



Department of
Environmental
Conservation

REQUEST FOR APPLICATIONS

2019 Urban and Community Forestry Grants Program

(Round 15)

Application Deadline: 2:00pm, Wednesday, December 4, 2019

NYS Grants Gateway Opportunity IDs

- UCF1-2019: Tree Inventory, Community Forest Management Plan
- UCF2-2019: Tree Planting & Tree Maintenance
- UCF3-2019: Education Programming

Available NYS Grants Gateway Training Webinar Information:

Topic: NYS DEC Urban Forestry 2019 Application Webinar

Date: Thursday, October 10, 2019

Time: 10:00 AM, estimated 2 hours

Meeting Number: 647 120 320 Meeting Password: GG2019

To join the online meeting (Now from mobile devices!)

1. Go to <https://meetny.webex.com/meetny/j.php?MTID=m8d1ccab3b29d4eb2c682090ae3447513>
2. If requested, enter your name and email address.
3. If a password is required, enter the meeting password:
4. Click "Join".
5. After you join the webinar, you will see a button to join the audio conference from your phone.

NOTE: The phone conference may be muted when you join, and you may not hear any sounds until the presenter begins at 10:00am.
For assistance: please contact the Grants Gateway help desk at grantsgateway@its.ny.gov or 518-474-5595

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I. Introduction

Welcome to Round 15 of the Urban & Community Forestry Grants Program!

The New York State Department of Environmental Conservation (DEC) is pleased to announce available Environmental Protection Fund (EPF) funding for qualifying government entities and not-for-profit (NFP) organizations. Grant projects must implement successful tree inventory, community forest management planning, tree planting, tree maintenance, or educational programming projects in New York State.

DEC is committed to implementing a successful Urban and Community Forestry (UCF) Program and is dedicated to providing support and assistance to communities in the development of comprehensive projects to create healthy urban and community forests while enhancing the quality of life for urban residents. This is a reimbursement grant program for communities, based on partnerships, volunteers, community groups and professionals.

1. Timetable of Key Events

<u>Event</u>	<u>Date</u>
Grants Gateway Training Webinar and Program Informational Session (details on front page)	Thursday, October 10, 2019
Application Period Begins	Thursday, October 3, 2019
Question & Answer Period Ends	Thursday, October 31, 2019
Applications Deadline	Wednesday, December 4, 2019
Award(s) Announced by (anticipated)	May 2020

2. Inquiries and Designated Contact Information

Instructions on how to submit an application in the NYS Grants Gateway [are available online](https://grantsmanagement.ny.gov/system/files/documents/2019/03/grantsgatewayvendorusermanual03-13-2019.pdf).
(<https://grantsmanagement.ny.gov/system/files/documents/2019/03/grantsgatewayvendorusermanual03-13-2019.pdf>)

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

**Gloria VanDuyne, Program Coordinator, Urban Forestry,
DEC Albany Contact Information: Gloria.VanDuyne@dec.ny.gov**

Include **“Urban Forestry Grants Round 15”** in the subject line of the email. Questions regarding this grant opportunity will be accepted by the Department until C.O.B. **Thursday, October 31, 2020**. All questions, and answers, will be uploaded in the Grants Gateway application area for all applicants to view.

For information about pre-qualification, registration and additional assistance with Grants Gateway, contact:
Grants Reform Team: Phone: (518) 474-5595, Email: GrantsReform@its.ny.gov

3. Application Submission

Applications must be submitted through the [NYS Grants Gateway](https://grantsgateway.ny.gov) (<https://grantsgateway.ny.gov>). Paper applications will NOT be accepted. Applicants are strongly encouraged to submit their applications well in advance of the application deadline. Late applications will not be accepted. Applicants will be unable to click “submit” or make changes to the application after the deadline has passed. Applicants are encouraged to finish the online application at least one-week prior to the deadline, allowing time to double check that all mandatory requirements have been completed and to correct any technical errors.

A note on grantee roles: Those logged in as Grantee may work on the application only. Those logged in as a **Grantee Contract Signatory or a Grantee System Administrator can submit the application to the State.** The Grantee role is designed for a grant writer, municipal or NFP staff or another third party, and allows a ‘sign off’ by the responsible person, elected official or municipal officer having the Grantee Contract Signatory or Grantee System Administrator roles. When the application is ready for submission, click the Status Changes tab, then click the “Apply Status” button under “Application Submitted.”

All applicants must be registered with Grants Gateway to submit an application. In addition to registration, not-for-profits must also be prequalified at the time and date that the application is due. If you are not prequalified at that time and date, your application will not be considered. For more information about Grants Gateway and prequalification, please [visit Grants Gateway online](https://grantsgateway.ny.gov) (<https://grantsgateway.ny.gov>) or contact Grants Management at: grantsgateway@its.ny.gov. The Grants Management help desk/hotline can be reached at (518) 474-5595.

Please do not delay in beginning and completing the prequalification process. The state reserves 5 business days to review submitted prequalification applications. Applicants should not assume that their prequalification will be reviewed if they do not adhere to this timeframe.

II. Applicant Eligibility

For the purposes of this grant program, the following entities are considered eligible applicants:

1. New York State government entities, municipalities, and quasi-governmental entities including, but not limited to, counties, cities, towns, villages, 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, public benefit corporations, public authorities, municipal corporations, soil and water conservation districts, school districts, and community colleges.
2. 501(c)(3) not-for-profit corporations whose projects are located within the eligible geographic boundaries defined in this Request for Applications (RFA).

Individuals and unincorporated groups may not apply, but an eligible not-for-profit organization, known as a fiscal sponsor, may apply on behalf of an individual or unincorporated group.

1. Not-For-Profit Eligibility

An eligible applicant must be a not-for-profit corporation (NFP) community-based organization, or a community-based organization may partner with an NFP that will serve as their fiscal sponsor. Please [read the full details from Grants Gateway](https://grantsmanagement.ny.gov/system/files/documents/2019/03/grantsgatewayvendorusermanual03-13-2019.pdf). (<https://grantsmanagement.ny.gov/system/files/documents/2019/03/grantsgatewayvendorusermanual03-13-2019.pdf>)

Applicants must possess the knowledge, skills, and /or track record to successfully implement the project.

2. Partnerships

Partnership projects are encouraged. If a proposed project involves a cooperative agreement or unpaid partners, only one eligible, designated lead applicant can submit the application for grant funding. The lead applicant must assume the responsibility for the project application, performance of work consistent with this RFA, and the State of New York Master Contract for Grants. Letters substantiating the collaboration from each unpaid partner are required. These letters are to be uploaded to the Grants Gateway in a single PDF under the appropriate Program Question for the application.

3. Sexual Harassment Prevention Certification

State Finance Law §139-l requires all applicants of grant funding to certify that they have a written policy addressing sexual harassment prevention in the workplace and provide annual sexual harassment training (that meets the Department of Labor's model policy and training standards) to all its employees. Where applying for grant funding is required pursuant to statute, rule or regulation, every application submitted to the state or any public department or agency of the state must contain the following statement: "By submission of this application, each applicant and each person signing on behalf of the applicant certifies, and in the case of a partnering application each party thereto certifies as to its own organization, under penalty of perjury, that the applicant has and has implemented a written policy addressing sexual harassment prevention in the workplace and provides annual sexual harassment prevention training to all of its employees. Such policy shall, at a minimum, meet the requirements of section two hundred one-g of the labor law." Applications that do not contain the certification will not be considered for award; provided however, that if the applicant cannot make the certification, the applicant may provide a signed statement with their application detailing the reasons why the certification cannot be made. Applicants are required to sign and upload the Sexual Harassment Prevention Certification form or upload a signed statement with their application detailing the reasons why the certification cannot be made into the pre-submission uploads folder.

III. Applicant Prequalification – Not-For-Profits

New York State has instituted key reform initiatives to the grant contract process which require not-for-profits to register in the Grants Gateway and complete the Vendor Prequalification process in order for applications to be evaluated. Information on these initiatives can be [found on the Grants Management Website](https://grantsmanagement.ny.gov/grantee-documents) (<https://grantsmanagement.ny.gov/grantee-documents>).

All applicants must be Prequalified in the Grants Gateway at the time and date that the application is due. Applications received from not-for-profit Applicants that have not registered and are not Prequalified in the Grants Gateway by the application due date and time listed at the beginning of this document cannot be evaluated. If you are not Prequalified at that time and date, your application will not be considered. Such applications will be disqualified from further consideration.

The Grants Management website details the requirements and an online tutorial is available to further explain the process. Follow the instructions under the "Get Started" menu to register your organization and get pre-qualified. **Contact the Grants Reform Team for additional assistance: Phone: (518) 474-5595 or by Email: GrantsReform@its.ny.gov**

Once you are Prequalified, please check the status of your document vault on a regular basis to ensure that none of your documents expire prior to the application due date. **Expired documents will lead to the loss of Prequalification status.**

IV. Grant Opportunity General Information and Conditions

Grant projects must implement successful tree inventory, community forest management planning, tree planting, tree maintenance, or education programming projects in New York State to create healthy urban and community forests, while enhancing the quality of life for urban residents. Projects must be implemented on non-state-owned properties in a location where they provide a public benefit.

1. Funding

Up to \$1,240,000 is available for Urban and Community Forestry Grants Program (Round 15). Should newly-appropriated funding become available, the Department may make additional awards to fund applications received in this grant round. Funding for this grant opportunity is provided from New York State Environmental Protection Fund.

2. Proposed Project Timeframes

All projects must have defined objectives, tasks, and deliverables accounted for in performance measures that can be completed and invoiced within a two-year contract term. Applicants should not begin their projects or incur costs until a Master Contract for Grants (MCG) has been fully approved by DEC, and if applicable approved by the Attorney General and the State Comptroller.

Prior to the MCG completion, awardees will be asked to submit insurance certificates appropriate for the project, including Workers Compensation and Disability (or exemptions), plus Liability with endorsements for tree maintenance and planting.

Awardees must submit quarterly progress reports and may seek partial expense reimbursement for work already completed.

The possibility of a one year, no cost time extension (NCTE) beyond the MCG contract term end date will be determined by the Department based upon written justification from the Grantee. Applicants should not apply if they do not anticipate their project can be completed within the specified contract term.

The activity for the request must fall within the contract term which is projected to begin on May 1, 2020 and end on April 30, 2022. Project expenditures prior to MCG start date and after the MCG end date are not eligible for reimbursement or match.

3. Minimum and Maximum Award Amounts

Applicants are encouraged to request the amount of funding they deem appropriate and reasonable for their project.

- **“Large Community Grants”**: Applicants may request a minimum grant amount of \$11,000, up to a maximum amount of \$75,000.
- **“Small Community Grants”**: Applicants may request a minimum grant amount of \$11,000, up to a maximum amount of \$50,000.

Refer to Appendix 1 of this RFA to see if the project will be completed in a Large Community.

4. Application Limit

Applicants may submit up to two applications. Multiple applications may not be for the same project or project location.

If an applicant has a project in UCF Round 14, only one (1) application may be submitted for Round 15. If more than one application is submitted by a Round 14 awardee, the Department will only review the first application submitted.

5. Eligible Project Locations

Projects must be implemented on non-state-owned properties (municipal public property, i.e. street and park trees), privately owned parkland and open to the public (e.g. cemeteries) or alongside a state-owned roadway in a city, town, or village in a location where they provide a public benefit. Projects may be implemented further from a public roadway if within 10 feet either side of a paved or maintained multiple use trail. These guidelines apply to most grant opportunities; tree inventory, management plans, tree maintenance and tree planting. Applicants are required to upload a map of the project area in Grants Gateway. No hand-drawn maps will be accepted.

Any work conducted by a municipality on private property, other than parklands providing public access, must be no more than ten feet beyond the municipal right-of-way. Beyond the municipal right-of-way refers to privately-owned lands that are adjacent to public lands. State law authorizes the use of public resources on private property if a public benefit is primarily served by that expenditure. Work may occur on property beyond the right-of-way to benefit the general public even though private parties would receive an incidental benefit. The local municipality must enact a local law authorizing work beyond the right-of-way. Such laws typically identify specific types of work that can be conducted beyond the right-of-way and establish ground rules to govern such work.

