division of Lands and Forests
New York State Department of Environmental Conservation
625 Broadway, 5th Floor
Albany, New York 12233-4253
Tel.: (518) 402-9425
E-mail: kmengel@gw.dec.state.ny.us

For general information related to the process by which an applicant can apply for an U&CF grant, contact the DEC staff member listed below. Additional information regarding this grant application material and frequently asked questions and answers will be posted on DEC's web site as they occur, at: www.dec.ny.gov until April 23, 2008.

Technical questions concerning tree planting specifications, tree maintenance and care procedures, and appropriate species for planting locations should be directed to the Urban Forester in your DEC Regional Office. A list of Regional Foresters is attached to this RFA (see Attachment 2). Grant applicants are strongly advised to seek this advice prior to submitting applications.

How do I apply?

Applications must be postmarked or delivered by 4:00 p.m. on June 4, 2008. ***No facsimiles or email submissions will be accepted.*** All application materials should be typed on white 8.5" x 11" paper. One original and four copies of the application must be submitted to:

Karen Engel, Program Manager
Urban and Community Forestry
Division of Lands and Forests
New York State Department of Environmental Conservation
625 Broadway, 5th Floor
Albany, New York 12233-4253

2007 Urban and Community Forestry Grants Program Application Instructions and Checklist

General Project Information:

Applicant:

All applicants must include their Federal Employer ID number. Not-for-Profit Corporations must include their New York State Charities Registration number along with their Federal Employer ID number.

Project:

If the project is for a property listed on the State/National Historic Register, use the full, official name of the property as it is listed (the unofficial or popular name may be shown in parentheses). List the historic designation, if applicable.

Authorized Official:

This is the person who should receive official notification about decisions regarding this application, and who is authorized in a resolution to sign all contract forms and documents.

Project Contact:

This is the person who should be contacted for additional information or questions about this project.

Project Narrative:

The narrative description is to be **no longer than three pages**. The narrative will be composed of 3 parts, as follows.

Part I. Summary: Provide a three sentence summary of the project at the beginning of the project narrative.

Part II. Scope of proposed work: 1-2 pages. It is essential to explain **in detail** what your project is, how and what will be accomplished, what funds shown on the budget will be used for and how the project meets each of the rating criteria for the appropriate project type. Projects that fail to address the criteria identified on Pages 9 and 10 of this RFA will not score well.

If your project is located in, or benefits, an Environmental Justice community, include the following information to receive additional points in your numerical score. In order to claim EJ credit, the applicant must provide the following:

1) the exact street location where the project is to be implemented (no PO Box)

2) a brief (few sentences) description of how the project will benefit minority or low-income populations that experience disproportionate adverse environmental impacts such as pollution from multiple industrial facilities, sub-standard water quality, concentrated diesel emissions from bus depots or other heavy vehicle traffic, adverse health effects related to environmental impacts (high asthma), lack of access to green benefits such as open space, environmental education or parks, or other such impacts.

Part III. Project Schedule: Provide a detailed schedule for the project. Estimate when each component of the project will begin, be completed, and the associated costs for each component listed. In general, the DEC anticipates projects to be completed within two years of the grant award.

Project Budget:

Provide a detailed budget for the project indicating the component, the number of units to be completed and the estimated costs associated with each component. Identify all project-related costs and identify the funding source(s) of your match. Eligible project types and their components are identified on pages 4 and 5 of this RFA. See pages 6 and 7 of this RFA for lists of eligible and ineligible costs. You must use the sample Budget Summary Form and attach extra pages if necessary.

Sample Resolution:

A resolution in the general format provided below must be passed at an official meeting of the governing body of the applicant and an original copy provided with this application. The resolution must be typed on the applicant’s stationery, should have an original signature, and should hold the official seal (if available). The name of the applicant must be stated as it is recorded in the incorporation documents. Use the appropriate phrase in bold or brackets, depending on whether the applicant is a not-for-profit corporation, or municipality, respectively.

Authorizing Resolution:

I, Name, Title (Secretary, Notary) of the Village or City or Organization of Place, New York, do hereby certify that the following resolution was adopted at a Regular or Special meeting of the Governing body or Village Board or Board of Directors held on (Date), and is (incorporated in the original minutes of said meeting) or (on file and of record), and that said resolution has not been altered, amended or revoked and is in full force and effect.

RESOLVED:

That Name, as Title of Village or City or Organization (Applicant), *or such person's successor*, is hereby authorized and directed to file an application for (50% matching funds) or (an Urban and Community Quick Start Grant) in an amount not to exceed \$ Grant Amount, and upon approval of said request to enter into and execute a project agreement with the New York State Department of Environmental Conservation for such financial assistance to (City or Town or Organization Name) for (grant project name).

