



Department of
Environmental
Conservation

REQUEST FOR APPLICATIONS

Urban and Community Forestry Grants Program

Community Forest Management Plan Implementation And Ash Tree Management in Disadvantaged Communities

Application Deadline: 2:00 pm, Wednesday, January 31, 2024

NYS Grants Gateway Opportunity IDs

- DEC01-UCF4-2023: Community Forest Management Plan Implementation in Disadvantaged Communities
- DEC01-UCF5-2023: Ash Tree Management in Disadvantaged Communities

Information Session:

Topic: NYS DEC Urban Forestry November 2023 Application and NYS Grants Gateway Webinar

Date: Wednesday, November 15

Time: **10 AM, estimated 2 hours**

To register for the online webinar (Now also for mobile devices!)

-
1. Go to <https://meetny.webex.com/weblink/register/raf052a25587eccb5b719641845d549d1> to register for this information session.
 2. When joining the webinar, if a password is required, enter the meeting password: UmpVNukP323 (86786857 from phones and video systems)
 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.

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I. General Information

The Department of Environmental Conservation (DEC) Division of Lands and Forests is pleased to announce funding for projects that will implement Community Forest Management Plans and manage ash trees in disadvantaged communities.

1. Timetable of Key Events

• Monday, October 30, 2023	Application Period Begins
• Wednesday, November 15, 2023, 10 am	Program Informational Session and Grants Gateway Training Webinar (details on front page)
• Tuesday, January 9, 2024	Question and Answer Period Ends
• Wednesday, January 31, 2024 2pm	Application Deadline
• May 2024	Award(s) Announced (anticipated)

2. Funding

- Approximately \$10,000,000 in total is available for Community Forest Management Plan implementation in disadvantaged communities. Approximately \$2,900,000 is available for ash tree management in disadvantaged communities. Should newly-appropriated funding become available, DEC may award additional applications received in this round.
- Funding for this grant opportunity is made available through the state allocation from the USDA Forest Service through the Inflation Reduction Act (IRA). The USDA Forest Service is allocating this funding to support projects in disadvantaged communities to increase and maintain a healthy urban canopy and equitable access to trees and the benefits they provide. The Urban and Community Forestry Program authorizes funding for a broad range of activities, such as urban wood utilization, urban food forests, extreme heat mitigation, and workforce development.
- Eligible applicants may request a minimum of \$10,000 and up to a maximum of \$500,000.
- This is a reimbursement grant program. Awardees must submit reimbursement requests after the work is complete and contractors have been paid. Multiple reimbursement requests may be submitted throughout the contract period.

3. Inquiries and Contact Information

Grants Gateway

New York State's (NYS) Grants Management website allows the public to find, apply for and manage NYS grants. The following resources provide instructions on registering, pre-qualification, submitting an application, etc., in Grants Gateway.

- **Grants Management website:** <https://grantsmanagement.ny.gov/>. Use this to search for a grant opportunity and access the Grants Gateway.
- **Grants Gateway User Manual:** <https://grantsmanagement.ny.gov/system/files/documents/2020/05/vendor-user-manual-3.2-5.7.20.pdf> provides instructions in one PDF document.
- **Get pre-qualified webpage:** <https://grantsmanagement.ny.gov/get-prequalified>
- **Grants Gateway Login webpage:** https://grantsgateway.ny.gov/IntelliGrants_NYSGG/login2.aspx. Applicants must login in order to open an application.
- Grants Gateway navigation and tips specific to this opportunity can also be found in Section IV – Grants Gateway Instructions in this RFA.

If you need additional assistance with the Grants Gateway, contact the Grants Reform Team by email: grantsgateway@its.ny.gov.

Department of Environmental Conservation

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

- **DEC regional urban foresters** (Appendix 3) are available to talk to you about your project throughout the entire open grant period. All applicants should discuss their project with their regional urban forester early in the planning process.
- **DEC's Urban and Community Forestry Program staff in Albany** can answer questions about this grant opportunity in a Questions and Answers (Q&A) document posted in the Grants Gateway Opportunities area for all applicants to view. Send questions to urbanforestry@dec.ny.gov. Include "UCF" in the subject line of the email. Questions and answers will be periodically updated with questions received through January 9, 2024.

4. Application Submission

- Each applicant may submit one (1) application.
- Applications and all supporting material must be submitted through the [NYS Grants Gateway \(https://grantsgateway.ny.gov\)](https://grantsgateway.ny.gov). Paper applications will NOT be accepted.
- All required and optional accompanying documents must be uploaded in the Pre-Submission Uploads section of the application. Only one PDF per item can be uploaded. Uploading a second file will overwrite the first. Maximum file size is 10MB.
- Applicants are encouraged to finish the online application at least one week prior to the deadline. This allows the applicant time to double check that all mandatory requirements have been completed and to correct any technical errors.
- Applicants are strongly encouraged to submit their applications well in advance of the application deadline. In the event of a tie and not enough funds, the application submitted first will be funded.
- Not-for-profit organizations (NFP) must complete a prequalification process. The state reserves five business days to review submitted prequalification applications (not the same as grant applications). Not-for-profit organizations must be prequalified for their grant application to be reviewed.
- See Section V. Grants Gateway Instructions – Submitting an Application for which grantee roles are recommended to submit an application in Grants Gateway.

5. Eligible Applicants

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

- a. New York State government entities, municipalities, and quasi-governmental entities including, but not limited to, counties, cities, towns, villages, or public benefit corporations, public authorities, municipal corporations, soil and water conservation districts, and community colleges.
- b. Indian nations or tribes 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.
- c. 501(c)(3) not-for-profit (NFP) corporations whose projects are located within the eligible geographic boundaries defined in this Request for Applications (RFA). NFP applicants must possess the knowledge, skills, and/or track record to successfully implement the project.

Not-For-Profit (NFP) Prequalification

New York State has instituted key reform initiatives to the grant contract process which require NFPs to register in the Grants Gateway and complete the Vendor Prequalification process for applications to be evaluated. See I.3. Inquiries and Contact Information, above, for links to Prequalification and other Grants Gateway resources.

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: Email grantsgateway@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 are expired. **Expired documents will lead to the loss of Prequalification status.**

Note: 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.