6. Match Requirement and Expenditures

Match is the portion of project expenditures not paid for with grant funds. Match funds are not required for Tree Inventory and Community Forestry Management Plan projects.

Applicants must match twenty-five percent (25%) of the requested amount of grant funding. For example, a \$50,000 grant would require \$12,500 in match for a total project cost of \$62,500; with \$50,000 funded by grant. Eligible sources of match funds cannot come from other NYS or federal funding sources. Applicants will be required to provide the sources of all matching funds using the Match Worksheet in the Grants Gateway.

Match can be from local and/or in-kind contributions. Local sources can include funding from other non-state and/or non-federal grant sources or from project partners. In-kind contributions are non-cash donations provided by non-state and/or non-federal third parties which can include equipment, supplies, services, and other expendable property. Matching share contributions must support the objectives outlined in the work plan.

Match in excess of 25% may be added for the applicant's own budget planning but it does not need to be accounted for or reported on for reimbursement. Applicants will be required to provide the sources of all matching funds using the Match Worksheet in the Grants Gateway.

7. Debriefing Request

In accordance with section 163 of the State Finance Law, the Department must, upon request, provide a debriefing to any unsuccessful offeror that responded to the RFA, regarding the reasons that the proposal or

bid submitted by the unsuccessful offeror was not selected for an award. An unsuccessful offeror wanting a debriefing must request a debriefing in writing, within fifteen calendar days of receipt of the notice that their proposal did not result in an award to Gloria VanDuyne, Program Coordinator, Urban Forestry, DEC Albany: Gloria.VanDuyne@dec.ny.gov.

8. Department of Environmental Conservation Oversight

The Department of Environmental Conservation reserves the right to:

- Award additional and available funding for scored and ranked projects consistent with these grant opportunities.
- Make an award, in whole or in part, in accordance with the method of award, or withdraw the RFA at any time at the DEC's sole discretion.
- Award a portion of a grant request based on the proposed work plan included in the application and ineligible project-related costs.
- Award the next highest scoring application in the event a grantee fails to negotiate a grant contract with the DEC within 60 - 90 days of a grant award.
- Monitor the progress of all grant awards and withdraw grant funding if the grantee fails to make significant and timely progress on the project or fails to receive the necessary permissions and permits for the project.
- Disqualify any applicant whose conduct and/or proposal fails to conform to the requirements of the RFA.
- Seek clarification from an applicant to effectively evaluate a project proposal.
- Reject any or all applications in response to the RFA at the DEC's sole discretion.
- Withhold funding from projects that do not receive a minimum score of 75 percent of the total points.
- Disqualify any applicant who has demonstrated poor past conduct and performance with DEC, including but not limited to incomplete Urban Forestry Grants, lack of quarterly progress reports, multiple contract extensions, or failure to implement all promised deliverables.

V. Scoring Criteria

Knowledge of the scoring criteria is valuable for designing and proposing a relevant and quality project. The Department's use of the following scoring criteria to select grant awards is described in Section X Application Evaluation and Method of Award.

The grant application includes an opportunity to directly address the following scoring criteria. A unique "program specific question" corresponds with each of the criteria. A list of instructions and further information related to each of these questions is in Section VIII Grant Application Components and Requirements/Project Specific Questions.

1. List of Scoring Criteria – Evaluated by Reviewer

Project Location, Description, and Map

Did applicant adequately describe the location of the project site(s), upload a clear map with boundaries and photos identifying the site? When uploading more than one document, please include in a single .pdf file.

- | | |
|---|--------|
| (A) Applicant thoroughly described the project location, and the uploaded map(s) and photos were clearly labeled and showed all pertinent boundaries and site conditions. | 5 pts. |
| (B) Applicant adequately described the project location, and the uploaded map(s) and photos were clearly labeled. | 3 pts. |
| (C) Applicant did not adequately describe the project location and/or map(s) or photos were not uploaded or clearly labeled. | 1 pt. |
| (D) Applicant did not adequately describe the project location or include map(s) and photos. | 0 pts. |

Work Plan

Did the applicant include a strong, detailed overview of the project, including scope of work, overall goal and desired outcomes?

- | | |
|---|---------|
| (A) Applicant included exceptional details and scope of work, project objectives, tasks and performance measures for all deliverables and budget costs. Any deliverables discussed in program specific questions or elsewhere in the application are listed in the work plan along with related performance measures. | 10 pts. |
| (B) Applicant included comprehensive details and scope of work, project objectives, tasks and performance measures for all deliverables. | 7 pts. |
| (C) Applicant included a good level of detail and scope of work but did not include project objectives, tasks and performance measures for all deliverables. | 4 pts. |
| (D) Applicant included either details or scope of work but insufficient information overall. | 2 pts. |

Past Performance

Has the applicant demonstrated an organizational commitment to develop and enhance its urban forestry capacity in partnership with DEC, and/ or have a positive history of working with DEC's Urban Forestry Program?

- | | |
|--|--------|
| (A) Applicant has demonstrated organizational commitment to develop and enhance its urban forestry capacity in partnership with DEC and has a positive history of working with DEC's Urban Forestry Program. | 5 pts. |
| (B) Applicant has demonstrated organizational commitment to develop and enhance its urban forestry capacity but has no known history of working with DEC's Urban Forestry Program. | 3 pts. |
| (C) Applicant did not adequately describe their organizational commitment and/or has a poor past performance working with DEC's Urban Forestry Program. | 0 pts. |

First Time Awardee

Has the applicant indicated they are a potential first-time awardee, or have they given details regarding awards received since Round 10 (2009-2010)?

Applicant has never been awarded a DEC Urban Forestry Grant or has not received an award since and including Round 10 (2009-2010). 2 pts.

Applicant has received a DEC Urban Forestry Grant award since and including Round 10 (2009-2010) 0 pts.

Partnerships

Would the proposed project build and sustain partnerships and/or encourage volunteerism, and do the uploaded letters from volunteer groups state their role in this particular project? When uploading more than one document, please include in a single .pdf file.

(A) Applicant included an adequate description of how partners or volunteers will play a role in this project and supporting letter/s detailing the role have been uploaded and details of which are listed as work plan performance measures. 8 pts.

(B) Applicant included an adequate description of how partners or volunteers will play a role in this project but supporting letter/s detailing the role have not been uploaded. 4 pts.

(C) Applicant did not adequately describe how partners or volunteers will play a role. 0 pts.

Local Needs

Does the application adequately address specific local environmental, social, and/or economic needs, such as the quality of the forest in parks and/or open spaces, habitat creation, air and water quality, increased property values, revitalization, public health, improved quality of life for residents, and others as described?

(A) The application addresses at least three environmental and/or economic needs. 5 pts.

(B) The application addresses one or two environmental and/or economic needs. 3 pts.

(C) The application does not adequately address any environmental and/or economic needs. 0 pts.

Local Support

Has the applicant uploaded any letters of support from local, external stakeholders who will not serve as partners, such as community and/or business leaders or members of the public? When uploading more than one document, please include in a single .pdf file.

(A) The applicant has uploaded 3 or more letters of support from local external stakeholders showing support for this project. 5 pts.

(B) The applicant has uploaded 2 letters of support from local external stakeholders showing support for this project. 3 pts.

(C) No letters of support were uploaded. 0 pts.

Environmental Justice

Would the proposed project provide specific social benefits in an [Environmental Justice Area](http://www.dec.ny.gov/public/911.html) (<http://www.dec.ny.gov/public/911.html>) or has an under-served population area been identified? When uploading more than one document, please include in a single .pdf file.

- (A) The proposed project would benefit an Environmental Justice Area. 8 pts.
- (B) The proposed project would benefit an under-served population or area. 4 pts.
- (C) The proposed project is not in an Environmental Justice or other under-served population area and/or the applicant did not adequately describe the location or benefits. 0 pts.

Outreach and Education

Does the proposed project include providing outreach and education events, activities and information to the public about tree management related to urban and community forestry?

- (A) Three or more public outreach and/or education efforts described including at least one event to which the media is invited, all of which are listed as work plan performance measures. 8 pts.
- (B) Two public outreach and/or education efforts described which includes at least one event to which the media is invited. 5 pts.
- (C) At least one public outreach and/or education effort described, but no media press events are included. 3 pts.
- (D) No public outreach and/or education efforts described. 0 pts.

Professional Guidance – Pre-Application

Has the applicant obtained and uploaded appropriate professional guidance on the proposed project? When uploading more than one document, please include in a single .pdf file.

- (A) Professional guidance from a DEC forester who is an ISA certified arborist, or a professional ISA certified arborist was uploaded. 5 pts.
- (B) Professional guidance from a DEC Forester or an experienced urban forestry natural resource professional who is not a certified arborist was uploaded. 3 pts.
- (C) No appropriate professional guidance was uploaded. 0 pts.

Professional Service/Qualification – Post Award

Has the applicant described their intent to use professional services for tree inventory, community forest management plan projects, and education programming, or use professional arborist services for planting or maintenance projects? Applicant must have included a description of their intent to use professional services.

- (A) A description of intent to use professional services and list of qualifications of professional was included. 3 pts.
- (B) An adequate description of intent to use professional services from an appropriate professional was not included. 0 pts.

Long-Term Support and Benefits

Will the proposed project receive long-term support **AND** promote future benefits for the community?

- (A) Applicant has adequately described both the long-term benefits and how the project will be supported following its completion and details of which are listed as work plan performance measures. 8 pts.
- (B) Applicant has adequately described either the long-term benefits of the project or how the project will be supported following its completion. 4 pts.
- (C) Applicant did not adequately describe either the long-term benefits or support for the project. 0 pts.

Tree City USA

Will the project take place within a Tree City USA community?

- (A) Applicant answered "Yes" and the project takes place within a Tree City USA Community. 2 pts.
- (B) Applicant answered "Yes" and the Tree City USA application has been submitted to the Arbor Day Foundation and is in process. 2 pts.
- (C) Applicant answered "No" or the project does not take place within a Tree City USA Community. 0 pts.

Community Forest Management Plan

Does the project community have a community forest or tree management plan that was created or updated within the last 8 years?

- (A) Applicant answered "Yes" and uploaded a copy of the community's forest or tree management plan, which was created or updated within the last 8 years. 5 pts.
- (B) Applicant answered "No" but is applying for a Community Forest Management Plan grant. 5 pts.
- (C) Applicant answered "No" or did not upload a community forest or tree management plan, or the management plan was not created or updated within the last 8 years. 0 pts.

DEC Work Plan Review

Has the applicant discussed the completed Work Plan for the project with a DEC forester and is the name of the forester included in the answer? And is the email requesting review and the reply uploaded?

- (A) Applicant has discussed the Work Plan for the project with a DEC forester and the email response from the DEC forester is uploaded. 5 pts.
- (B) Applicant has discussed the Work Plan with a DEC forester and has included the name of the forester but has not uploaded the forester's email response. 2 pts.
- (C) Applicant has not discussed the Work Plan of the project with a DEC forester. 0 pts.

Cost Effectiveness 1 – Budget Level of Detail

Does the budget contain an adequate level of detail to assess the cost-effectiveness of the project?

- (A) The budget contains an exceptional level of detail to assess cost-effectiveness. 8 pts.
- (B) The budget contains sufficient detail to assess cost-effectiveness. 5 pts.
- (C) An inadequate level of detail to assess cost-effectiveness was provided in the budget. 0 pts.

Cost Effectiveness 2- Reasonableness of Expenses

Does the budget contain reasonable expenses for implementing the project? This includes proper tree selection for Planting projects.

- (A) Only reasonable implementation expenses are included in the budget. 8 pts.
- (B) Mostly reasonable implementation expenses are included in the budget. 5 pts.
- (C) Many unreasonable expenses are included and/or applicant did not provide adequate detail. 3 pts.
- (D) Many unreasonable expenses are included and/or applicant did not describe need for items in Work Plan. 0 pts.

Cost Effectiveness 3 – Eligible Costs

- (A) Budget includes only eligible costs. 8 pts.
- (B) Budget includes one ineligible cost. 5 pts.
- (C) Budget includes two or more ineligible costs, or an inadequate level of detail was provided. 3 pts.
- (D) Budget was substandard, or costs were outside scope of work, or costs were not substantiated in Work Plan. 0 pts.