(Signature of Secretary)

OR

(Signature of Clerk)

Seal of Organization (if available)

Seal of Municipality

Sample Municipal Endorsement:

For non-municipal projects located on municipal property.
(Acceptable municipal endorsement for use when applicant is not a municipality.)

Resolution No. _____

WHEREAS, the **(applicant name)** is applying to the New York State Department of Environmental Conservation for a project grant under the Urban and Community Forestry Program to be located **(insert location)**, a site located within the territorial jurisdiction of this **(Board, Council or Legislature)**; and

WHEREAS, as a requirement of these programs, said **(type of applicant)** must obtain the “approval/endorsement of the governing body of the municipality in which the project will be located”,

NOW, THEREFORE, be it resolved that the **(Board, Council or Legislature)** of **(municipality)** hereby does approve and endorse the application of **(applicant name)** for a grant under the 2007 Urban and Community Forest Program for a project known as **(project title)** and located within this community.

DATE OF ADOPTION

CERTIFICATION OF CLERK

Application for 2007 Urban and Community Forestry Grant

Applications must be postmarked or delivered by 4:00 p.m. on June 4, 2008.

No facsimiles or email submissions will be accepted.

Please select from one of the following funding categories:

_____ "Large cities" with populations of 65,000 or more

_____ "Communities" with populations under 65,000

Please indicate what type(s) of projects are proposed to be accomplished:

_____ Inventory _____ Management plan _____ Planting _____ Green roof/raingarden

OR

_____ Quick Start Arbor Day grant (only available to "Communities")

Name of Applicant: (Municipality/NFP Organization/Designated Lead):

Applicant Name: _____

Mailing Address: _____

County: _____

Project Name: _____

Project Site Address: _____

(include zip code) _____

Project Contact: _____

Phone: _____ **Fax:** _____ **E-mail:** _____

Federal ID#: _____ **Charities Registration#:** _____

State/National Historic Register: _____

Local Historic Designation: _____

Ownership Information: Deed Liber: _____ **Page:** _____

Owner(s): _____

Applicant's interest in property, if not fee-simple ownership (e.g. lease, easement):

Name(s) of Partnerships:

AUTHORIZED OFFICIAL:

Name: _____

Title: _____

Telephone #: _____

Fax #: _____

E-Mail Address: _____

Business Address: _____

Grant Amount Requested: \$ _____

Amount of Match: \$ _____

Total Project Costs: \$ _____

Project Narrative

Project Type: Select appropriate project type

____ Tree inventories and/or management plans

____ Tree and shrub planting, and maintenance

____ Green roofs and/or raingardens

OR

____ Quick Start Arbor Day Grant

Part I. Summary: Provide a three sentence summary of the project:

Part II. Scope of Proposed Work (not to exceed 3 pages):

Part III. Project Schedule (anticipated time line):

Project Budget

Project Name:

Pre-development/Planning:

(Pre-development costs will not be reimbursed, but may be eligible for match if incurred after the grant award date.)

Subtotal: \$ _____

Implementation:

(Include the number of trees & species, if planting project.)

Subtotal: \$ _____

Administration:

(Administrative costs will not be reimbursed, but can be eligible for up to 20% of the required project match.)

Subtotal: \$ _____

Grant Amount: (50%) \$ _____

Match Amount: (50%) \$ _____

Total Project Cost: \$ _____

Identification of Sources of Matching Funds: *(Federal or State funds will not be considered as an eligible match source.)*

Application Checklist

- _____ Mailed (postmarked or delivered) by 4:00 p.m. on June 4, 2008.
- _____ Appropriate grant amount requested (Only the following 8 cities, with populations over 65,000, qualify for the larger funding amount: Buffalo, Rochester, Syracuse, Albany, New Rochelle, Yonkers, Mount Vernon, and New York City.)
- _____ No federal or state funds used for match.
- _____ Match amount is at least as much as grant amount, and is 50% of total project cost (Does not apply to Quick Start Arbor Day grants - no match requirement)
- _____ All appropriate information is filled-in on Application form.
- _____ Project Budget is complete, accurate and itemized.
- _____ Used 8.5 x 11 inch paper.
- _____ 1 original and 4 copies (totaling 5 copies) of the proposal sent.
- _____ Photographs of project sites (if applicable)
- _____ Management plan highlights (if applicable)
- _____ Planting specifications (if applicable)
- _____ Tree maintenance plan (if applicable)
- _____ Documentation of Ownership and Public Interest in Property
- _____ Municipal endorsement (if non-municipal applicant)
- _____ Letter(s) of support/commitment to document partnerships with not-for-profit organizations and community support, if applicable.
- _____ Organization Authorizing Resolution, or a letter of intent that one will be provided prior to contract execution
- _____ Grant narrative is completed and no longer than 3 pages.
- _____ Permits (list applicable permits, if any)