Note: Inter-municipal collaboration such as shared services and equipment is encouraged. In these situations, one municipality must be designated as the applicant and assume responsibility for the project application and performance of work consistent with this RFA and State of New York Master Contract for Grants.

6. Eligible Project Locations

Projects must be:

1. Implemented in New York State and on non-state-owned and non-federal-owned properties (municipal public property, i.e. street and park trees), privately owned parkland that is 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 of either side of a paved or maintained multiple use trail; AND.
2. Located completely in a disadvantaged community. For the purposes of this application, a Disadvantaged Community is identified by any one of the following tools:
 - a. Federal Climate and Economic Justice Screening Tool (CEJST)
<https://screeningtool.geoplatform.gov/en/#6.55/40.496/-110.654>
 - b. New York State Disadvantaged Communities. This and the following NYS maps may be accessed in the DECinfo Locator at <https://giservices.dec.ny.gov/gis/dil/>. Under DEC Information Layers, click on Public Involvement. Then choose Potential Environmental Justice Areas and Disadvantaged Communities (DAC).
 - c. New York State Environmental Justice Areas.

The following project areas are not eligible in this grant:

- a. Areas adjacent to disadvantaged communities.
- b. College and university campuses whose property (and trees) is not managed or owned by a municipality.
- c. Private property other than what is noted as eligible.

7. Match Requirement

Match is the portion of project expenditures not paid for with grant funds. No match funds are required in this grant.

8. Estimates

Estimates are important for the applicant to understand the cost of the project and request a reasonable grant amount. At least one estimate (or “quick quote”) on company letterhead is required as part of the application process. When soliciting estimates, the scope of work should be in line with Urban and Community Forestry

(UCF) grant program guidelines and quotes should be based on the same information so you can compare equally. For secondary or smaller items in the budget (excluding salary and fringe), please upload estimates for any individual item or service over \$1,000. If the municipality will be doing the work, the cost of that work by staff can be included as a quote.

9. 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 offer or 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 Urban Forestry, DEC Albany: urbanforestry@dec.ny.gov.

10. 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.
- If additional funds become available or if the total requested amount for all eligible projects is less than the funding available, DEC reserves the right to award additional funding above the requested amount among all eligible projects.
- Award the next highest scoring application in the event a grantee fails to negotiate a grant contract with the DEC within 60 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.
- Not fund projects that are determined to be inconsistent with NYS's Smart Growth Public Infrastructure Policy Act.
- Not fund projects that are determined to be inconsistent with the Climate Leadership and Community Protection Act or its implementing regulations.
- 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 50 percent of the total points.
- Disqualify any applicant who has demonstrated poor past conduct or 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.

II. Project Types and Standards

All work in both project types (grant opportunities) should follow the ANSI 300 and Z133 standards for tree care operations. ANSI 300 and Z133 standards are available from the International Society of Arboriculture and the Tree Care Industry Association, respectively, for a fee. Certified professionals will have access to their industry standards.

UCF applications must be for one of the following project types ("opportunities" in Grants Gateway):

- UCF4 – Community Forest Management Plan Implementation
- UCF5 – Ash Tree Management

1. Community Forest Management Plan Implementation – UCF4

The goal of this project is to complete work identified in the CFMP and professional tree inventory to help manage the community forest proactively, rather than reactively. All pruning must be supervised by an ISA Certified Arborist. Work should focus on highest priority trees.

Eligible CFMPs must have been completed or updated in the last 8 years (2016 or later) and be approved by DEC's UCF program. Updating the tree inventory the management plan is based on within the last 8 years qualifies as an updated CFMP as long as the updated information meets the minimum inventory requirements. The inventory must be current enough to estimate the scope and cost of work.

Eligible CFMPs must have:

- A vision, goals and objectives for the long-term community forest and a strategy for how to care for the community trees.
- management needs i.e., pruning rotations, removal, maintenance needs, and prioritization of workload.

Eligible activities outlined in the CFMP include:

- Pruning, tree and stump removal, young tree care (pruning, watering, adding tree guards)
- Tree planting, including site preparation
- Invasive species management if specific actions are listed in the CFMP
- Wood utilization

The CFMP must be based on tree inventories supervised by an ISA Certified Arborist, are at least 95% accurate, and must include at least the following minimum information:

- Column headings and description of column content
- Measurement of tree DBH (diameter at breast height) in inches
- Tree species
- Street address location
- GPS coordinates
- Location and size of empty and/or potential tree planting sites
- Location of stumps
- Maintenance recommendation (prune, train, remove, etc.)
- Crown condition and/or percentage of crown dieback (excellent to dead rating)

Applications that include Tree Maintenance activities must include the following in addition to other eligibility requirements in order to pass Application Eligibility:

- Upload a copy of your complete tree inventory or the portion of the inventory that covers the project.
- Project location (park or street names and map)

Tree Planting activities must use best management practices (see Appendix 1) proper site/tree selection, site preparation, planting and young tree care.

- Plantings should be supervised by professionals (trained DPW staff, ISA certified Arborist, Nursery and Landscape professional, or other appropriate professional) according to Appendix 1. Recommended Minimum Standards for NYS DEC Tree Planting Projects.
- Planting projects must include a 5-year planting and maintenance plan to ensure trees are planted correctly and that the plantings will be successful in the long-term (right tree/right place, inspection of

roots and trees on receipt, planting depth, regular inspections, watering, structural pruning, stake removal, etc.).

- 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)).
- 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 (see Appendix 2).
- If volunteers are participating in tree planting, they must be provided training.
- Tree planting projects require a minimum survival rate of 95% at the time of DEC forester inspection prior to final reimbursement.
- A 1-year warranty for trees/plantings by contractors is recommended.

Tree Planting applications must include the following in addition to other eligibility requirements in order to pass Application Eligibility:

- 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.
- Provide an appropriate list of tree species for the project developed from resources such as listed below, and approved by a DEC urban forester, ISA arborist, landscape architect, Cornell Coop Extension Educator, or from a current (updated or used in the last 5 years) community forest management plan developed by a certified arborist. Explain who approved the list or upload their email showing approval:
 - [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>)
 - [Tree selection for urban and suburban landscapes, U of Florida](https://hort.ifas.ufl.edu/woody/selection.shtml) (<https://hort.ifas.ufl.edu/woody/selection.shtml>)
 - 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)).