Cost Effectiveness 4 – Deliverable Costs

Are the individual budgeted costs broken down to clearly correspond with tasks and performance measures in the Work Plan, covering all project deliverables?

- (A) Budgeted costs clearly correspond with Tasks and Performance Measures in the applicant Work Plan, covering all deliverables. 5 pts.
- (B) Budgeted costs basically correspond with Tasks and Performance Measures in the applicant Work Plan, covering most of the deliverables. 3 pts.
- (C) Budgeted costs do not clearly correspond with Tasks and Performance Measures in the applicant Work Plan and do not cover all deliverables. 0 pts.

Target Audience (for UCF-3 Education programming only)

Has the applicant described knowledge and understanding of the program's target audience?

- (A) Applicant has described the target audience in detail as per the RFA 5 pts
- (B) Applicant has described basic details of the target audience 3 pts
- (C) Applicant has not described the target audience as per the RFA 0 pts

Regional Collaboration (for UCF-3 Education programming only)

Has the applicant described the potential regional collaboration needed to ensure the success of this project?

- | | |
|---|-------|
| (A) Applicant has described the potential regional collaboration needed to ensure the success of this project | 5 pts |
| (B) Applicant has described basic regional collaboration | 3 pts |
| (C) Applicant has not described the potential regional collaboration needed to ensure the success of this project | 0 pts |

Past Products (for UCF-3 Education programming only)

Has the applicant demonstrated past programs and uploaded materials or examples?

- | | |
|---|-------|
| (A) Applicant has summarized past programs and successful projects and has uploaded materials | 3 pts |
| (B) Applicant has not summarized past programs and successful projects nor uploaded materials | 0 pts |

VI. Eligible Projects

UCF projects must be one of the following five project types detailed below. Each project type has different program objectives and requirements. **We encourage combining Tree Inventory and Community Forest Management Plan projects.** Applicants should carefully review the project type information below, the pass/fail eligibility and the evaluation criteria contained in this RFA to avoid disqualification and to score high enough to be awarded grant funding. Applicants should address how their project will promote the quality of the forest in parks and/or open spaces; habitat creation; air and water quality; increased property values; economic revitalization; public health; and/or improved quality of life for residents.

1. Tree Inventory

(Use Grants Gateway Opportunity ID No. DEC01-UCF1-2019 to apply for Tree Inventory Projects)

Upload two estimates to be eligible for this project.

DEC recommends an applicant work with an ISA Certified Arborist to conduct an inventory of existing trees, stumps and potential planting spaces prior to developing a management plan or implementing a planting or maintenance project. Inventory projects are encouraged to get a picture of the size, species, health, and geographic distribution of the urban forest. A complete inventory (on public property, i.e. street and park trees) provides specific information for individualized tree care, including risk tree identification. Risk tree identification is recommended, but not required if implementing a tree inventory without a management plan. Discuss the levels of risk tree assessment with the certified arborist/contractor. Level II risk tree assessment is included in most tree inventories unless the priority is high volume; Level III risk tree assessment may be ascertained during the basic inventory as trees needing further inspection. Describe how the tree inventory will be updated and supported, and who will be responsible (DPW staff, Tree Board) in both Long Term Support and Work Plan.

Applicants are encouraged to describe environmental issues (including storm water capture, water quality, air quality, urban heat island effects, structural heating/cooling, environmental justice issues or brown fields) that are presently impacted by existing trees or could be impacted with planting on strategic sites. Applications should also include a description of the presumed effects on social and economic conditions by the presence of trees where they currently exist and in the selection of future planting sites.

Communities are required to collect data in a computerized software program that will allow for an environmental benefits analysis, i.e. the quantification of the benefits of trees (carbon sequestration and other air quality); storm water capture; energy savings; particulate matter capture; and property value. Check local listings for certified arborist tree companies in your area for quotes. All tree inventories must be ground truthed. Aerial assessment may be used in conjunction with ground truthing.

Upon completion of the project, an electronic copy of the final tree inventory must be submitted in a format compatible with Microsoft Office Excel or Access to the DEC grant administrator via email and should be listed as one of the tasks and related performance measures in the application work plan.

Completed tree inventories must include the following information:

- Column headings and description of column content
- Measurement of tree DBH (diameter at breast height) in inches
- Tree species – genus/species AND common names needed
- Street address location
- GPS coordinates
- Location and size of empty and/or potential tree planting sites/stumps appropriate to applicant's current planting and removal patterns
- Crown condition and/or percentage of crown dieback (excellent to dead rating)
- Maintenance recommendation (prune, train, remove, etc.)
- I-Tree ECO Summary report of environmental benefits

Optional:

- Level II risk tree assessment – identification of risk trees 6" DBH or larger (certified arborist required on crew)
- Level III risk tree assessment* – evaluation / further inspection of risk trees 6" DBH or larger

* To be eligible for a Level III risk assessment, the community must also apply for Level II risk assessment OR must have completed a tree inventory within the past five years that included Level I or II risk assessment. Also, for Level III risk assessment, a Tree Risk Assessment Qualified (TRAQ) certified arborist must be contracted and on the crew. For more information on tree risk assessment certification [read the ISA website](https://www.isa-arbor.com/Credentials/ISA-Tree-Risk-Assessment-Qualification) (https://www.isa-arbor.com/Credentials/ISA-Tree-Risk-Assessment-Qualification):

- Consultant re-inspect – in the year following the tree inventory, preferably during the contract period or the year following, the certified arborist can return to the applicant and assist in tree inventory updates, training staff and provide field work for the volunteer partners.
- Asset Management System – applicants need a way of updating tree inventories that best fits the needs and capabilities of the field staff. Consider equipment needs; ascertain if there is local asset management software available that can add trees as a layer, or if software will need to be leased as part of the contractor's tree inventory package. State how the inventory will be maintained when leased software is no longer funded by the grant. Small inventories may comfortably be handled on an Excel spreadsheet while others will need a GIS-based system.

2. Community Forest Management Plan

*(Use Grants Gateway Opportunity ID No. DEC01-**UCF1**-2019 to apply for Community Forest Management Plan Projects)*

While the maximum grant amount is \$50,000 for Small Communities and \$75,000 for Large Communities, the average standard community forest management plan (CFMP) is \$3,000-\$15,000. The CFMP should be applied for in conjunction with the Tree Inventory where possible.

Upload two estimates to be eligible for this project.

The CFMP will be based on tree inventory data to address environmental issues and risk management. The CFMP documents the steps necessary to elevate the community forest to a sustainable level that will expand its benefits and assure they are available to all residents over a period of time. This CFMP will provide a record and understanding of what currently exists while managing the future goals of the community. Communities are eligible to apply for a first time CFMP, or if an existing CFMP is at least 8 years old.

Applicants are encouraged to describe environmental issues (including storm water capture, water quality, air quality, urban heat island effects, structural heating/cooling, environmental justice issues or brown fields) that are presently impacted by existing trees or could be impacted with planting on strategic sites. What is special about your specific trees and your community? Applications should also include a description of the presumed effects on social and economic conditions by the presence of trees where they currently exist and in the selection of future planting sites.

Applications should include an explanation of how this plan will be incorporated in all aspects of future planning in the community, such as infrastructure, development, revitalization, recreation, transportation and storm preparedness.

The CFMP should be itemized separately from the inventory in the budget, and as one of the tasks and performance measures in the application work plan. Upon completion of the project, an electronic copy of the completed management plan must be submitted to the DEC grant administrator via email.

Completed Management Plans must be supervised by an ISA Certified Arborist and include the following information customized to each community:

- A vision for the long-term community forest and a strategy for how to care for the community trees.
- The use of the tree inventory which identifies management needs i.e. pruning rotations, removal implementation, and prioritization of work load.
- The development of budgets and work plans, including timelines and tasks, to meet that vision.
- Urban forest environmental benefit analysis of environmental issues such as: water quality, air quality, reduce urban heat island effect, energy efficiencies, storm water management, and health.
- Recommended: creation and/or use of a community tree board that includes volunteers and designate their activities.
- Basic in-house training/meeting of responsible staff by the contracted consultant that will provide guidance to all those involved with ongoing maintenance of the Tree Inventory, and implementation of the Management Plan. Follow up by consultant in the second or third year is also available to ensure positive long-term support.

Optional

Must be individualized to the project geographic area:

- Storm preparedness and response planning
- Invasive species preparedness and response planning – how will the community plan and address threats specific to each species
- Planting plan to address the unique characteristics of the project location, such as: species diversity, understory plantings, erosion control, and brownfields that could be impacted with planting and would address local needs
- Tree ordinance preparation or revision – capped at \$10,000. The municipality and tree board should work in conjunction with an attorney and the consultant. While there is no match for this grant category, we would like to see the municipality contribute 50% of the cost in funds or in-kind service.
- Waste wood utilization plan to reduce costs

3. Tree Planting

*(Use Grants Gateway Opportunity ID No: DEC01-**UCF2**-2019 to apply for Tree Planting Projects)*

Tree planting 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. Tree planting projects may not be located on state-owned property except for designated state-owned roadways within cities, villages and towns. Applications should include a brief 5-year planting and maintenance plan to ensure trees are planted correctly and that the plantings will be successful in the long-term (e.g. inspection on receipt, quality of roots and trees, planting depth, regular inspections, watering, pruning, stake removal, etc.). See Appendix 2 for Recommended Minimum Standards for NYS DEC Tree Planting Projects.

Applications from communities with a Community Forest Management Plan will receive more points (5) in the evaluation of an application. Applicants must use only non-invasive species, ([view the invasive species list](http://www.dec.ny.gov/docs/lands_forests_pdf/islist.pdf), http://www.dec.ny.gov/docs/lands_forests_pdf/islist.pdf) and should give appropriate consideration to Environmental Justice or under-served neighborhoods (all potential neighborhoods whose demographic, geographic, or economic characteristics impede or prevent their access to adequate canopy cover and other benefits of trees). Points are available in the evaluation of an application if the project is located in an under-served neighborhood.

Applicants are encouraged to describe environmental issues (including storm water capture, water quality, air quality, urban heat island effects, structural heating/cooling, environmental justice issues or brown fields) that are presently impacted by existing trees or could be impacted with planting on strategic sites. Applications should also include a description of the presumed effects of this project on social and economic conditions.

Tree planting project applications must include the following information:

- Project location
- Number of trees to be planted
- Details of materials to be purchased such as soil, structural soil, mulch, stakes, ties, guards and related tree-friendly materials. Pervious paving if deemed necessary for tree survival.
- An approved list of tree species. You may use the following links when building your tree list:
 - [Native flowers for gardening and landscaping from DEC](http://www.dec.ny.gov/docs/lands_forests_pdf/factnatives.pdf)
(http://www.dec.ny.gov/docs/lands_forests_pdf/factnatives.pdf)
 - [Recommended urban trees from Urban Horticulture Institute at Cornell University](http://www.hort.cornell.edu/uhi/outreach/recurbtrees/index.htm)
(<http://www.hort.cornell.edu/uhi/outreach/recurbtrees/index.htm>)
 - [Best Tree Finder: Tree Wizard from Arbor Day Foundation](https://www.arborday.org/shopping/trees/treewizard/intro.cfm)
(<https://www.arborday.org/shopping/trees/treewizard/intro.cfm>)
- Photos of potential tree planting sites

Applications that do not include the required information listed above in the Eligibility section will be disqualified from further review or funding. Applications for tree planting need to have a goal of 95% survival rate for project final inspection. A 1-year warranty for the trees/plantings is recommended.

Any questions regarding tree planting standards or appropriate professionals for tree list approval should be directed to the urban forester in your DEC Regional Office. For regional contact information, [see DEC's Lands and Forests Offices webpage](http://www.dec.ny.gov/about/27790.html) (<http://www.dec.ny.gov/about/27790.html>).

Applicants are strongly advised to seek advice from a professional arborist prior to submitting applications.

Two estimates must be uploaded to be eligible for this project.