Attachment 1

Minority and Women-Owned Business Enterprises (M/WBE) / Equal Employment Opportunity (EEO)

Pursuant to Article 15-A of the Executive Law, and any applicable regulations promulgated thereunder, applicants for state assistance programs must implement a comprehensive Minority and Women-Owned Business Enterprises-Equal Employment Opportunity (M/WBE-EEO) program when the requested assistance amount equals or exceeds \$25,000 for equipment, services and supplies; or if the requested assistance amount equals or exceeds \$100,000 for the acquisition, construction, major repair or renovation of real property.

Additionally, applicants will ensure to the fullest extent possible that the Affirmative Action and EEO requirements of Title VI of the Civil Rights Act of 1964 and any applicable federal rules and regulations are applied to federal funds for prime contracts or subcontracts for construction, equipment, supplies and services. The M/WBE-EEO goals are required to be placed on the entire project cost, not only on the State/Federal assistance being provided. All contracts that are funded with Federal monies are required to have M/WBE-EEO goals regardless of the expected value.

A list of Certified M/WBE enterprises can be obtained via the internet from the NYS Department of Economic Development at <http://205.232.252.35/>.

The following M/WBE-EEO “Fair Share” goals have been established as follows:

Urban and Community Forestry Grant Program applicants will be required to make Good Faith Efforts to subcontract a portion of the eligible costs of their project to a M/WBE - EEO.

Participation goals are as follows:

<u>Location/Commodity Group</u>	<u>MBE Goals</u>	<u>WBE Goals</u>
New York City (DEC Regions 1 and 2)		
Construction	21.5%	13.7%
Commodities	18.8%	20.5%
Services/Technologies	18.8%	20.5%
Upstate Region (DEC Regions 3 - 9)		
Construction	6%	6%
Commodities	8.8%	8.8%
Services/Technologies	8.8%	8.8%

Equal Employment Opportunity (EEO) Participation Goals:

EEO Minority Workforce - DEC Regions 1 - 9 10%
EEO Female Workforce - DEC Regions 1 - 9 10%

Attachment 2

Directory of Division of Lands and Forests Regional Offices

Region 1 - Suffolk and Nassau counties

SUNY@Stony Brook, 50 Circle Road, Building 40, Stony Brook, NY 11790-2356
(631) 444-0285

Region 2 - Manhattan, Bronx, Queens, Brooklyn and Staten Island

1 Hunters Point Plaza, 47-40 21st Street, Long Island City, NY 11101-5407
(718) 482-4942

Region 3 - Sullivan, Ulster, Orange, Dutchess, Putnam, Rockland and Westchester counties

Regional Office - 21 South Putt Corners Road, New Paltz, NY 12561-1696
(845) 256-3076

Sub-Office - Stony Kill Environmental Education Center, 79 Farmstead Lane, Wappingers Falls, NY 12590 (845) 831-8780

Region 4 - Montgomery, Otsego, Delaware, Schoharie, Schenectady, Albany, Greene, Rensselaer and Columbia counties

Regional Office - 1130 N. Westcott Road, Schenectady, NY 12306-2014
(518) 357-2066

Sub-Office - 65561 State Highway 10, Suite1, Stamford, NY 12167-9503
(607) 652-7365

Region 5 - Franklin, Clinton, Essex, Hamilton, Warren, Fulton, Saratoga and Washington counties

Regional Office - 1115 NYS Route 86, Ray Brook, NY 12977-0296
(518) 897-1276

Sub-Office - 232 Upper Hudson Street, P.O. Box 220, Warrensburg, NY 12885-0220
(518) 623-1265

Sub-Office - 701 South Main Street, P.O. Box 1316, Northville, NY 12134-1316
(518) 863-4545

Region 6 - Jefferson, St. Lawrence, Lewis, Oneida and Herkimer counties

Regional Office - 317 Washington Street, Watertown, NY 13601-3787
(315) 785-2263

Sub-Office - 6739 US Route 11, Potsdam, NY 13676
(315) 265-3090

Sub-Office - 7327 NYS Route 812, Lowville, NY 13367
(315) 376-3521

Sub-Office - 225 North Main Street, P.O. Box 89, Herkimer, NY 13350-0089
(315) 866-6330

Region 7 - Oswego, Cayuga, Onondaga, Madison, Tompkins, Cortland, Chenango, Tioga and Broome counties