2. Ash Tree Management – UCF5

The goal of this project is to manage community ash trees that could pose safety risks. A tree inventory and CFMP are NOT required for this project. In order to obtain a reasonable estimate for work to be performed, the following information must be considered:

- Number of trees
- Approximate size in diameter AND height
- Condition
- Work to be performed, i.e., removal (including stump grinding and cleanup or not) or treatment, pruning, ash treatment.

Where ash trees are being removed, replacement trees should be planted where appropriate and according to all planting requirements listed above (page 7-8 of the RFA) and in Appendix 1. Funding will not be provided for ash trees in woodland areas that pose no safety or liability risk to people or property.

III. Eligibility of Budget Costs

1. UCF Ineligible Costs

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

- Indirect/Overhead: Costs including accounting fees, insurance, interest, legal fees, 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.
- Other state or federal funding: Costs paid from other state or federal funding sources are not eligible for reimbursement.
- Equipment: drones
- Non-tree Plants: Shrubs, vines, perennials, and annuals.

2. Reimbursable Costs

- 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 final workplan (DEC 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. **Administrative costs will not exceed twenty percent (20%) of total grant amount.**
- Personal Services – Fringe: 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.
- 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. At least one quote should be uploaded to the application for any equipment more than \$1,000.
- Other Expenses: Includes supplies and materials directly required to implement the project, the cost of publicizing the project, appropriate construction publications, or informational brochures about the project. Educational resources, such as training, that enables DPW, tree board members and volunteers to do their work are allowed.

IV. Program Specific Questions and Application Review

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

Note: All required and optional accompanying documents must be uploaded in the Pre-Submission Uploads section of the application. Only one PDF per item can be uploaded. Uploading a second file will overwrite the first.

A. Eligibility Questions

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.**

Choose a simple and descriptive title for your project (Town of XYZ CFMP Implementation, or City of ABC Ash Tree Removal).

1. Project Type: Did the applicant choose the appropriate opportunity number for their project type (UCF4 – Community Forest Management Plan Implementation; or UCF5 – Ash Tree Management)?

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

3. Eligible Project Location: Is the project on eligible land types as described in I.6. Eligible Project Locations?

4. Ownership/Site Permission: Did the applicant provide appropriate documentation regarding owner consent of the project as per the following criteria?

- a) If the project area (right-of-way, parks) is owned by the applicant, nothing needs to be uploaded.
- b) If project area is not owned by the applicant, a municipal endorsement (Appendix 4) or agreement for the project to be conducted by the applicant and signed by the owner must be uploaded as one PDF in Pre-Submission Uploads.

5. Other Funding: Is the proposed project already receiving funds from another New York State or federal assistance program for the same activities as those being proposed in this application? Note: this is the only Eligibility question in which a “No” answer = pass and “Yes” = fail.

6. Tree List: Depending on the projects, multiple lists of trees (planting, maintenance, removals) may need to be provided. Only one pdf can be uploaded for each question.

a. **Tree Planting activities (both projects):** Did the applicant provide a list of the tree species to be planted, approved by an appropriate professional such as a DEC urban forester, ISA arborist, or other urban forestry professional? Include proof of approval and credentials of professional.

b. **Maintenance activities under the Community Forest Management Plan Project:** Did the applicant upload a tree inventory, actively managed within the last 8 years, that includes all work in the project area?

c. **Ash Tree Management:** Did the applicant upload a list of trees to be managed as per II. Project Descriptions, 2. Ash Tree Management?

7. Community Forest Management Plan (CFMP). For CFMP Implementation projects, did the applicant upload the CFMP?

8. Disadvantaged Community: Did the applicant upload a legible map(s) clearly identifying the project area(s) is located in a disadvantaged community as identified in I. 6. Eligible Project Locations, #2?

9. Project Estimates: Has the applicant uploaded at least one estimate for each expense greater than \$1,000 (purchase of trees, consultant/contractor, equipment) on letterhead with company address and credentials? ISA arborists should include ISA certification number.

10. Project Completion Time Frame: Will the project be completed within a three-year time frame?

11. Sexual Harassment Prevention Certification: Did Applicant sign and upload the Sexual Harassment Prevention Certification form (Attachment S) or upload a signed statement, 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. Do not upload your policy.

12. Executive Order No. 16: This Order provides that “all Affected State Entities are directed to refrain from entering into any new contract or renewing any existing contract with an entity conducting business operations in Russia.” The complete text of Executive Order No. 16 can be found at <https://www.governor.ny.gov/executive-order/no-16-prohibiting-state-agencies-and-authorities-contracting-businesses-conducting>. The Executive Order remains in effect while sanctions against Russia imposed by the federal government are in effect. Accordingly, vendors who may be excluded from award because of current business operations in Russia are nevertheless encouraged to respond to solicitations to preserve their contracting opportunities in case the sanctions are lifted during a solicitation or even after award in the case of some solicitations. As defined in Executive Order No. 16, an “entity conducting business operations in Russia” means an institution or company, wherever located, conducting any commercial activity in Russia or transacting business with the Russian Government or with commercial entities headquartered in Russia or with their principal place of business in Russia in the form of contracting, sales, purchasing, investment, or any business partnership. Vendors responding to this solicitation are required to complete and submit the form entitled “Certification Under Executive Order No. 16 Prohibiting State Agencies and Authorities from Contracting with Businesses Conducting Business in Russia”, attached hereto in Pre-Submission Uploads.

B. Scored Application Questions

If the application meets all eligibility pass/fail criteria, it will be further evaluated and scored by a review team in accordance with section IV.C. Application Evaluation and Method of Award.

Note: questions and question numbers in this RFA may not correspond exactly to those in Grants Gateway.

1. Project Description, Planning and Timeline

Describe the project in as much detail as possible, including:

- Who will be involved in the planning, including internal departments and outside groups (i.e.: DPW, planning staff, parks department, tree board, not-for-profits, etc.)
- Who will implement the project?
- How will the project be implemented?
- For Community Forest Management Plan (CFMP) Implementation, explain the status of the CFMP and the inventory it is based on.
- Show how it will be completed within the 3-year grant period.
- If this grant project includes hiring a new staff position to execute this project, include a detailed job description.