4. Tree Maintenance

*(Use Grants Gateway Opportunity ID No. DEC01-**UCF2**-2019 to apply for Tree Maintenance Projects)*

For a tree maintenance grant application to be considered, the complete tree inventory or the portion of the inventory where the project is located is required to be uploaded with the application, except in cases of storm-damaged tree remediation where a state of emergency was declared. Inventories must be actively managed and less than 8 years old. Tree maintenance projects should include documentation of intent to use professional, certified arborist services, or municipal staff trained in best management practices according to the International Society of Arboriculture for tree maintenance. Priority should be given to risk trees identified in the tree inventory and management plan.

Examples of maintenance projects:

- Tree removal or pruning, including stump removal
 - Invasive plant control, including removing and chipping, may be a portion but not the majority of the project.
- Young tree care, including pruning, staking, watering, adding tree guards, etc.

Tree maintenance project applications must include the following information:

- A copy of your complete tree inventory or the portion of your inventory where the project is located
- Project location (park or street names and map)
- Documentation of professional arborist consultation or equivalent
- Photos of potential project location demonstrating need

Applications that do not include the required information listed above in the Eligibility section will be disqualified from further review or funding.

5. Education Programming – Non-profit organizations and quasi-governmental entities only

*(Use Grants gateway opportunity DEC01-**UCF3**-2019)*

The goal of this category is to train municipal staff and volunteer groups who assist in maintaining the urban forest.

Applicants are required to:

- develop curriculum
- create a field manual
- produce and host workshops that provide Continuing Education Credits from at least one of the following groups:
 - International Society of Arboriculture
 - Nursery and Landscape Professionals
 - Planners
 - DEC (pesticide credits)
- align end result with goals for target audience
- use partnerships where appropriate
- guarantee a minimum attendance of 12 participants per class
- provide at least 35 hours of class/field work (not including preparation time)
- include a description of a previously administered program describing past successes

Cost effectiveness points will be assessed on detail-focused budgets and budget explanations reflecting necessary expenses only, e.g. affordability. (Admission costs can be used to fund additional eligible project expenses which can be used as a match.) One Large Community application and one Small Community application from this category will be awarded. (Check Appendix 1 to see if the project will be completed in a Large Community.)

Applicants may choose program formats from one of the choices listed below:

- A. Professional Development – programming to assist municipal staff and those who partner with municipalities in preparation for certification exams (attendees must meet eligibility requirements). All categories on current exams should be included, which can entail multi-day programming. Applications must specify certifications targeted.
- B. Stewardship – Programming may include, benefits of urban trees, understanding tree inventories and how to update them, tree planting, pruning, tree identification, basic risk tree assessment, forest health topics, field appropriate hand-held equipment training, and municipal tree protective ordinance development, etc.

See specific reimbursement eligibility for Education Programming below.

VII. Eligibility of Budget costs

1. UCF Ineligible Costs

The following costs are not eligible for match or for reimbursement for any of the UCF grant opportunities.

Indirect/Overhead: Costs including accounting fees, insurance, interest, legal fees (except ordinances), rent, repairs, telephone bills, space/property, and utilities; contingencies.

Travel: Staff and/or contractor travel between the home location and the project site.

Application preparation: Costs associated with preparing the grant application.

Outside contract term: Costs incurred prior to an award or prior to a contract start date or after the contract end date. A contract term start and end date will be determined by DEC at the time of an official award. Anticipate a contract start date to be approximately 60 – 90 days from the date of an official award.

Other state or federal funding: Costs paid from other state or federal funding sources are not eligible for reimbursement.

Equipment: For the purposes of this grant round, drones will not be funded.

Other state or federal funding: Costs paid from other state or federal funding sources are not eligible for reimbursement.

2. UCF-1 and UCF-2 Reimbursable and Match-Eligible Costs

A. Budget Costs Eligible for Reimbursement

Personal Services – Salary: Staff and paid labor costs (excludes overhead) devoted to the project must be itemized according to job title or job assignment. This also includes grant administration costs associated with preparing the project agreement (contract), quarterly reporting, and reimbursement request documentation once the grant is awarded. Grant recipients will be required to document the time worked, tasks, pay ratio and payment. **Personal services – Salary is not eligible for reimbursement for community forest management plans. For UCF-2 combined salary plus fringe must not exceed 30% of the total funded grant amount.**

Personal Services – Fringe: Fringe benefits may include social security, workers' compensation, unemployment, health and disability insurance, or any insurance programs provided by the grantee organization to staff and paid labor for work devoted to the project. Fringe benefits should be budgeted in line with your organization's standard fringe benefit policy and/or negotiated bargaining agreements. Applicants should briefly explain the percentage and composition of the fringe benefit structure and whether the budgeted fringe benefits represent an exception to standard policy. **Personal services – Fringe is not eligible for reimbursement for community forest management plans. For UCF-2 combined salary plus fringe must not exceed 30% of the total funded grant amount for any project.**

Contractual: Costs for services rendered to the project under a written agreement with the grantee.

Travel: Costs for staff travel from normal work location to project site.

Equipment: Includes purchase and/or rental costs and delivery of equipment directly required to implement the project. Two quotes should be uploaded to the application for any equipment more than \$2,500. Equipment purchased with grant funding and having a useful life of more than one year and an acquisition cost of \$1,000 or more per unit, shall become the property of DEC and shall be transferred to DEC following contract closeout, unless otherwise approved by DEC. Please refer to page 17 of the State of New York Master Contract for Grants for additional detail on "Property." If purchasing any equipment with a single unit value of \$20,000 or more, an existing or new municipal agreement or letter of agreement from a partner community must be in place and uploaded showing shared services potential.

Other Expenses: Includes supplies and materials directly required to implement the project, the cost of publicizing the project in newspapers, appropriate construction publications, or informational brochures about the project. Educational resources, such as training, that enables Tree Board members and volunteers to do their work and/or to enhance the spread of knowledge of community trees and the benefits they provide are allowed. Tree Inventory software is only eligible if local/County software and equipment for updating, or GIS capabilities are not available.

B. Budget Costs Eligible for Match, but NOT Eligible for Reimbursement

(Match of at least twenty-five percent (25%) of the requested amount of grant funding is required for Tree Planting and Tree Maintenance projects only, not for Tree Inventory and Community Forest Management Plan.)

Warehoused Supplies and Materials: The value of the trees and planting items, and maintenance items warehoused (pre-purchased and/or not yet installed) calculated at current market prices. These expenses should be listed as match funds in the “Other Expenses” category of the budget.

Donated Labor: Skilled and professional labor must be computed at the job rate within the applicant county. Work performed by professional or skilled labor in an area outside of their expertise must be computed at minimum wage. These expenses should be listed as match funds in the “Personal Services - Salary” category of the budget.

Donated equipment usage: Compute the value according to its local DPW or DOT rate in the project location. These expenses should be listed as match funds in the “Equipment” category of the budget.

Predevelopment (tree planting only): Costs including design fees and other professional fees for the preparation of construction documents may be used for grant match only if incurred during the term of a MCG. These expenses should be listed as match funds in the “Contractual Services” category of the budget if the services are rendered under a written agreement. Otherwise, they should be listed as match funds in the “Other Expenses” category.

3. UCF-3 Reimbursable and Match-Eligible Costs

A. Budget Costs Eligible for Reimbursement

Personal Services – Salary: Staff and paid labor costs devoted to the project must be itemized according to job title or job assignment on project. Overhead is capped at 10% and includes grant administration costs associated with preparing the project agreement (contract), quarterly reporting, and reimbursement request documentation once the grant is awarded. Grant recipients will be required to document the time worked, tasks, pay ratio and costs.

Personal Services – Fringe: Fringe benefits may include social security, workers’ compensation, unemployment insurance, health insurance, disability insurance, and any insurance programs provided by the grantee organization to staff and paid labor for work devoted to the project. Fringe benefits should be budgeted in line with your organization’s standard fringe benefit policy and/or negotiated bargaining agreements. Applicants should briefly explain the percentage and composition of the fringe benefit structure and whether the budgeted fringe benefits represent an exception to standard policy. **Fringe amounts must not exceed 30% of salary.**

Other Expenses: Supplies and materials, including training facility rental fee and refreshments, delivery costs for items including trees, stakes, soil, fertilizer, tree watering bags, mulch, tree guards, hand tools, planting space engineering materials, and educational resources that enable attendees to complete their course of study and/or certification to enhance the spread of knowledge of community trees and the benefits they provide.

B. Budget Costs Eligible for Match, but NOT Eligible for Reimbursement

(Match of at least twenty-five percent (25%) of the requested amount of grant funding is required for Education Programming projects, i.e., admission costs that are spent on eligible Match expenses.)

Warehoused Supplies and Materials: The value of the trees and planting items, and maintenance items warehoused (pre-purchased and/or not yet installed) calculated at current market prices. These expenses should be listed as match funds in the “Other Expenses” category of the budget.

Donated Labor: Skilled and professional labor must be computed at the job rate within the applicant county. Work performed by professional or skilled labor in an area outside of their expertise must be computed at minimum wage. These expenses should be listed as match funds in the “Personal Services - Salary” category of the budget.

Donated equipment usage: Compute the value according to its local DPW or DOT rate in the project location. These expenses should be listed as match funds in the “Equipment” category of the budget.

VIII. Grant Application Components and Requirements

All applicants must apply through the NYS Grants Gateway. This includes answering program questions and uploading required program documents and forms. Paper applications will NOT be accepted for these grant opportunities.

Please be sure to include with your application, information in accordance with the following guidance and requirements. Wherever uploaded information is required, separate pages, files, documents etc. must be combined into and uploaded in a single pdf document.

1. Grants Gateway Instructions

Go to the [Grants Gateway home page](https://grantsgateway.ny.gov) (<https://grantsgateway.ny.gov>) to access the system. The Grants Management help desk/hotline can be reached at (518) 474-5595

A. Finding Urban and Community Forestry Applications

1. Click the Grants Gateway Login button near the top left of the home page, then log in using your credentials. If your organization hasn't registered and received credentials, go to Grants Gateway (<https://grantsmanagement.ny.gov>) to get started.

2. Click on the “View Opportunities” button under View Available Opportunities

3. Enter search criteria to limit Search Results. To find URBAN & COMMUNITY FORESTRY grant opportunities, Type “URBAN COMMUNITY” in the Search by Grant Opportunity box

4. Click on the correct name of the Grant Opportunity you're looking for in the search results grid. Three separate 2019 Urban and Community Forestry Grants are available. Please be sure to complete the appropriate Urban and Community Forestry Grant opportunity in the Gateway

A. Use Grants Gateway Opportunity ID No: **DEC01-UCF1-2019** to apply for **Tree inventory** and/or **Community Forest Management Plan** projects

B. Use Grants Gateway Opportunity ID No: **DEC01-UCF2-2019** to apply for **Tree Planting** and/or **Tree Maintenance projects**.

C. Use Grants Gateway Opportunity ID No: **DEC01-UCF3-2019** to apply for **Education Programming** projects.

B. Creating an application

1. From the Grants gateway homepage, to start creating your application, click on the **Forms Menu** link near the top of the page.

2. Enter the required information as detailed below into the forms for Contract Information, Program Information, Expenditure Budget, Work Plan, and Pre-Submission Uploads sections. Information may be entered into the forms in any order. You may find it easier and more intuitive to develop a project Work Plan using the Pre-Submission download generic work plan template before answering some of the program specific questions or completing the budget forms. Remember to click **SAVE** near the top of the page. Click **SAVE** often while working on a form and always before exiting a form or the information that was input will be lost!

C. Entering a budget

Open and complete budget forms as needed to enter budget information. After entering information for each detailed budget item, you must click the Save button near the top of the page before adding information for each additional budget item.

The Add button will not appear until after you have saved your information. Use the Add button to add additional budget items.

D. Submitting an application

1. Log in to the Grants Gateway with one of the following Grants Gateway roles.

Grantee Contract Signatory OR

Grantee System Admin

2. Retrieve the completed application by searching for it under the Applications link on top of the screen. (Try leaving all search fields blank then scroll down to see multiple results).

3. To check your application for errors, click on the CHECK FOR ERRORS link under the Management Tools link. This will provide you with a list of errors that need to be corrected before submission.

4. In order to submit your online application, click on the Status Changes link located top of your application main page.

