



**Department of  
Environmental  
Conservation**

# REQUEST FOR APPLICATIONS

## **2022 Urban and Community Forestry Grants Program**

### **Tree Planting in Disadvantaged Communities after Ash Tree Loss**

#### **Application Deadline:**

2:00 pm, Tuesday, May 30, 2023 or when funding is exhausted, whichever occurs first.

**This is a special grant opportunity made possible in part by the federally funded 2022 State Urban Forest Resilience Grant and NYS Environmental Protection Fund (EPF). Round 16 of the regular Urban and Community Forestry Grant funded entirely by the NYS EPF will be available at a later date.**

#### **NYS Grants Gateway Opportunity ID**

- DEC01-TPDC-2022: Tree Planting in Disadvantaged Communities

#### **Available NYS Grants Gateway Training Webinar Information and Program Informational Session:**

Topic: NYS DEC Urban Forestry 2022 TPDC Application Webinar

Date: Friday, December 9, 2022

Time: **9:00 AM, estimated 2 hours**

Meeting Number: <https://meetny.webex.com/meetny/j.php?MTID=m85e4083f3cd979a06ec37022f524afbd>

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# I. General Information

The Department of Environmental Conservation (DEC) Division of Lands and Forests is pleased to announce available funding for tree planting in disadvantaged communities after ash loss. Funding for this 2-year grant comes from the US Forest Service and National Association of State Foresters through the State Urban Forest Resilience Grant and the NYS Environmental Protection Fund (EPF).

Grant projects must plant trees for urban and community forests in New York State. “Urban and community forest” for the purpose of this grant includes areas with street trees and park trees. Projects should be well thought out and include follow-up care for newly planted trees and be supported by the municipality and community as part of larger strategic goals and planning for the community. This Request for Applications (RFA) is intended to help applicants develop a successful and detailed application. Please read this RFA carefully and in its entirety.

## 1. Timetable of Key Events

• Thursday, December 1, 2022	Application Period Begins
• Friday, December 9, 2022	Grants Gateway Training Webinar and Program Informational Session (details on front page)
• Tuesday, May 30, 2023, 2:00pm	Question and Answer Period Ends - Rolling
• When funds are exhausted or Tuesday May 30, 2023 at 2:00 pm, whichever comes first.	Application Deadline
• Rolling	Award(s) Announced

## 2. Funding for Tree Planting in Disadvantaged Communities after Ash Loss

- Up to \$350,000 is available for this grant. Should newly-appropriated funding become available, DEC may make additional awards to fund applications received in this grant round.
- Funding for this grant opportunity is provided from the US Forest Service and National Association of State Foresters (through the State Urban Forest Resilience Grant), and the New York State Environmental Protection Fund.
- Applicants should request an appropriate and reasonable amount of funding for their project that is supported by documentation in their application, within the following limits:
  - The minimum for all requests is \$10,000.
  - **Large Community Grants:** Applicants may request up to \$75,000.
  - **Small Community Grants:** Applicants may request up to \$50,000.
- “Large Community” for the purposes of this grant includes all cities, towns and villages with a population of 65,000 or more. See Appendix 1 for the list of Large Communities.
- For applicants other than cities, towns and villages, the size of the maximum grant amount allowed is determined by the size of the community in which the project will take place.
- This is a reimbursement grant program and must be completed in a 2-year contract term. Awardees must submit reimbursement requests after the work is complete and contractors have been paid. Partial request reimbursement may be made 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](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](mailto: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 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. Applicants should check this document throughout the open grant period. Send questions to [urbanforestry@dec.ny.gov](mailto:urbanforestry@dec.ny.gov). Include "Tree Planting in Disadvantaged Communities" in the subject line of the email. Questions and answers will be periodically updated.

## 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>). 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.
- Applications will be reviewed and if approved, funding will be distributed in the order received until available funding is exhausted.
- 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. Lack of NFP prequalification at the time of submission will delay placement in the order of grant applications received.
- See section IV.D. 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](mailto: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 take place in disadvantaged communities in New York State that have lost ash trees due to the invasive insect, emerald ash borer (EAB). For the purposes of this grant, “disadvantaged communities” must be in areas identified as either **DEC Potential Environmental Justice Areas (PEJA)** or **Draft Disadvantaged Communities**. Both maps can be viewed in the DEC Info Locator <https://www.dec.ny.gov/pubs/109457.html> by clicking on the DEC Information Layers tab, then Public Involvement tab on the left side of the map and checking the boxes for both maps. Use the Tools tab to print the map.

Note: Cemeteries and parks that are not designated in a disadvantaged community in the above maps but are surrounded by or directly adjacent to a disadvantaged community are eligible project locations. Explain in the application how this location serves the disadvantaged community.

Projects must be implemented on non-state-owned public properties (municipal property, i.e., park trees and/or street trees within the right-of-way), privately-owned parkland that is open to the public (e.g., cemeteries), or alongside a state-owned roadway (within the right-of-way) where they provide a public benefit. Trees on school property may be included in municipal applications if the property is owned by the municipality or if there is a written agreement that states the municipality manages the trees.