- | | |
|---|---------|
| (A) The project is thoroughly planned out and detailed, a detailed timeline is included, and focuses on high priority work in the management plan. | 20 pts. |
| (B) The project is well planned with sufficient details, a sufficient timeline is included, and addresses high priority work in the management plan. | 15 pts. |
| (C) The project is adequately planned but missing some details, some high priority work in the management plan is included, and a minimal timeline is included. | 7 pts. |
| (D) The project is inadequately described, no high priority work listed in the management plan is included, and/or the timeline is unclear. | 0 pts. |

2. Outreach Strategy

Communities and residents affected by this project should be made aware of this project prior to and during implementation and given an opportunity to be engaged when possible. For instance, residents could be consulted whether they want a tree planted in front of their home and be given a choice of species from an approved list. Describe how the residents and community affected will be notified of this project and what opportunities there will be for engagement.

- (A) Applicant clearly described an outreach strategy that will respectfully inform the community members about this project and describes reasonable opportunities for community involvement. 12 pts.
- (B) Applicant described an adequate outreach strategy to inform community members and some opportunity for community involvement. 8 pts.
- (C) Some public outreach effort was described that may or may not reach community members 4 pts.
- (D) No public outreach and/or education efforts were described. 0 pts.

3. Current Inflation Reduction Act (IRA) Recipients

Is the applicant listed as the “Partner” (awardee) in the list of UCF 2023 IRA Grant Allocations?
(<https://www.fs.usda.gov/managing-land/urban-forests/ucf/2023-grant-funding> see Grant Awards By State)
Applicants that are not listed as the “Partner” will receive extra points.

- (A) No, the applicant is NOT listed as the “Partner” in the list of UCF 2023 IRA Grant Allocations. 8 pts.
- (B) Yes, the applicant IS listed as the “Partner” in the list of UCF 2023 IRA Grant Allocations. 0 pts.

4. Cost Effectiveness - Budget – Salary, Contractual, Equipment etc.

Complete all applicable fields in the Grants Gateway Expenditure Budget. All grant funds must be accounted for in the Budget section. The Narrative sections require expenditures to be explained including purpose of expenses (salaried person’s roles, equipment, outreach, etc.). Equipment and outreach materials should be itemized in the Summary section. Items more than \$1,000 require estimates/quotes to be included. Include details of materials to be purchased such as mulch, stakes, ties, guards, soil, structural soil, Silva Cells, pervious pavement, and materials necessary for project. DEC will review and assess proposed projects based on the cost-effective nature and value of the proposal. Projects with clearly written budgets that are deemed cost effective, only include eligible costs, and demonstrate value for cost will be approved. 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.

a. Cost Effectiveness 1 – Budget Details

How detailed is the budget? Is the budget clear? Are quotes totaled and easy to read?

- (A) The budget contains an exceptional level of detail to assess cost-effectiveness. 10 pts.
- (B) The budget contains a good level of detail to assess cost-effectiveness. 7 pts.
- (B) The budget contains a fair level of detail to assess general cost-effectiveness. 3 pts.
- (C) The budget does not contain an adequate level of detail to assess cost-effectiveness. 0 pts.

b. Cost Effectiveness 2 – Reasonable, Eligible, and Value of Expenses

Does the budget contain reasonable and eligible expenses for implementing the project?

- | | |
|--|---------|
| (A) All expenses are included in the budget and only reasonable and eligible implementation expenses as detailed in the RFA are included in the budget. The value relative to the cost is very good. | 10 pts. |
| (B) Mostly reasonable implementation expenses are included in the budget. The value relative to costs is good. | 7 pts. |
| (D) Multiple unreasonable expenses are included and/or applicant did not provide adequate detail. | 3 pts. |
| (E) Many ineligible or unreasonable expenses are included and/or applicant did not describe need for them. | 0 pts. |

Workplan

The workplan contains 3 sections: **all required**

1. Project Summary
2. Organizational Capacity
3. Project Details- Objectives, tasks and performance measures

(Numbers 1 and 3 become part of the contract if awarded)

5. Project Summary. Even though the Grants Gateway says to provide a high-level overview of the project, use the Project Summary to describe the entire project. It may be helpful to copy and paste the answers from the previous questions.

6. Organizational Capacity

Describe the staffing, qualifications, and relevant experience of the applicant to support the project. Describe the knowledge, skills, and/or experience that both the applicant and key staff members possess to successfully implement the proposed project.

- | | |
|--|--------|
| (A) The applicant has clearly documented they have the organizational capacity and experience to execute the proposed project successfully. | 4 pts. |
| (B) The applicant has provided good information about their organizational capacity and experience to execute the project, but some information is missing or more detail is needed. | 2 pts. |
| (C) The applicant provided little or no detail about their organizational capacity and experience to successfully implement the project. | 0 pts. |

7. Objectives, Tasks and Performance Measures

The objectives, tasks and performance measures become part of the contract if awarded.

Complete the Projects Detail section with objectives, tasks and performance measures that cover all deliverables. See the Workplan – Project Details worksheet in the Inflation Reduction Act RFA.

- | | |
|---|--------|
| (A) The objectives, tasks and performance measures cover all project deliverables and expenses. | 6 pts. |
| (B) The objectives, tasks and performance measures cover most deliverables and expenses. | 4 pts. |
| (C) The objectives, tasks and performance measures are missing some important deliverables or expenses. | 2 pts. |
| (D) The objectives, tasks and performance measures provided little or no information | 0 pts. |

C. 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 according to this section. All scores will be averaged to determine an applicant's final score. A final score of at least 50% of total points is required to be considered awardable. Awards will be made starting with top scoring applications and moving down each UCF 4 and 5 list until available funding is exhausted or there are no additional applications that qualify for funding.

Tie Breaker: If there is a numerical tie between multiple applications within a funding category, the order in which applications were received will determine placement on the ranked list, with the earliest application placing highest.

V. Grants Gateway Instructions

All applicants must apply through the NYS Grants Gateway. This includes answering questions and providing accompanying documents. Paper applications will NOT be accepted.