Sub-Office - 1285 Fisher Avenue, Cortland, NY 13045-1090
(607) 753-3095

Sub-Office - 2715 NYS Route 80 Sherburne, NY 13460-0594
(607) 674-4036

Sub-Office - 1679 NYS Route 11, Kirkwood, NY 13795-9772
(607) 775-2545

Region 8 - Orleans, Monroe, Wayne, Genesee, Livingston, Ontario, Yates, Seneca, Steuben, Schuyler and Chemung counties

Sub-Office - 7291 Coon Road, Bath, NY 14810-9728
(607) 776-2165

Sub-Office - 6274 East Avon-Lima Road, Avon, NY 14414-9519
(585) 226-2466

Region 9 - Niagara, Erie, Wyoming, Chautauqua, Cattaraugus and Allegany counties

Regional Office - 182 East Union Street, Allegany, NY 14706-1328
(716) 372-0645

Sub-Office - 215 South Work Street, Falconer, NY 14733-1497
(716) 665-6111

Sub-Office - 5425 County Route 48, Belmont, NY 14813-9758
(585) 268-5392

Sub-Office - 270 Michigan Ave, Buffalo, NY 14203-2999
(716) 851-7010

Attachment 3

Recommended Minimum Standards* for NYS DEC Tree Planting Grants

The following are minimum standards that may be used for tree planting grant projects. Where local ordinances and guidelines require more stringent standards, use the more stringent standards. All tree planting work should be supervised by a qualified professional.

Planning:

A detailed tree planting and ten year maintenance plan must be developed with input from local agencies to avoid conflicts. Where underground or above ground utilities are present, the local utility must be contacted.

Tree Species Selection:

1. Species will be selected to fit the planting site, taking into consideration soils, rooting space, overhead space, adjacent utilities and buildings, drainage, and other site conditions.
2. All species need to be appropriate for the hardiness zone in which they are located.
3. All trees used will be true to name. Size and grading standards will conform to the American Standard for Nursery Stock as established by the American Nurserymen's Association (www.anla.org).

Site Selection:

1. No tree with a mature trunk diameter greater than 12 inches will be planted in a tree lawn less than 3 ft. wide.
2. Trees will not be planted within 30 feet of an intersection or 15 feet of driveways and alleys.
3. Trees will not be planted within 10 ft. of utility poles or hydrants.
4. Trees should be spaced an appropriate distance apart. For street trees; Large trees (mature height greater than 60 ft.) minimum of 45 ft. apart. Medium trees (mature height between 60 ft. and 30 ft.) minimum of 35 ft. apart. Small trees (mature height less than 30 ft.) minimum of 25 feet apart.
5. Only trees with mature heights less than 30 feet should be planted under or near power lines.

Planting Standards:

1. Holes dug for planting of trees will be a minimum of 12 inches larger than the diameter of the root system or root ball. Preferably the hole should be at least twice the size of the root ball.
2. Trees will be planted no deeper than previously grown with allowance for settling. The root flair should be at or slightly above ground level.
3. Strings and twine will be removed from trunk of tree. Burlap and wire baskets will be removed or rolled down into hole.

4. Backfill with existing soil when suitable. Avoid using excessive amounts of organic matter.
5. When sensitive species are exposed to direct sun, wrap lower trunk with a tree wrap. Remove wrap after first growing season.
6. Bark mulch will be applied around the tree, 3 to 4 inches deep, in a circle which extends beyond the planting hole. Mulch should not touch trunk above root flair.
7. Only dead, damaged or poorly located branches will be removed using proper pruning techniques.
8. All bare root trees (and balled and burlapped trees in exposed, windy areas) will be staked or guyed to keep them upright. Use commonly accepted staking techniques. Stakes will be removed within the first year.
9. Newly planted trees will be watered with at least 2 inches of water at the time of planting.
10. In caring for and handling trees prior to planting, all precautions customary in good trade practice will be taken.
11. A minimum one year warranty is recommended.

Ten Year Tree Maintenance:

A detailed, written tree maintenance plan must be developed.

1. Grantees will need to inspect the trees every six months to evaluate general health and disease and insect problems.
2. Grantees will need to treat disease and insect problems as needed to maintain good tree health.
3. Grantees will need to water during the growing season as needed. Supplement rainfall so that the tree averages a minimum of 2 inches of water every 2 weeks during the growing season (May-September)
4. Grantees will be prune the trees as needed to remove dead, damaged or poorly located limbs using accepted practices of the industry.
5. Grantees will remove planting stakes and guy wires within the first year.

* Modified from original received from J. Parry, USFS

Other sources of Tree Planting Specifications and information:

<http://www.hort.cornell.edu/uhi>