The following project areas are not eligible in this grant:

- a. Woodlands or unmaintained park areas with or without recreational trails

- 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

There is NO match requirement for 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 \$2500. If the municipality will be doing the work, the cost of that work by staff can be included as one of the two quotes.

## 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 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 Urban Forestry, DEC Albany: [urbanforestry@dec.ny.gov](mailto: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 projects consistent with this grant opportunity.
- Make an award, in whole or in part, in accordance with the method of award, or withdraw the RFA at any time at 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 eligible application in the event a grantee fails to negotiate a grant contract with DEC within 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.
- 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.
- 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.

## II. Eligibility of Budget Costs

### 1. Ineligible Costs

The following costs are **not eligible** for reimbursement.

- 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.
- Non-tree Plants: Shrubs, vines, perennials, and annuals.

### 2. Eligible and 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. **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, health and disability insurance, unemployment, 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. **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.
- Trees may be removed in order to facilitate planting as part of this project, but removal may not be more than 20% of the total funded grant amount.
- 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.
- 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 and/or to enhance the spread of knowledge of community trees and the benefits they provide are allowed.

## III. Program Specific Questions, Eligibility Review

Applications will be reviewed on a pass/fail basis. **Applications that fail one or more of the following will be disqualified from further review.**

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.

**1. Disadvantaged Communities:** The applicant must upload a map from this RFA section I.6. Eligible Project Locations showing the boundaries of the project area are located in or, in the case of a park or cemetery, at least directly adjacent to a disadvantaged community. Did applicant upload a map from the sources listed in I.6. Eligible Project Locations?

**2. Applicant Type:** Is the applicant an eligible governmental or quasi-governmental entity or not-for-profit (NFP) corporation as defined in the RFA?

**3. Loss of Ash Trees:** Describe how the community has been impacted by emerald ash borer.

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

**5. 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, an endorsement (Appendix 4) or agreement for the project to be done by the applicant and signed by the owner must be uploaded as one PDF in Pre-Submission Uploads.

**6. Tree List:** 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](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)).

**7. Project Estimates:** Has the applicant uploaded at least one estimate for each substantial expense (purchase of trees, contractor, equipment) on letterhead with company address and credentials? ISA arborists should include ISA certification number.

## **8. Project Description, Planning and Timeline**

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

- Who/what departments and outside groups were involved in the planning (i.e.: DPW, planning, parks, tree board, not-for-profits, etc.)
- Who/what departments and other groups will implement project?



**9. Number of trees and location of plantings:** Explain:

- The Approximate number of trees to be planted.
- Does this project cover trees in the ROW of specific streets or a specific park? Where, approximately, will trees will be planted? Planting locations can be drawn from tree inventory vacant planting space lists as an example; definite locations can be identified post-award. Where possible, prioritize largest, best sites first. Will the planting sites need improvement such as soil remediation, soil amendments?

**10. Minimum Standards for Tree Planting:** How will you ensure Minimum Standards for NYS DEC Tree Planting Projects (Appendix 2) are followed? Any questions regarding tree planting standards or appropriate professionals should be directed to the urban forester in your DEC Regional Office (see Appendix 3). Tree planting projects require a minimum survival rate of 95% at the time of DEC forester inspection prior to final reimbursement.

**11. 5-Year Plan:** 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 (e.g., right tree/right place, inspection of roots and trees on receipt, planting depth, regular inspections, regular seasonal watering, structural pruning, stake removal, etc.).

**12. Local Partnership:** Partnerships are an important component of strong UCF programs. Each project must involve at least one partner in addition to the applicant. Describe the partner and their role in detail. A letter from the partner committing to their role in the project must also be uploaded. A partner is defined as a separate local entity that plays an active role in the project. If applicants have more than one partnership for a project, they should clearly describe each partner and their role, and upload a commitment letter from each partner in one document.

- Examples of partners: the applicant working with an advisory board or committee (such as a tree board or conservation committee), service organizations (Rotary, Lions Club, etc.), local civic or hobby groups (garden clubs, scouts, hiking clubs, student groups, etc.), churches, not-for-profit organizations, business development groups, schools, medical groups, or neighboring municipalities. Different departments within the same municipality do not qualify as a partner but should be included in the project description.
- Contractors hired for this project do not qualify as a partner.
- Partners must commit to an active role in the project by performing specific tasks or supporting parts of the project. This might include labor (tree planting, mulching, watering, maintenance), or performing outreach and education to the community (collecting community feedback, organizing an Arbor Day celebration, developing a social media campaign about the project, giving public presentations, providing training or workshops for volunteers and community members (right tree right site or young tree care), etc.).

Applicants should provide an explanation of:

- who the partner is, and what their role will be,
- how their role will enhance this project or the local community forestry program in general,

AND upload a letter from the partner (in Pre-Submission Uploads) on partner's letterhead describing their role and commitment to the project. The letter from the partner can be addressed to the applicant and must be signed by someone with the authority to commit the partner to this.