2. Grants Gateway Components

A. Contract Information

1. Contractor (Applicant) Addresses: Select the appropriate office address(es) in the dropdown menus in the Grants Gateway. This is not the project location, but organization address(es) to be used for contract award and administration.

B. Program Information

2. Project/Site Addresses

Name/Description: Enter the name of the project location. This is not the project name/title that is entered under Program Specific Questions. If the project is to take place in a specific location such as a park, building, tributary stream, or an entire town or county, indicate that here. This can be a home office if applicable, or a project site.

Address: Enter physical address where most of the work will take place

Agency Specific Region: Select the DEC region that most closely aligns with the project address. For more information on DEC regions, [visit DEC's Regions web page](http://www.dec.ny.gov/about/50230.html) (<http://www.dec.ny.gov/about/50230.html>).

C. Program Specific Questions

Project Title: Enter a title to identify the project e.g. City of Albany Tree Inventory and Community Forest Management Plan.

All applications will be reviewed and scored by a review team in accordance with the evaluation and scoring criteria contained in Section X of this RFA. Applicants are strongly encouraged to read and address the Scoring Criteria (Section V) while developing an application. Knowledge of the scoring criteria is valuable for designing and proposing a relevant and quality project. Scoring consists of the following parts.

Eligibility:

Program Specific Questions 1 - 14 will be reviewed for PASS/FAIL eligibility.

Step 1 - Application and Project Eligibility Determination

Applications will be initially reviewed for applicant and project eligibility on a pass/fail basis. Applications that pass all the following eligibility criteria will be further evaluated and scored. Applications that fail one or more of the following eligibility criteria will be disqualified from further review or funding.

1. Project Type: Did the application address an eligible project type (Tree Planting, Tree Maintenance, Tree Inventory, Community Forest Management Plan or Education Programming)? *pass/fail*

2. Project Summary: Is the project summary of tasks and objectives appropriate based on the proposed project type? *pass/fail*

3. Multiple Projects: If the applicant is submitting applications for more than one opportunity (UCF1, UCF2, UCF3) or project type (i.e., tree planting, tree maintenance), each opportunity or project type must be its own separate application, and the applicant must describe how the projects are different from one another. However, Tree Inventory and Community Forest Management Plan should be combined into one application. *pass/fail*

4. Applicant Type: Is the applicant an eligible governmental entity or not-for-profit (NFP) corporation as defined in the RFA, and if the applicant is an NFP, was the NFP prequalified in the Grants Gateway by the due date of the RFA? *pass/fail*

5. Non-State-Owned Property: Projects are not permitted on state-owned land. Is the proposed project located on non-state-owned property, or alongside a state-owned roadway in a city, town, or village? *pass/fail*

6. Other Funding: The proposed project is not already receiving funds from another New York State or federal assistance program for the same activities as those being proposed in this application. *pass/fail*

7. Site Accessibility/Municipal Endorsement: Did the applicant provide proof of landownership (such as the County tax map parcel ID# (this is the number referenced on property tax bills and publicly available in online County tax maps), or a formal written agreement from the landowner, or a municipal endorsement or resolution, allowing the applicant to conduct the project on the landowner's property? No deeds please. When uploading more than one document, please include in a single .pdf file. *pass/fail*

8. Tree List – Tree Planting and Tree Maintenance projects only:

a. **For Tree Planting projects,** did the applicant upload a tree list of the number of trees to be planted and a list of the tree species, approved by an appropriate professional such as a DEC forester or an ISA arborist who is not the applicant? When uploading more than one document, please include in a single .pdf file. *pass/fail*

b. **For Tree Maintenance projects,** except in cases of storm-damaged tree remediation where a state of emergency was declared, did the applicant upload a tree inventory completed or actively managed within the last 8 years, of the area where the project will be located? When uploading more than one document, please include in a single .pdf file. *pass/fail*

9. Project Location Description, Map and Photos (if required): Did the applicant upload a map (and photos if required) clearly identifying the project area (no hand-drawn maps)? When uploading more than one document, please include in a single .pdf file. *pass/fail*

10. Shared Services – Tree Planting and Tree Maintenance projects only: If the applicant included an equipment item with a value over \$20,000 in their budget, did they upload a shared services agreement? When uploading more than one document, please include in a single .pdf file. *pass/fail*

11. Community Forest Management Plan – Community Forest Management Plan projects only: Does the applicant's project community already have a community forest management plan or tree management plan that was created or updated within the last 8 years? If yes, upload a complete copy of the community's management plan. When uploading more than one document, please include in a single .pdf file. *pass/fail*

12. Project Estimates: Has the applicant uploaded two estimates on letterhead with company address and credentials? When uploading more than one document, please include in a single .pdf file. *pass/fail*

13. Project Completion Time Frame: Will the project be completed within a two-year time frame? *pass/fail*

14. Sexual Harassment Prevention Certification: Applicants are required to sign and upload the Sexual Harassment Prevention Certification form, or upload a signed statement with their application detailing the reasons why the certification cannot be made, into the pre-submission uploads folder. Locate the Certification form in Grants Gateway Pre-Submission Uploads. When uploading more than one document, please include in a single .pdf file. *pass/fail*

Step 2 - Project Technical Evaluation, Scoring and Selection

Scoring:

Program Specific Questions 15 – 32 relate to the scoring criteria that are detailed in Section V. Scoring Criteria. Responses to these questions will be considered by reviewers along with other application information.

If your application meets all eligibility pass/fail criteria, it will be further evaluated and scored by a review team in accordance with Section X Application Evaluation and Method of Award contained in this RFA.

All eligible applications will be individually evaluated and scored by at least three technical review team members. (example: technical reviewer scores will be averaged and statewide priority points will be added to the averaged score to determine a final composite score.)

15. Project Location Description and Map

What is the location of the project and overall condition of the site? If the project will take place over a large area, describe the boundaries of the extent of the area where all work will take place and the site conditions of each distinct location. Neighborhood or hamlet references will be accepted. **Applicants must also upload a map and photos** identifying the project site or sites in PDF format. This is in addition to the eligibility question upload. The map should be clearly labeled and/or referenced in a way to make it easy for application reviewers to identify the project site(s) described in your response to this question. No hand-drawn maps will be accepted. Include details about the photos and how they relate to the project. When uploading more than one document, please include in a single.pdf file. (*SCORING VALUE = 5 points. See Section V Scoring Criteria for a detailed assignment of points*)

16. Work Plan

Applicants must complete a robust Work Plan ('tell us your story') for the project, illustrating all conceptual details, scope of work, the overall goal and desired outcomes. Include information such as location, target population, local needs, overall number of persons to be served and service delivery method. Include proposed project objectives, tasks associated with meeting each objective, and the performance measures associated with each task. Performance measures must include the project results or deliverables such as Partnerships, Long Term Support and Outreach & Education and should not need to exceed twelve Performance Measures for the whole project.

The Work Plan may be the total of, or become the basis for, all the individual questions answered in the grant application. Applicants need to connect with the DEC regional urban forester (Appendix 3) and request a general review of the completed Work Plan and a reply by email verifying the review. Upload the email from the DEC urban forester. This should be completed well before the application deadline. Five (5) points are awarded for the DEC urban forester review under Program question 31 in this RFA.

Note: A Work Plan 'worksheet' is available for applicants in the Grants Gateway (under Pre-Submission Uploads). The 'worksheet' can be downloaded and used as a tool to help applicants organize their proposed project objectives, tasks and performance measures. A completed 'worksheet' should NOT be uploaded back into the Grants Gateway but can be used as a simple template for cut-and-paste to the application questions. The intent of the 'worksheet' is to assist applicants in developing their application work plan.

The Work Plan's Objectives, Tasks and Performance Measures become the basis for the contract, awardee progress reporting and project reimbursement (see Appendix 4). (*SCORING VALUE = 10 points. See Section V Scoring Criteria for a detailed assignment of points*)

17. Education Programming Questions

only answer this question if applying for DEC01-UCF3-2019

a. Target Audience - Proposed Education Programming projects must address a target audience for Professional Development and Stewardship that is appropriate for the success of the project chosen. Describe aspects of the project showing knowledge and understanding of the target audience. (SCORING VALUE = 5 points. See Section V Scoring Criteria for a detailed assignment of points)

b. Regional Collaboration - Proposed Education Programming projects will need to draw on communities and regional outreach to ensure successful attendance. Describe how a regional collaboration will be facilitated and how it will impact the project. (SCORING VALUE = 5 points. See Section V Scoring Criteria for a detailed assignment of points)

c. Past Products - Summarize the scope of previous programs and successful projects. Include an example e.g. training material, class curriculum. When uploading more than one document, please include in a single .pdf file. (SCORING VALUE = 3 points. See Section V Scoring Criteria for a detailed assignment of points)

18. Past Performance

Past Performance: Describe the organizational commitment to develop and enhance an urban forestry capacity in partnership with DEC, and any past experience working with DEC's Urban Forestry Program, if applicable. Include any current Urban Forestry Grant projects. (SCORING VALUE = 5 points. See Section V Scoring Criteria for a detailed assignment of points)

19. First Time Awardee

Potential first time DEC Urban and Community Forestry awardees will receive extra points. Applicants who have not been awarded funds since Round 10 (2009/2010) are also eligible to receive extra points. (SCORING VALUE = 2 points. See Section V Scoring Criteria for a detailed assignment of points)

20. Partnerships

Urban and Community Forestry looks to promote expanded collaboration and partnerships, the cornerstone of this grant opportunity. Projects should include building and/or sustaining partnerships and/or volunteerism, including contribution or participation by appropriate stakeholders and municipal government. Partnerships between towns and villages, tree boards, community and volunteer groups will receive points in the evaluation of their application. Applications should include a letter of support from each unpaid partnering organization which clearly states their role in the proposed project. As a general rule, Tree Inventories and Community Forest Management Plans should be undertaken by a consultant and not by volunteers. The partners often organize the outreach & education, assist with Arbor Day events, coordinate workshops, tree identification hikes, urban forestry park days and town board presentations. When uploading more than one document, please include in a single .pdf file. (SCORING VALUE = 8 points. See Section V Scoring Criteria for a detailed assignment of points)

21. Local Needs

Proposed projects that address local environmental, social, and/or economic needs, including the quality of the forest in parks and/or open spaces, energy savings, habitat creation, air and water quality, increased property values, revitalization, public health, improved quality of life for residents, and others, will receive points in the evaluation of their application. (SCORING VALUE = 5 points. See Section V Scoring Criteria for a detailed assignment of points)

22. Local Support

Applicants may upload letters of support from local external stakeholders who will not serve as partners, such as community leaders, business owners, elected officials, residents and members of the public. Applicants will receive points in the evaluation of their application. When uploading more than one document, please include in a single .pdf file. (*SCORING VALUE = 5 points. See Section V Application Review & Scoring for a detailed assignment of points*)

23. Environmental Justice

DEC is committed to Environmental Justice (EJ) and remedies for communities that 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 or income, with respect to the development, implementation and enforcement of environmental laws, regulations and policies. A proposed project that is located in an EJ or under-served community or will directly benefit an EJ community, or a project that gives appropriate consideration to under-served neighborhoods (all potential neighborhoods whose demographic, geographic, environmental or economic characteristics impede or prevent their access to adequate canopy cover and other benefits of trees) will receive points in the evaluation of an application. Maps of EJ areas in New York State are [available from DEC's office of Environmental Justice](http://www.dec.ny.gov/public/911.html) (<http://www.dec.ny.gov/public/911.html>).

To qualify for EJ or under-served suburban or urban community points, the application must include the following details:

- a. To demonstrate location in an EJ area, upload a map [from DEC's web page](http://www.dec.ny.gov/public/911.html) (<http://www.dec.ny.gov/public/911.html>) or from the resources listed on that page, or refer to other authoritative documentation demonstrating the community's low income population or minority population. The applicant must provide authoritative documentation to support their community demographics in a single pdf upload in the Grants Gateway. In this context, "authoritative documentation" means any map, report or document issued by a local, state or federal government agency. In addition, provide the zip code where the project is to be implemented or where the benefit will be provided with a brief (few sentences) description as context for the map, or
- b. To demonstrate location in an under-served suburban or urban community- 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.