See Section I.3. Inquiries and Contact Information, for links to helpful Grants Gateway resources.

GRANTS GATEWAY APPLICATION ROLES: The Grants Gateway allows for several “permission levels” or “roles.” Roles cannot be merged. If an individual requires multiple roles, they will receive a separate account login for each role.

“Grantee” role can initiate, edit, or save a grant application. This user can NOT submit the application.

“Grantee Contract Signatory” role can initiate, edit, save, and submit (sign) a grant application.

“Grantee System Administrator” role can initiate, edit, save, and submit (sign) a grant application.

“Grantee Delegated Administrator” role creates users and assigns roles. This user can NOT initiate an application.

Applicants and Submitters (terms used in Grants Gateway) are requested to keep roles independent in case of staff changes. 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.

Each grantee organization is required to have at least one Grantee Delegated Administrator, for the purpose of creating other user accounts. Each grantee organization is required to have at least one Grantee System Administrator or a Grantee Contract Signatory, for the purpose of submitting the application for review, and for signing the contract should the grantee receive an award.

The Grantee role is designed for a grant writer, municipal or NFP staff or another third party. The Grantee role has capabilities limited to creating, editing, and saving the grant application. Grantees are not able to submit the application.

All applicants must be registered with Grants Gateway to open and submit an application.

A. Finding Urban and Community Forestry Applications

1. **Login.** Click the Grants Gateway Login button near the top left of the home page, then login 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 and Community Forestry grant opportunities, Type “Forestry” 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.
 - A. Use Grants Gateway Opportunity **ID No: DEC01-UCF4-2023** for Community Forest Management Plan Implementation in Disadvantaged Communities.
 - B. Use Grants Gateway Opportunity **ID No: DEC01-UCF5-2023** for Ash Tree Management in Disadvantaged Communities.

B. Creating an Application

1. Once logged in to the Grants Gateway, click on the **Forms Menu** link near the top of the page and next to a green button.
2. Enter the required information into the following sections:
 - a. Program Information
 - b. Work Plan
 - c. Expenditure Budget

Information may be entered into the forms sections 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. Application Components in the Grants Gateway Forms Menu

1. Program Information
 - a. 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, 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 of the applicant
 - 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 (<https://www.dec.ny.gov/24.html>).
 - b. Program Specific Questions
 - Project Title: Enter a title that clearly identifies the project e.g., *City of Albany Tree Planting*.
 - The numbered "questions" in this RFA may not match up with the numbers in the actual online application.
 - The questions may have a yes/no choice or a text box.
 - **All required and optional accompanying documents must be uploaded in the Pre-Submission Uploads section of the application. Only one PDF per item can be uploaded with a maximum size of 10MB. Uploading a second file will overwrite the first.**
2. Expenditure Budget

Account for all grant funds in this section and use the narrative fields to explain/justify each expense.
3. Work Plan
 - a. Work Plan Overview Form
 - Work Plan Period: Enter a 3-year timeframe for the entire project. This date will be finalized after submission.
 - Project Summary: The Grants Gateway text says to enter a high level overview of the project. We want a full, detailed workplan narrative. You can copy and paste the text from the text boxes you already filled out.
 - Organizational Capacity: Describe the staffing, qualifications and ongoing staff development/training activities, and relevant experience of the provider organization to support the project.

- b. Work Plan Properties (objectives, tasks and performance measures). The purpose of the Work Plan Properties is to build a list of activities and deliverables that will become the part of the State contract and progress reports going forward.
 - 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 at least one Task and every Task must have at least 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 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. 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.
4. Pre-Submission Uploads
 - a. All required and optional accompanying documents must be uploaded in the Pre-Submission Uploads section of the application. Only one PDF per item can be uploaded. Uploading a second file will overwrite the first. Fields are provided for required documents.
 - Disadvantaged Communities Map
 - Site Permission (if applicant does not own the property where the project will take place)/municipal endorsement
 - List of tree species
 - Project estimate(s)
 - Signed Sexual Harassment Prevention Certificate (Attachment S) Do not upload the policy.
 - Executive Order 16: Conducting Business with Russia
 - Partner letter
 - Other uploads – use this field to upload any documents that are useful for describing the project to the application reviewers.
 - b. Pre-Submission Uploads is also where you can DOWNLOAD a variety of documents and forms as follows:
 - Attachment S: Sexual Harassment Prevention Certification Form. Must be signed and uploaded.
 - Executive Order 16: Conducting Business with Russia
 - Work Plan Worksheet: Use this template in MS Word to draft your Work Plan Summary (narrative) and Work Plan Properties (objectives, tasks and performance measures).
 - Sample Municipal Endorsement

D. Submitting an Application

1. Login to the Grants Gateway with one of the following Grants Gateway roles.
 - Grantee Contract Signatory
 - 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. When the application is ready for submission, click the Status Changes tab, then click the “Apply Status” button under “Application Submitted.”

VI. What to Expect If You Receive an Award

1. Notification of Award and Initial Steps

Applicants selected to receive a grant award will be notified by email.

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.

Awardees will be asked to submit insurance certificates appropriate for the project, including Workers Compensation and Disability (or exemptions), plus Liability with endorsements, in order to complete the MCG.

All projects must be completed and invoiced within a three-year contract term. Awardees should not begin their projects or incur costs until an MCG has been fully approved by DEC, and if applicable, approved by the Attorney General and the State Comptroller.

2. 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 contract 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 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 category of expense as defined in the MCG Attachment B-1 Expenditure Based Budget, may accompany the quarterly progress reports. These expenditure reports must correlate to vouchers submitted for payment. Approved project-required permits and permissions must be in place to submit a reimbursement request.
- A DEC inspection/s will be required to confirm all work was completed in accordance with the approved project work plan.
- A final progress 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 must be submitted and approved by DEC.
- Tree planting projects require a minimum survival rate of 95% at the time of DEC forester inspection prior to final reimbursement. Inspections should occur after at least one growing season. If planting in last quarter of the grant, final inspection may not occur until after a growing season to determine survival rate.
- Fifteen percent (15%) of the grant amount will be held as retainage until project completion. Any final or interim payment request submitted before completion of all performance measures will be reduced, such that 15% of the grant amount remains unpaid. Once all performance measures have been achieved and the project passes DEC urban forester inspection, any withheld retainage will be released for payment.
- 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."