When uploading more than one document, please include in a single .pdf file.
(*SCORING VALUE = 8 points. See Section V Scoring Criteria for a detailed assignment of points*)

24. Outreach and Education

Proposed projects should include outreach and education that will raise community awareness of the project and community forestry in general and encourage volunteerism. Outreach and education should occur throughout the contract period. Applicants could consider grant award press release, website and social media presence, Arbor Day events, outreach to local neighborhoods affected, presentation at a town board meeting, description of the project results and benefits included in a newsletter or on social media. Applicants should have a public event or a public information session to which the media is invited, to receive top points (8) in the

evaluation of their application. Outreach and education can be conducted by the volunteer partner group. Be creative! (SCORING VALUE = 8 points. See Section V Scoring Criteria for a detailed assignment of points)

25. Professional Guidance – Pre-Application

Proposed projects that include an uploaded email or letter describing guidance on the proposed project from a certified arborist, DEC urban forester, or an experienced urban forestry natural resource professional (including ISA number, certifications or degrees), will receive points in the evaluation of their application. Use of an ISA Certified Arborist receives maximum points. Professional Guidance must be dated by the Question and Answer deadline Thursday, October 31, 2019. See Appendix 3 for list of DEC Urban Foresters. When uploading more than one document, please include in a single .pdf file. (SCORING VALUE = 3 points. See Section V Scoring Criteria for a detailed assignment of points)

26. Professional Service/Qualifications – Post Award

Consultants hired to perform tree maintenance, tree inventories and management plans must be supervised by an ISA Certified Arborist. Tree planting and education programming projects should use appropriate urban forestry professional services. Describe qualifications of those performing the work. (SCORING VALUE = 3 points. See Section V Scoring Criteria for a detailed assignment of points)

27. Long-Term Support and Benefits

Applications should include details about how the project will be supported by the applicant in the long-term (5 years), and what future benefits will be gained in the project area. Full points will be given when applicant shows long-term commitment and stewardship to the project. (SCORING VALUE = 8 points. See Section V Scoring Criteria for a detailed assignment of points)

28. Pre-Submission Upload

Ensure that you uploaded the Sexual Harassment Prevention Certification/statement under Pre-Submission Uploads and that the PDF contains a legible signed document. (Scoring Value = Yes/No)

Step 3 – Cost Effectiveness Section

29. Tree City USA

Proposed projects that take place within a Tree City USA community will receive points in the evaluation of their application. To find out if your community is a Tree City USA community, [go to the Tree City USA Community Lookup web page](https://www.arborday.org/programs/treecityusa/directory.cfm) (https://www.arborday.org/programs/treecityusa/directory.cfm). Applicants who have applied for Tree City USA and are waiting for certification should explain status. (SCORING VALUE = 2 points. See Section V Scoring Criteria for a detailed assignment of points)

30. Community Forest Management Plan

DEC supports community forest management plans developed by Certified Arborists as a cornerstone of a good community forestry program. If applicants are applying for a management plan or are applying for tree planting or maintenance and have a management plan completed within the last 8 years, they will receive points. (SCORING VALUE = 5 points. See Section V Scoring Criteria for a detailed assignment of points)

31. DEC Work Plan Review

The applicant should connect with their DEC regional urban forester and request a review of the work plan (Work Plan Work Sheet or similar word document is acceptable). This occurs at the completion of the application development and is not to be confused with Professional Guidance. Applicant should upload the email requesting work plan review, and the review received from the DEC urban forester. See Appendix 3 for

regional list of foresters. When uploading more than one document, please include in a single .pdf file. (SCORING VALUE = 5 points. See Section V Scoring Criteria for a detailed assignment of points)

32. Expenditure Based Budget – Salary, Contractual, Equipment etc.

Applicants must complete the itemized budget in the NYS Grants Gateway that provides details of the proposed project-related expenses. Budget detail must clearly distinguish between expenses to be claimed under the State grant share and expenses comprising the match (if applicable). A project's cost-effectiveness is at least 20 percent of the overall evaluation factor in the scoring; therefore, attention to budget accuracy and detail will increase the project score. Applications that do not provide sufficient information to determine whether costs are eligible and reasonable will lose points and may receive a reduced grant award if funded. Applicants should review the cost-effectiveness Scoring Criteria in Section V.

a. Cost Effectiveness 1 – Itemized Budget Details

Proposed projects should list in detail in the Attachment B-1 Expenditure Based Budget all itemized costs to the best of their ability. The Contractual Narrative section requires expenditures to be explained. The Personal Services Detail requires salaried persons' roles to be explained. Equipment and outreach materials should be itemized in the Summary section. Items more than \$2,500 require estimates/quotes to be included. Objectives, Tasks and Performance Measures should include items mentioned in the budget and how, when and why they will be used. (SCORING VALUE = 8 points. See Section V Scoring Criteria for a detailed assignment of points)

b. Cost Effectiveness 2 – Reasonableness of Expenses

Proposed projects should have realistic goals and expenses. Substantiation of expenses allows reviewers to correctly evaluate the applicant's story. For instance, the majority of the project should revolve around trees, with secondary interests in construction (sidewalks, tree pits, etc.), equipment over \$2,500, legal assistance for ordinances, and costs that may not be considered good use of state funds. (SCORING VALUE = 8 points. See Section V Scoring Criteria for a detailed assignment of points)

c. Cost Effectiveness 3 – Eligible Costs

Proposed projects will lose points for including ineligible costs, as detailed in section VI Eligible Project Types. (SCORING VALUE = 8 points. See Section V Scoring Criteria for a detailed assignment of points)

d. Cost Effectiveness 4 – Deliverable Costs

The individual budgeted costs must be clearly detailed in Attachment C – Work Plan to correspond with objectives, tasks and performance measures covering all project deliverables and initiatives. Deliverables should be detailed in the Work Plan (e.g. Tree Planting process, Outreach, Partnerships) and explained as a timetable or procedure in the Objectives/Tasks/Performance Measures. See Appendix 4 – Budget and Work Plan Guidance. (SCORING VALUE = 5 points. See Section V Scoring Criteria for a detailed assignment of points)

D. Work Plan Overview Form

Work Plan Period: Enter the timeframe for the entire program.

Project Summary: Concisely summarize the program, indicating key activities, any specific locations or programs that will be focused on and expected outcomes. More comprehensive program information should be described in the Program Specific Questions and Objectives and Tasks sections of the application.

Organizational Capacity: Concisely summarize the organization's experience performing tasks similar to those proposed for this program. Specific details about key personnel should also be described in the Program Specific Questions section of the application.

E. Objectives, Tasks, and Performance Measures

Enter objectives, followed by associated tasks, then the associated performance measures for each task. You may add Objectives, Tasks and Performance Measures up to and including the max amount allowed. Every Objective must have one Task and every Task must have one Performance Measure.

Objective: To get started, add your first Objective Name and Description and then click the [SAVE] button at the top of the page.

Task - After hitting Save, a field for the Task Name and Task Description will show under the Objective box. Complete both fields and hit the [SAVE] button at the top of the page. After entering the Task information and clicking Save, you will now see a box for the Performance Measure information and a box to enter a second Task.

Performance Measure - Enter a Performance Measure Name and select the Performance Measure Data Capture Type from the dropdown box.

Remove - A 'Remove' box has been added within each Objective, Task and Performance Measure box. If you have added a row that you would like to delete, put a checkmark in the box next to 'Remove' and hit the [SAVE] button at the top of the page. If you remove an Objective, all associated Tasks and Performance Measures will also be deleted upon hitting [SAVE]. Likewise, if you remove a Task, all associated Performance Measures associated with that Task will be deleted.

Move Up / Move Down - Reordering is easy with the move up/move down feature. For example, if you create an objective set and then realize that there should have been another one listed before it, click the arrow button facing down next to that task (or objective, or performance measure) that you want to reorder. **NOTE:** Moving an Objective will also move all related Tasks and Performance Measures associated with that Objective. Moving a Task will also move all Performance Measures associated with that Task.

Focus on establishing quality performance measures. **Be sure to create at least one performance measure for each of the essential project deliverables, including Outreach & Education, Partnerships and Long-term Support.** If applicable, performance measures can also include desired project outcomes in addition to deliverables.

F. Pre-Submission Uploads

In the Grants Gateway pre-submission upload section of the application, applicants must download the Sexual Harassment Prevention Certification form. Applicants are required to sign the Sexual Harassment Prevention Certification form or prepare a signed statement detailing the reasons why the certification cannot be made. The signed form or signed statement must then be uploaded back into the pre-submission uploads folder.

NOTE: The Department cannot accept an upload of an existing policy in lieu of the certification form. Important note: Be sure to check the form after uploading to ensure the correct file is uploaded and is completed as required.

IX. Additional Information

Tree Inventory

Combining the Tree Inventory and the Community Forest Management Plan is encouraged. The standard for contractors' accuracy rate is 95% upon inspection prior to reimbursement. Discuss expectations with your local DEC Forester as they will be inspecting the inventory prior to final reimbursement.

Tree Planting

Applications for tree planting need to meet a standard of 95% survival rate upon inspection prior to reimbursement. A 1-year warranty with contractors is recommended. If volunteers are participating in tree planting, they must be provided training.

Contractors

Applicants should hire contractors who have a proven track record and use a certified arborist, when applicable, to earn top scores and ensure reimbursable results. Most contractors will read this RFA but applicants should make sure they have a copy prior to quoting. Contractors are not required to deliver the Outreach and Education component. However, most contractors will meet with the municipality or non-profit entity to make a presentation to the community, governing body or board throughout the project or at the conclusion of the project. Costs for additional training or presentations are allowed and must be included in the application, work plan, budget and budget narrative. Contractors should supply applicants with references and project examples from similar projects to assist in obtaining the best possible results.

Estimates

Two estimates are required as part of the application process. "Quick quotes" are acceptable but need to be on company letterhead. If the two quotes vary greatly, a third quote is suggested. When soliciting estimates from certified arborists and tree companies, the scope of work should be in line with program guidelines. For secondary or smaller items in the budget (excluding salary and fringe) please upload estimates for any one item or service over \$2500. If suggested variables or extras are not in the Budget Costs Eligible for Reimbursement, they are not applicable for this grant.

Applicants

Applicants and Submitters (terms used in Grants Gateway) are requested to keep roles independent. The Applicant and Submitter should be an officer or staff representative of the municipality, NFP or approved entity. A third party, such as a grant writer, can be given the role of Grantee, which enables them to write and save a grant. The Applicant or Submitter needs to take the final responsibility for submitting applications.

Transparency

Bidding – If applicable, it is recommended that the grant writer company is different from the project contractor.

Non-Bidding – At the discretion of the Applicant, a grant writer can become the contractor, but must not sub-contract to third parties. Example: Applicant hires planning firm to take on project from grant writing onwards. Firm writes grant, applicant is awarded grant, firm is hired by Applicant to complete project. Any additional parties should be hired by the Applicant and invoice the Applicant directly. The firm can do all the planning, administration and closure but would not handle the invoicing or vouchering with DEC; and all project responsibility remains with the Applicant.

Letters of Permission/Municipal Endorsement

The applicant must own the property or obtain an applicable access agreement for the proposed project site. To avoid disqualification, applicants must provide proof of property ownership and/or landowner permissions at the time of application. Applicants will be required to provide, in a single PDF file, one of the following:

- a) If the property is owned by the applicant
 - proof of ownership (County tax map parcel ID#; this is the number referenced on property tax bills and publicly available in online County tax maps.) Please do not include deeds.
- b) If the property is not owned by the applicant and the property owner is a municipality:
 - a municipal resolution supporting the project; or
 - a signed municipal endorsement providing authorization for applicant to conduct the proposed project on municipal property (A sample municipal endorsement is included in Appendix 2 of this RFA and can be downloaded and viewed in the Pre-Submission Uploads section in the Grants Gateway); or
 - a letter on municipal letterhead from the municipal chief operating officer providing authorization for the applicant to conduct the proposed project on municipal property
- c) If the property is not owned by the applicant and the property owner is not a municipality:
 - a formal written agreement between the landowner and the applicant which allows the applicant to access the property and represent the landowner to accomplish the proposed project

Multi-Partner and Inter-Municipal Projects

Partnership projects are encouraged. Proposed projects that build partnerships and/or encourage volunteerism will receive points in the evaluation of an application. For this grant, volunteer partners usually do not include paid contractors or other paid entities.