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

Applicants selected to receive a grant award will be required to execute an MCG within 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 contract term of the MCG to be considered eligible for reimbursement. 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 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. 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.

e. Minority/women Business Enterprises (M/WBE) and Equal Employment Opportunities (EEO) Requirements

The Department is required to implement the provisions of New York State Executive Law Article 15-A and 5 NYCRR Parts 142-144 ("MWBE Regulations") for all State contracts with a value (1) in excess of \$25,000 for labor, services, equipment, materials, or any combination of the foregoing or (2) in excess of \$100,000 for real property renovations and construction.

Applicants subject to executing a future NYS Master Contract for Grants agree, in addition to any other nondiscrimination provision of the MCG and at no additional cost to the Department, to fully comply and cooperate with the Department in the implementation of New York State Executive Law Article 15-A. These requirements include equal employment opportunities for minority group members and women ("EEO") and contracting opportunities for certified minority and women-owned business enterprises ("MWBEs"). Contractor's demonstration of "good faith efforts" pursuant to 5 NYCRR §142.8 shall be a part of these requirements. These provisions shall be deemed supplementary to, and not in lieu of, the nondiscrimination provisions required by New York State Executive Law Article 15 (the "Human Rights Law") or other applicable federal, state or local laws.

Failure to comply with M/WBE and EEO requirements may result in a Department finding of non-responsiveness, non-responsibility and/or a breach of contract, leading to the withholding of funds or such other actions, liquidated damages or enforcement proceedings.

Please refer to the NYS Master Contract for Grants - Article IV (J) and Attachment A-1 Program Specific Terms and Conditions - Article X, to review M/WBE and EEO requirements. Required M/WBE and EEO related forms can be found at <http://www.dec.ny.gov/about/48854.html>

- The local government is responsible for designating someone to serve as their Affirmative Action representative. The governing body should make this designation through official means.
- A list of certified M/WBE enterprises can be obtained via the internet from the NYS Department of Economic Development at <https://ny.newnycontracts.com/FrontEnd/VendorSearchPublic.asp?TN=ny&XID=9885>
- Contracts which meet the established M/WBE-EEO thresholds require the Contractor to submit Quarterly Reports, http://www.dec.ny.gov/docs/administration_pdf/quarterlyversion7.pdf, detailing payments made by the Prime Contractor to NYS Certified M/WBEs.

- The following M/WBE-EEO "Fair Share" goals are established as follows:

Minority and Women Owned Business Enterprise (MWBE) Overall Participation Goals:

Construction/Engineering – 0%

Commodities – 0%

Services/Technologies – 0%

Equal Employment Opportunity (EEO) Participation Goals:

EEO Minority Workforce Participation Goals (DEC Regions 1- 9) 0%

EEO Female Workforce Participation Goals (DEC Regions 1-9) 0%

DEC M/WBE Compliance

NYS Department of Environmental Conservation

Bureau of Contract and Grant Development/MWBE Program

625 Broadway, 10th Floor

Albany, New York 12233-5028

Phone: (518) 402-9240

Fax: (518) 402-9023

f. Service-Disabled Veteran-Owned Business Participation Requirements

The contractor must make good faith efforts to subcontract a goal of 0% of the contract amount to New York State Certified Service-Disabled Veteran-Owned Businesses (SDVOBs), for purposes of providing meaningful participation by SDVOBs.

g. 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.

h. 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>).

i. Executive Order 16

Executive Order No. 16 provides that “all Affected State Entities are directed to refrain from entering into any new contract or renewing any existing contract with an entity conducting business operations in Russia.” The complete text of Executive Order No. 16 can be found at <https://www.governor.ny.gov/executive-order/no-16-prohibiting-state-agencies-and-authorities-contracting-businesses-conducting> . The Executive Order remains in effect while sanctions against Russia imposed by the federal government are in effect. Accordingly, vendors who may be excluded from award because of current business operations in Russia are nevertheless encouraged to respond to solicitations to preserve their contracting opportunities in case the sanctions are lifted during a solicitation or even after award in the case of some solicitations. As defined in Executive Order No. 16, an “entity conducting business operations in Russia” means an institution or company, wherever located, conducting any commercial activity in Russia or transacting business with the Russian Government or with commercial entities headquartered in Russia or with their principal place of business in Russia in the form of contracting, sales, purchasing, investment, or any business partnership. Vendors responding to this solicitation are required to complete and submit the form entitled “Certification Under Executive Order No. 16 Prohibiting State Agencies and Authorities from Contracting with Businesses Conducting Business in Russia.”

j. Sexual Harassment Certificate

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. After review and consideration of such statement, the Department may reject the application or may decide there are sufficient reasons to accept the application without such 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.

VII. Appendices

APPENDIX 1 - Recommended Minimum Standards for NYS DEC Tree Planting Projects

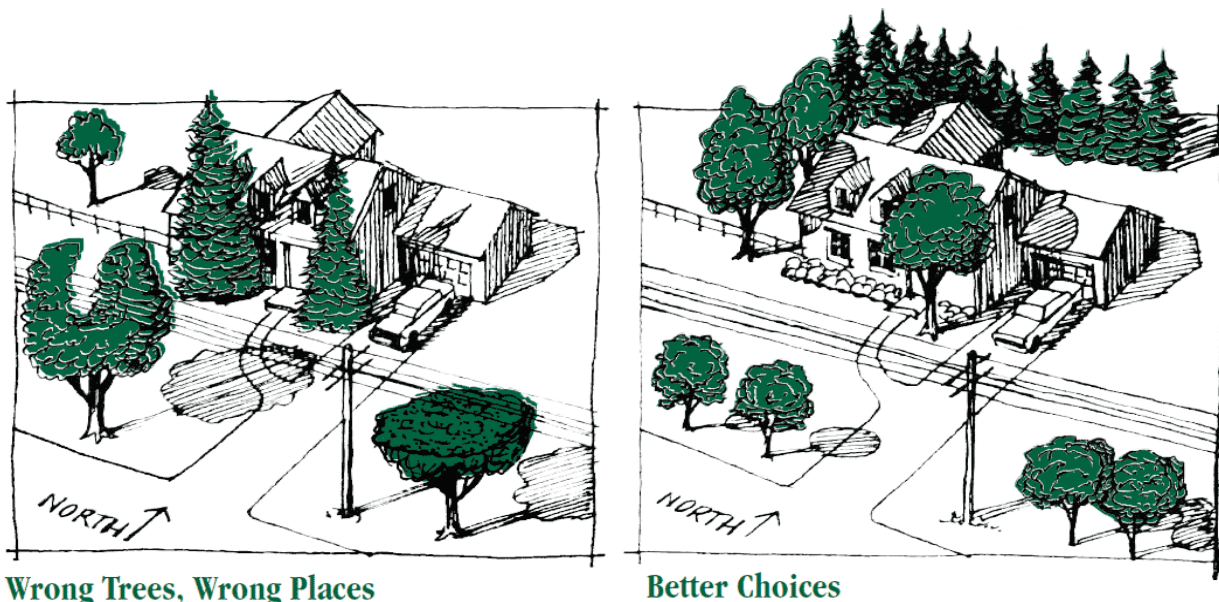
The following are minimum standards for DEC Urban and Community Forestry tree planting grant projects. Where local ordinances and guidelines require more stringent standards, use the more stringent standards. All tree planting work should be supervised by a qualified professional and follow the ANSI A300 standards for tree planting.

Planning:

Planting trees is a major investment and by selecting the right tree for the right place, one can save time, money and potential problems down the road. Proper planning is crucial for successful projects. A detailed tree planting plan/Scope of Work 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 NewYork811 (<https://newyork-811.com/>) in NY City and Long Island and contact UDIG.NY (<https://udigny.org/>) for the rest of the state. 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>

Site Selection:

1. Sites should be inspected prior to planting. Avoid potential conflicts with utilities, buildings, lines of sight and other infrastructure. Other above ground characteristics to consider are light, slope, wind and salt exposures. The soil at the planting site should be analyzed and tested for pH, structure, texture, density, nutrients, and percolation. Tree species selected for planting should be appropriate for the selected planting site. Please remember, planting a tree is a long-term investment. Proper site selection/preparation and species selection is vital to a successful project.
2. 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.
3. Trees will not be planted within 30 ft. of an intersection or 15 ft. of driveways and alleys.
4. Trees will not be planted within 10 ft. of utility poles or hydrants.
5. 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.
6. Only trees with mature heights less than 30 ft. should be planted under or near power lines.



Wrong Trees, Wrong Places

Better Choices

Source: Arbor Day Foundation

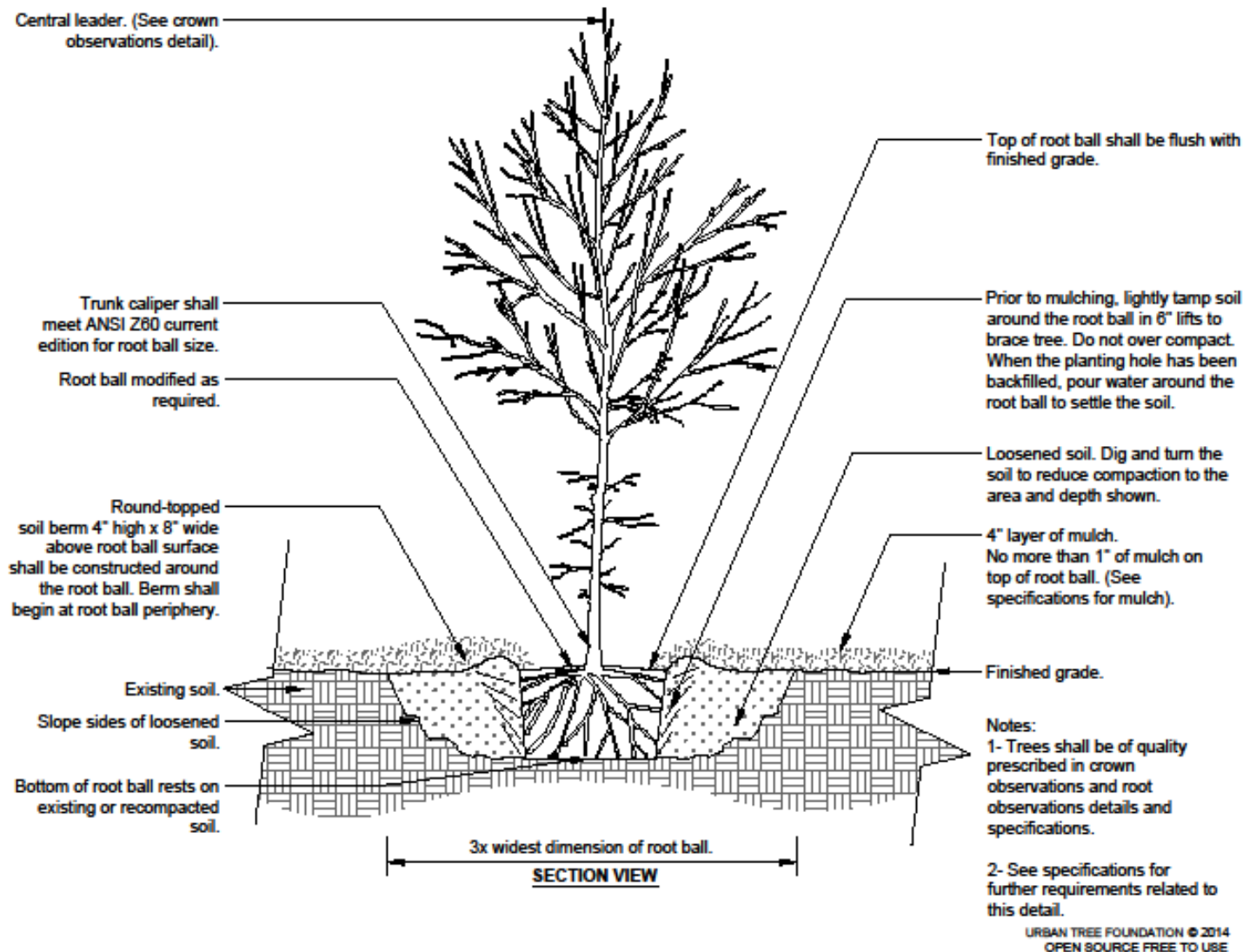
Tree Species Selection:

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/education/american-nursery-stock-standards/>).
4. It is recommended that no species make up more than 10% of the entire urban forest population.