If a proposed project involves a cooperative agreement or partnership, only one eligible, designated lead applicant can submit the project application for grant funding. The designated lead applicant must assume the responsibility for the project application, the performance of work consistent with the application, and the execution of a Master Contract for Grants in the NYS Grants Gateway, i.e. Any Town is the lead applicant; Any Town Shade Tree Committee is the partner.

Points will be awarded if letters from each partnering organization clearly state their role in the project, the designation of the lead applicant, and are uploaded at the time of application. Partnership letters must be addressed to the lead applicant and uploaded in a single .pdf file in the Grants Gateway.

X. Application Evaluation and Method of Award

All eligible applications submitted by the due date will be reviewed and scored by members of a DEC review team in accordance with Section V Scoring Criteria in this RFA.

All Step 2 technical evaluation reviewers' scores will be averaged for each application. Step 3 reviewers' scores will also be averaged. The Step 2 average score will be added to the Step 3 average score to determine an application's final score. A final score that is 75 percent or greater of total points is required to be considered awardable. See Section VIII for steps.

Applications for all five project types (tree inventory, community forest management plan, education programming, tree planting, and tree maintenance) will be grouped into two lists, "**Large Community Grants**"

and “**Small Community Grants**” as defined in Section IV Grant Opportunity General Information and Conditions in this RFA.

- “**Large Community Grants**” applications will be selected for funding beginning with the highest down to the lowest ranked project until available funding for “Large Community Grants” projects is exhausted or no awardable “Large Community Grants” applications remain.
- “**Small Community Grants**” applications will be selected for funding beginning with the highest scored application down to the lowest ranked project until all available funding for “Small Community Grants” is exhausted or no awardable “Small Community Grants” applications remain.
- **Tie Breaker:** If there is a numerical tie between multiple applications within a funding category, the application that scores the highest in Cost-Effectiveness will determine placement on the ranked list. If a tie remains, the order in which applications were received will determine placement on the ranked list, with the earliest application placing highest.

XI. Grant Program Payment and Reporting

Advance payments of up to 25% of the awarded grant amount may be available to not-for-profit grantees once a Master Contract for Grants (MCG) has been fully approved by all applicable State agencies. Municipalities are not eligible to receive advance payments under State Finance Law.

Quarterly Progress Reports must be submitted in Grants Gateway in narrative form, no later than 30 days from the end of the calendar quarter. The reports will summarize how the project progressed toward meeting project objectives and deliverables during the respective quarter. The following are the calendar quarters for this grant program:

- January 1 through March 31
- April 1 through June 30
- July 1 through September 30
- October 1 through December 31

If the MCG term date falls in the middle of a calendar quarter, the first progress report will not be due in that initial calendar quarter. Instead the first progress report will be due at the end of the following calendar quarter and will incorporate all activity from the MCG term date through the close of the first full calendar quarter.

- Project costs eligible for reimbursement and project match must be incurred between the MCG term start and end dates. Costs incurred prior to the MCG term start date or after the MCG term end date will not be considered eligible for grant reimbursement or match. Copies of supporting cost documentation (paid invoices, receipts, cancelled checks, etc.) must be audited and approved by DEC for costs to be eligible for grant reimbursement.
- Projects already receiving funds from another NYS or Federal assistance grant program are not eligible to receive funding for the same project activities identified in this RFA.
- *Optional* - Quarterly Expenditure Reports, detailed by object of expense as defined in the MCG Attachment B-1 Expenditure Based Budget, may accompany the quarterly progress reports. These reports must correlate to vouchers submitted for payment. Approved project-required permits and permissions must be in place to submit a reimbursement request.
- Any project involving volunteer time as match will be required to report the number of volunteers and the number of volunteer hours in their expense reports. The total number of volunteers and volunteer hours for the entire project must be reported in the final report.
- A DEC inspection will be required to confirm all work was completed in accordance with the approved project work plan.
- A final report must be submitted in Grants Gateway and approved by DEC prior to the release of the final grant payment to the Grantee. The Contractor (Grantee) must submit the final report no later than

60 days after the end of the contract term. The final report should detail all aspects of the program and summarize how the use of grant funds was utilized in achieving the goals set forth in the approved MCG Attachment C Work Plan. Copies of appropriate documents and deliverables (i.e. inventory and/or management plan, photographs, outreach results) must be submitted and approved by DEC.

XII. What to Expect If You Receive an Award

1. Notification of Award

Applicants selected to receive a grant award will be notified by email and in an official DEC award letter.

IMPORTANT NOTE: By accepting an award, applicant agrees to abide by all Master Contract for Grants (MCG) terms and conditions. Any changes to the terms and conditions will not be accepted and may affect applicant's award.

2. State of New York Master Contract for Grants (MCG)

Applicants selected to receive a grant award will be required to execute a MCG within 60 - 90 days from the time of their award notification. Failure to submit timely required MCG documents could cause a grantee to lose their grant award. Applicants should review and be prepared to comply with all MCG terms and conditions should grant funding be awarded. The MCG and attachments can be reviewed and/or downloaded in the Grants Gateway UCF application under the "Forms Menu" screen named 'Contract Document Properties.' The MCG and attachments include:

- MCG Grants Face Page
- Standard Terms and Conditions (NYS standard terms and conditions)
- Attachment A-1 Program Specific Terms and Conditions (Agency and Program Specific Terms and Conditions)
- Attachment A-2 Federally Funded Grant Terms and Conditions (optional)
- Attachment B-1 Expenditure Based Budget (project expense categories and detail)
- Attachment C Work Plan (project objectives, tasks and performance measures)
- Attachment D Payment and Reporting Schedule (claims for reimbursement and grant reporting provisions)

IMPORTANT NOTE: Project-related costs must be incurred within the term of the MCG to be considered eligible for reimbursement or match. Contract payments will not be approved or processed by DEC until a MCG is approved by DEC, and as applicable, the Attorney General and the State Comptroller. All contracts must be approved by the contract term start date of which will be determined at the time of an official award.

Applicants should be prepared to comply with the following Master Contract for Grants Requirements:

a. Insurance Requirements

Contractors (municipality, not-for-profit) will be required to carry appropriate insurance as specified in the MCG, Attachment A-1 Program Specific Terms and Conditions, and agree that each project consultant, project contractor and project subcontractor secures and delivers to the contractor appropriate policies of insurance issued by an insurance company licensed to do business in the State of New York. Policies must name the contractor as an additional insured, with appropriate limits, covering contractor's public liability and property damage insurance, contractor's contingency liability insurance, "all-risk" insurance and workers' compensation/disability benefits coverage for the project.

b. Permit Requirements (if applicable)

Contractors agree to obtain all required permits, including, but not limited to, local, state and federal

permits prior to the commencement of any project-related work. The Contractor agrees that all work performed in relation to the project by the Contractor or its agents, representatives, or contractors will comply with all relevant federal, state and local laws, rules, regulations and standards, zoning and building codes, ordinances, operating certificates for facilities, or licenses for an activity.

c. State Environmental Quality Review (SEQR) Documentation

With respect to the project, the Contractor certifies that it has complied, and shall continue to comply with all requirements of the State Environmental Quality Review Act (SEQRA). The Contractor agrees to provide all environmental documents as may be required by DEC. The Contractor has notified, and shall continue to notify, DEC of all actions proposed for complying with the environmental review requirements imposed by SEQRA.

d. Vendor Responsibility Questionnaire

Not-For-Profit contractors and/or subcontractors are subject to a vendor responsibility review by the State to ensure public dollars are being spent appropriately with responsible contractors. A vendor responsibility review may include a contractor and/or subcontractor to present evidence of its continuing legal authority to do business in NYS, integrity, experience, ability, prior performance, and organizational and financial capacity. To enroll in and use the NYS VendRep System, [see the VendRep System instructions](http://www.osc.state.ny.us/vendrep/enroll.htm) (<http://www.osc.state.ny.us/vendrep/enroll.htm>) or [go directly to the VendRep System](https://portal.osc.state.ny.us) (<https://portal.osc.state.ny.us>).

e. Iran Divestment Act

As a result of the Iran Divestment Act of 2012 (Act), Chapter 1 of the 2012 Laws of New York, a new provision has been added to the State Finance Law (SFL), § 165-a, effective April 12, 2012. By entering into a Contract, the Contractor certifies that it is not on the “Entities Determined To Be Non-Responsive Bidders/Offerers Pursuant to The New York State Iran Divestment Act of 2012” list (“Prohibited Entities List”) [posted on the OGS website](http://www.ogs.ny.gov/about/regs/docs/ListofEntities.pdf) (<http://www.ogs.ny.gov/about/regs/docs/ListofEntities.pdf>) and further certifies that it will not utilize on such Contract any subcontractor that is identified on the Prohibited Entities List. Additional detail on the Iran Divestment Act can be found in the MCG, Attachment A-1 Program Specific Terms and Conditions.

f. Procurement of Contractors/Subcontractors

Municipalities must comply with General Municipal Law Sections 103 (competitive bidding) and 104-b (procurement policies and procedures). Not-for-profit corporations must follow procurement policies that ensure prudent and economical use of public money. Failure to comply with these requirements could jeopardize full reimbursement of your approved eligible project costs.

g. Americans with Disabilities Act

In the event the monies defined herein are to be used for the development of facilities, outdoor recreation areas, transportation or written or spoken communication with the public, the Contractor shall comply with all requirements for providing access for individuals with disabilities as established by Article 4A of the New York State Public Buildings Law, Americans with Disabilities Act, and relevant sections of the New York State Uniform Fire Prevention and Building Code. Standards for certain Recreation Facilities are found in the 2010 ADA Standards for Accessible Design while others are found in the [Architectural Barriers Act Accessibility Guidelines for Outdoor Recreation Areas](https://www.access-board.gov/guidelines-and-standards) (<https://www.access-board.gov/guidelines-and-standards>).

XIII. Appendices

APPENDIX 1 – Large Community Grants List

Projects within the communities listed below are eligible for grants up to \$75,000 in Round 15. These communities have been identified as having populations greater than 65,000.*

Cities

Albany
Buffalo
Mount Vernon
New Rochelle
New York City
Rochester
Schenectady
Syracuse
Yonkers

Towns

Amherst
Babylon
Brookhaven
Cheektowaga
Clarkstown
Colonie
Greece
Greenburgh
Hempstead
Huntington
Islip
North Hempstead
Oyster Bay
Ramapo
Smithtown
Tonawanda

*All other communities with populations below 65,000 qualify for Community grants up to \$50,000

APPENDIX 2 - Recommended Minimum Standards for NYS DEC Tree Planting Projects

The following are [minimum standards that may be used for tree planting](http://www.dec.ny.gov/lands/5303.html) (<http://www.dec.ny.gov/lands/5303.html>) 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 five-year maintenance plan must be developed with input from local agencies to avoid conflicts. Where underground or above ground utilities are present, [contact Dig Safely New York](https://www.digsafelynewyork.com) (<https://www.digsafelynewyork.com>). NYS DEC recommends the planting of native species and prohibits or regulates the introduction of invasive species <https://www.dec.ny.gov/animals/99141.html>.

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 AmericanHort](https://www.americanhort.org/) (<https://www.americanhort.org/>).
4. It is recommended that no species make up more than 10% of the entire urban forest population.

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; a planting space of at least 50 sq. ft. is recommended.
2. Trees will not be planted within 30 ft. of an intersection or 15 ft. 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 30 ft. and 60 ft.) minimum of 35 ft. apart, small trees (mature height less than 30 ft.) minimum of 25 ft. apart.
5. Only trees with mature heights less than 30 ft. 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 two to three times 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, up to 3 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 approximately one year after planting.
9. Newly planted trees will be watered at the time of planting, and for best results, water, soaking the root zone once per week, barring rain, and more frequently during hot weather until they are established.
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.