Planting Standards:

1. Inspect nursery stock at time of delivery for damage and poor quality.
2. Planting holes will be dug 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 as wide as the root ball.
3. Trees will be planted no deeper than previously grown with allowance for settling. The root flair should be at or slightly above ground level.
4. Strings and twine will be removed from trunk of tree. Burlap and wire baskets will be removed or rolled down into hole.
5. Backfill with existing soil when suitable. Avoid using excessive amounts of organic matter.

6. When sensitive species are exposed to direct sun, wrap lower trunk with a tree wrap. Remove wrap after first growing season.
7. 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.
8. Only dead, damaged or poorly located branches will be removed using proper pruning techniques.
9. 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.
10. 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.
11. In caring for and handling trees prior to planting, all precautions customary in good trade practice will be taken.
12. A minimum one-year warranty is recommended for trees planted by a contractor.



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.

SIZE OF NURSERY STOCK	IRRIGATION SCHEDULE FOR	
	VIGOR	SURVIVAL
Less than 2 inch caliper	Daily: 2 weeks Every other day: 2 months Weekly: until established	Twice weekly for 2-3 months
2-4 inch caliper	Daily: 1 month Every other day: 3 months Weekly: until established	Twice weekly for 3-4 months
greater than 4 inch caliper	Daily: 6 weeks Every other day: 5 months Weekly: until established	Twice weekly for 4-5 months

Source: Planting and Establishing Trees- Gilman and Sadowski, University of Florida IFAS Extension

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:

- How to Plant a Tree, NYS DEC webpage (<http://www.dec.ny.gov/lands/5303.html>)
- Trees are Good from ISA (<http://www.treesaregood.org/>).
- Urban Horticulture Institute from Cornell University (<https://blogs.cornell.edu/urbanhort/>)
- University of Florida- IFAS Planting Trees in Landscapes (<https://hort.ifas.ufl.edu/woody/planting.shtml>)
 - Information includes: urban design, site selection, species selection, nursery stock selection, planting details and specifications, pruning and maintenance
- Positively the Pits! Successfully strategies for sustainable streetscapes from University of Massachusetts (<http://www.umass.edu/urbantree/publications/pits.pdf>), November 2003 issue of TCI 7/1/04.

Revised November 18, 2022

APPENDIX 2 – NYS DEC Urban Foresters

DEC Region	Counties/Areas Served	Forester Name	Email
1	Suffolk	John Wernet	john.wernet@dec.ny.gov
1	Nassau and Suffolk	Mike Fiorentino	mf628@cornell.edu
2	NYC all boroughs	Tim Wenskus	timothy.wenskus@dec.ny.gov
3	Dutchess, Orange, Putnam, Rockland, Sullivan, Ulster, Westchester	George Profous	george.profous@dec.ny.gov
4	Delaware, Greene, Otsego	Nick Shaw	Nicholas.shaw@dec.ny.gov
4	Albany, Columbia, Montgomery, Rensselaer, Schenectady, Schoharie	Tyler Levy	Tyler.levy@dec.ny.gov
5	Clinton, Essex Franklin	Bryan Ellis	Bryan.ellis@dec.ny.gov
5	Fulton, Hamilton	Seth Thomas	Seth.thomas@dec.ny.gov
5	Fulton, Hamilton, Saratoga, Warren, Washington	Amy Mackenzie	Amy.mackenzie@dec.ny.gov
6	Herkimer, Oneida	Dan Welc	dan.welc@dec.ny.gov
6	St. Lawrence	Steve Sherwood	steven.sherwood@dec.ny.gov
6	Jefferson, Lewis	Mike Giocondo	michael.giocondo@dec.ny.gov
7	Cortland, Onondaga, Tioga	Matt Swayze	matthew.swayze@dec.ny.gov
7	Cayuga, Tompkins, Oswego	John Graham	john.graham@dec.ny.gov
7	Chenango, Madison	Brian Burlew	brian.burlew2@dec.ny.gov
7	Broome	Nate Funk	nathan.funk@dec.ny.gov
8	Genesee, Monroe, Orleans, Wayne	Gary Koplun	garrett.koplun@dec.ny.gov
8	Ontario, Livingston, Seneca	Brice June	brice.june@dec.ny.gov
8	Chemung, Schuyler, Yates	Pat Lafler	patrick.lafler@dec.ny.gov
8	Steuben	Cody Lafler	cody.lafler@dec.ny.gov
9	Allegany, Cattaraugus, Chautauqua, Erie, Niagara, Wyoming	Nate Morey	nate.morey@dec.ny.gov

APPENDIX 3 - 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 4 – Sample Objectives, Tasks and Performance Measures

Objective 1. Priority Tree Maintenance as per Community Forest Management Plan

Task 1.1 contract for work to be completed

Performance Measures 1.1.1 Bid out project and provide DEC with accepted bid which includes appropriate credentials of company doing work

1.1.2 Meet with contractor and DEC urban forester to clarify work to be done and revise work list if necessary, with DEC approval.

1.1.3 Provide DEC urban forester with running list of work completed for potential interim inspections.

1.1.3 update tree inventory with completed work.

1.1.4 Meet with DEC Forester for final inspection.

Objective 2. Outreach

Task 2.1 Notify residents of impending work

PM 2.1.1. Provide letters to all residents in area of work notifying them of impending work and inviting them to a local public informational meeting about the project.

PM 2.1.2. Hold a local public informational meeting about the project. Facilitate local input on how/were to replace removed trees, including species selection.

PM 2.1.3. Provide signage or other information during tree work informing residents of

1. Project funded by the USDA Forest Service and Federal Inflation Reduction Act, through the NYS DEC Urban and Community Forestry Program.
2. Who the grantee contact is if the public has questions.