Five Year Tree Maintenance:

A detailed, written tree maintenance plan must be developed, including the following components:

1. Grantee will need to inspect the trees every six months to evaluate general health, disease and insect problems.
2. Grantee will need to treat disease and insect problems as needed to maintain good tree health.
3. Grantee will need to water during the growing season as needed.
4. Grantees will 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.

Other sources for Tree Planting Specifications and information:

- [Trees are Good from ISA](http://www.treesaregood.org/) (<http://www.treesaregood.org/>).
- [Urban Horticulture Institute from Cornell University](https://blogs.cornell.edu/urbanhort/) (<https://blogs.cornell.edu/urbanhort/>)
- [Positively the Pits! Successfully strategies for sustainable streetscapes](http://www.umass.edu/urbantree/publications/pits.pdf) from University of Massachusetts (<http://www.umass.edu/urbantree/publications/pits.pdf>), November 2003 issue of TCI 7/1/04

APPENDIX 3 – NYS DEC Urban Foresters

The following people can assist with Professional Guidance and DEC Work Plan review questions in a geographic area. A * denotes ISA Certified Arborist.

[Contact telephone numbers and regional maps](https://www.dec.ny.gov/lands/5285.html) (https://www.dec.ny.gov/lands/5285.html)

DEC Region	Forester Name	Email	Counties/Areas served
Region 1	John Wernet *	john.wernet@dec.ny.gov	Nassau, Suffolk
Region 2	Tim Wenskus	timothy.wenskus@dec.ny.gov	NYC all boroughs
Region 3	George Profous	george.profous@dec.ny.gov	Westchester, Putnam, Rockland, Orange, Sullivan, Ulster, Dutchess
Region 3	Mike Callan	michael.callan@dec.ny.gov	Westchester, Putnam, Rockland, Orange, Sullivan, Ulster, Dutchess
Region 4	Scott Moxham *	scott.moxham@dec.ny.gov	Albany, Schenectady, Schoharie, Montgomery, Rensselaer, Columbia
Region 4	Don Guest	donald.guest@dec.ny.gov	Otsego, Delaware, Greene
Region 5	Seth Thomas	seth.thomas@dec.ny.gov	Hamilton, Fulton
Region 5	Mike Mulligan	michael.mulligan@dec.ny.gov	Hamilton, Fulton
Region 5	Rich McDermott	richard.mcdermott@dec.ny.gov	Clinton, Essex, Franklin, Warren, Washington, Saratoga
Region 5	Jeffrey Speich*	jeffrey.speich@dec.ny.gov	Clinton, Essex, Franklin, Fulton, Hamilton, Saratoga, Warren, Washington
Region 6	Dan Welc	dan.welc@dec.ny.gov	Herkimer, Oneida
Region 6	Mike Giocondo	michael.giocondo@dec.ny.gov	Lewis
Region 6	Glen Roberts	glen.roberts@dec.ny.gov	Jefferson
Region 6	Steve Sherwood	steven.sherwood@dec.ny.gov	St. Lawrence
Region 7	Daniel Sawchuck	daniel.sawchuck@dec.ny.gov	Oswego, Onondaga (north)
Region 7	Matt Swayze	matthew.swayze@dec.ny.gov	Cortland, Tioga, Onondaga (south)
Region 7	John Graham	john.graham@dec.ny.gov	Cortland, Cayuga, Tompkins
Region 7	Greg Owens	gregory.owens@dec.ny.gov	Broome, Chenango, Madison
Region 8	Gary Koplun *	garrett.koplun@dec.ny.gov	Wayne, Monroe, Genesee, Orleans
Region 8	Brice June	brice.june@dec.ny.gov	Ontario, Livingston, Seneca
Region 8	Mark Gooding	mark.gooding@dec.ny.gov	Chemung, Genesee, Livingston, Monroe, Ontario, Orleans, Schuyler, Seneca, Steuben, Wayne, Yates
Region 8	Pat Lafler	patrick.lafler@dec.ny.gov	Chemung, Schuyler, Yates
Region 8	Cody Lafler	cody.lafler@dec.ny.gov	Steuben
Region 9	Pat Marren	patrick.marren@dec.ny.gov	Erie, Niagara, Wyoming, Allegany, Cattaraugus, Chautauqua
Region 9	Nate Morey	nate.morey@dec.ny.gov	Erie, Niagara, Wyoming, Allegany, Cattaraugus, Chautauqua

APPENDIX 4 - Sample Municipal Endorsement

The Municipal Endorsement is for non-municipal projects located on municipal property and must accompany the completed application. (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 reimbursement project grant under the Urban and Community Forestry (UCF) 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 the UCF program, 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 Urban and Community Forestry Program for a project known as (project title) and located within this community.

(Date of Adoption and Certification of Clerk)

APPENDIX 5 – Attachment C - Work Plan Sample

ATTACHMENT C - WORK PLAN

Work Plan Screen Shot

PROJECT NAME: Tree Inventory & Community Forest Management Plan

CONTRACTOR SFS PAYEE NAME: Town of Anytown

CONTRACTPERIOD: From: 06/01/2020
To: 05/30/2022

Project Summary: A high-level overview of the project, including the overall goal and desired outcomes.

The overall goal of the Town of Anytown is to determine the types, quantities, location and health of its community forest, and to develop a management plan that will assist the town in expanding its forest, addressing forest health issues and threats, and to secure community involvement in protecting and enhancing the town's forest resources. The Town of Anytown is approximately 90 square miles in size, and has 42,065 residents. The town consists of these three villages, which are surrounded by rolling hills, lakes, woodlands, hiking trails, apple orchards, wineries and other agricultural operations. Anytown has made a conscious effort to protect its natural resources and farms, and so developing a community forest inventory and management plan meshes well with its environmental goals. The inventory and plan will directly benefit the people that use the town's parks, as well as those properties that are located on the public cul-de-sacs. But there will be overall community benefits to be had by assessing the health of the community's trees and working to increase the tree canopy. Better air quality benefits everyone, as does reducing the heat index, sequestering carbon, reducing noise, filtering storm water, increasing property values, and visually enhancing our streets and parks. The Town proposes to hire a firm that will use ISA-certified arborists to conduct an inventory, which will be a GIS-based tree and planting site inventory, formatted for USDA i-Tree software compatibility.

The inventory shall include trees within the right-of-way of twelve town cul-de-sacs and the parks. The tree inventory will contain the following information:

1. Column headings and description of column content or codes
2. Measurement of tree DBH in inches
3. Tree species – genus AND species common names accepted
4. Street address location
5. GPS coordinates
6. Arborist re-inspect management recommendations (for volunteer or non-professional inventories)
7. Location of empty and/or potential tree planting sites
8. Risk tree assessment
9. Summary report of environmental benefits (see above)

The inventory should take about one month to complete, depending on the number of staff assigned to collect the data. Once the inventory is complete, a final report will be prepared and submitted to the town and NYSDEC in Microsoft Excel or Access on a CD or thumb drive. Preliminary estimates are based on a total of 3,500 trees in both the parks and along the cul-de-sac rights-of-way.

In addition, the Town's tree commission will assist in providing information and gathering suggestions from the public via workshops at the local library, social media and speaking to community organizations.

The forest management plan will contain, at minimum, the following items:

1. The development of budgets and work plans including timelines and tasks to meet that vision
2. The use of the tree inventory which identifies management needs i.e. pruning rotations, removal implementation, prioritization of work load
3. Storm preparedness and response planning
4. Invasive species preparedness and response
5. Planting plan to address the unique characteristics of the project location, such as species diversity; understory plantings; erosion control and brownfields that could be impacted with planting and would address local needs.
6. Urban forest environmental cost-benefit analysis of environmental issues such as water quality, air quality, reduce urban heat island effect, energy efficiencies, storm water management, health
7. Recommend creation and/or use of a community tree board and designate their activities

The final document will be presented to the Town Board at a board meeting by the consultant, and a digital copy will also be sent to the NYSDEC. We expect that the Town will receive a digital copy.

ATTACHMENT C - WORK PLAN

DETAIL

Objective

1. Inventory trees in six town parks & along the rights-of-way and all town parks.

Tasks

1. Conduct tree inventory in parks and along cul-de-sacs - The inventory shall include trees within the right-of-way and all town parks. The tree inventory will contain the following information:
 - a. Column headings and description of column content/codes
 - b. Diameter at breast height (inches)
 - c. Tree species (genus and common names)
 - d. GIS/GPS location + street address
 - e. Crown width
 - f. Tree health and hazard tree identification/emergency storm response
 - g. Potential tree planting sites

The timeline for this task is 1-2 months during the growing season.

Performance Measures

1. Final inventory - Compile tree inventory information, format in i-Tree software and provide report on CD or a thumb drive to NYSDEC and the Town of Anytown.

The timeline for this task is 1 month upon completion of the inventory.

ATTACHMENT C - WORK PLAN

DETAIL

Objective

2. Prepare a community forest management plan

Tasks

1. Prepare management plan - Consultant will prepare a forest management plan that will contain, at minimum, the following items:
 - a. The development of budgets and work plans including timelines and tasks to meet that vision
 - b. The use of the tree inventory which identifies management needs i.e. pruning rotations, removal implementation, prioritization of work load
 - c. Storm preparedness and response planning
 - d. Invasive species preparedness and response
 - e. Planting plan to address the unique characteristics of the project location, such as species diversity; understory plantings; erosion control and brownfields that could be impacted with planting and would address local needs.
 - f. Urban forest environmental cost-benefit analysis of environmental issues such as water quality, air quality, reduce urban heat island effect, energy efficiencies, storm water management, health
 - g. Recommend creation and/or use of a community tree board and designate their activities. The timeline for this task is 3 months. Performance Measures
2. Management Plan - Consultant to submit hard copies. The Town & NYSDEC will also receive a digital copy of the plan as required in the contract. This will be provided at the end of the three-month inventory & report process.

Objective

3. Partnerships

Tasks

1. Partnerships - A staff person will be assigned to manage the tree inventory and will use the management plan as guidance for the Town's annual planting and maintenance projects.
2. The Tree Commission will use the inventory to help it choose tree locations and species for its Arbor Day plantings in an effort to increase the diversity of tree species in the town.

Performance Measures

1. Partnerships - Report on plans for an event during Arbor Day. Photos, press or narrative.

ATTACHMENT C - WORK PLAN

DETAIL

Objective

4. Outreach & Education

Tasks

Outreach & Education

1. Newspaper press release in the local weekly column Tree Inventory & CFMP about the Town's plans to inventory its trees and develop a management plan
2. A feature story on the company that is doing the inventory, what the inventory includes, why it is important, and where in the town it is occurring, etc.
3. A presentation on the inventory results and an analysis of the benefits of trees to the community by the tree service consultant to the Town Board at a televised meeting.
4. Prior to developing the plan, at least one community forum will be held for ideas and suggestions for maintaining and expanding our community forest, as well as interviews/ discussions with several community groups, the tree commission and town leaders about the specifics of the plan.
5. The tree commission will also promote the inventory information as part of its future Arbor Day activities through press releases, posters, radio and local TV.

Performance Measures

1. Outreach & Education - Send copies of press, links to TV and narrative of media generated by the grant and subsequent work.
2. Photos of Arbor Day and/or narrative.

ATTACHMENT C - WORK PLAN

DETAIL

Objective

5. Long Term Support and Benefits

Tasks

Long Term Support and Benefits for the next five years

1. Share Inventory and CFMP with the Town's Tree Commission for future planting options and locations.
2. Town's volunteer tree commission can incorporate public participation into the annual tasks; for example, establishing tree stewards for the individual cul-de-sacs, setting up a formal memorial tree program, public information sessions on the threat of invasive species, Arbor Day events and tree plantings.
3. Grow our community forest, Town of Anytown Tree Inventory & Community Forest Management Plan increasing the overall environmental benefits that trees provide to our air, water, wildlife, and health.

Performance Measures

1. Long term support - Report on future plans at the end of the project.
2. Inventory – Tree Commission will work with DPW to update the tree inventory on an ongoing basis for the next 5 years.
3. Management Plan – results of the CFMP will be used by the Village to prioritize risk assessment, tree removals and pruning jobs and also vacant planting areas.
4. Arbor Day events and the pursuit of new urban forestry grants will continue.