**13. Outreach, Education and Community Engagement:** Outreach, education and community engagement are important components of strong UCF programs. Community members affected by this project should be aware of and provided opportunities to be engaged in the project (i.e., community meetings, choice of trees, volunteer opportunities, tree care workshops and materials, education programs/walks/displays, Arbor Day events, etc.). Outreach and education can be conducted by the applicant or partners.

**14. 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?

**15. 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 the policy.

**16. 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.

### **17. 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 \$2,500 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 related tree-friendly 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 include all grant funds requested may not be eligible for funding.

### **18. Workplan Overview Form**

#### **1. Workplan Summary**

Even though the Grants Gateway says to provide a high-level overview of the project, use the Workplan Summary to describe the entire project. It may be helpful to copy and paste from the answers provided in the previous questions. This becomes part of the contract if awarded.

#### **2. Organizational Capacity**

The applicant should describe the knowledge, skills and/or experience that both the applicant and key members possess to successfully implement the proposed project.

#### **3. Project Detail - Objectives, tasks and performance measures**

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

Complete the Projects Detail section with objectives, tasks and performance measures that cover all expenses and deliverables. See Appendix 5 Work Plan in this RFA and the Work Plan worksheet in the Pre-Submission Uploads section of Grants Gateway.

## **IV. 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. **NOTE:** the costs related to developing and submitting an application are not reimbursable.

**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 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 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-TPDC-2022** to apply for this grant

## B. Creating an Application

1. Once logged in, from the Grants Gateway homepage, 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. Contract Information
  - b. Program Information
  - c. Work Plan
  - d. 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. Contract Information

- **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. 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>).

#### c. 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 the expense.

### 3. Work Plan

#### a. Work Plan Overview Form

- **Work Plan Period:** Enter a 2-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.”

## V. 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 and in an official DEC award letter on a rolling basis as Eligibility is verified.

**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 two-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](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-I 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.

## VI. Appendices

### APPENDIX 1 – Large Community Grants List

Projects within the communities listed below are eligible for grants up to \$75,000. These communities have been identified as having populations greater than 65,000, per the 2020 Census.

#### 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  
Southampton  
Smithtown  
Tonawanda

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

# APPENDIX 2 – Minimum Standards for NYS DEC Tree Planting Projects

NYS Department of Environmental Conservation

Urban and Community Forestry Grant Programs

Guidelines for Awardees

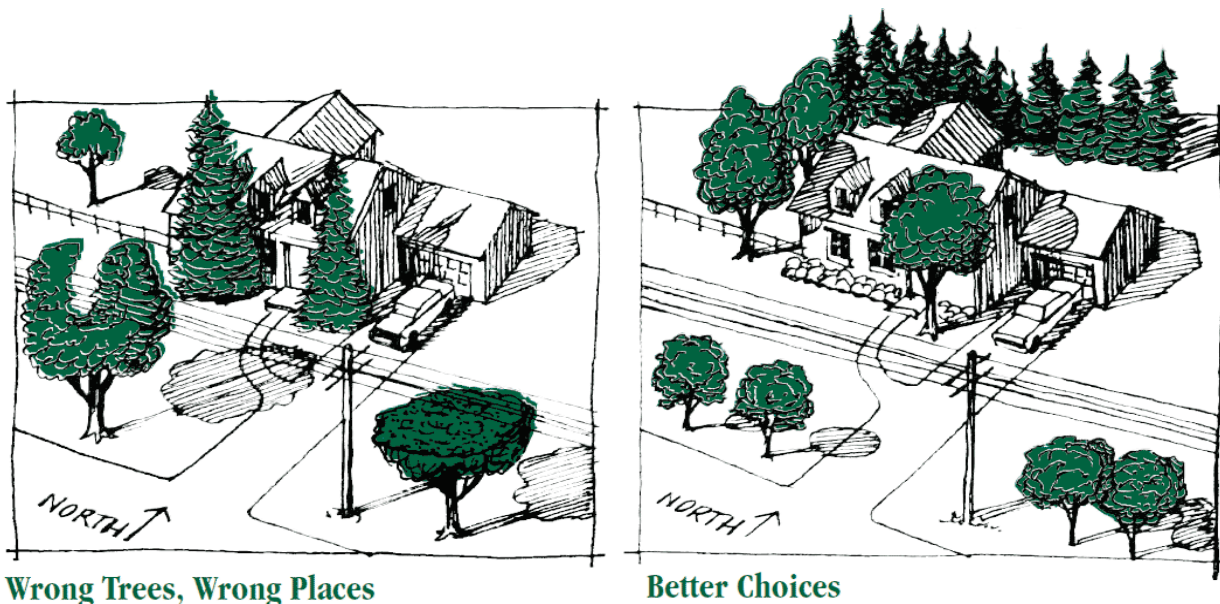
The following are minimum standards for DEC Urban and Community Forestry tree planting grant projects. Where local ordinances and guidelines require more stringent standards, use the more stringent standards. All tree planting work should be supervised by a qualified professional and follow the ANSI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

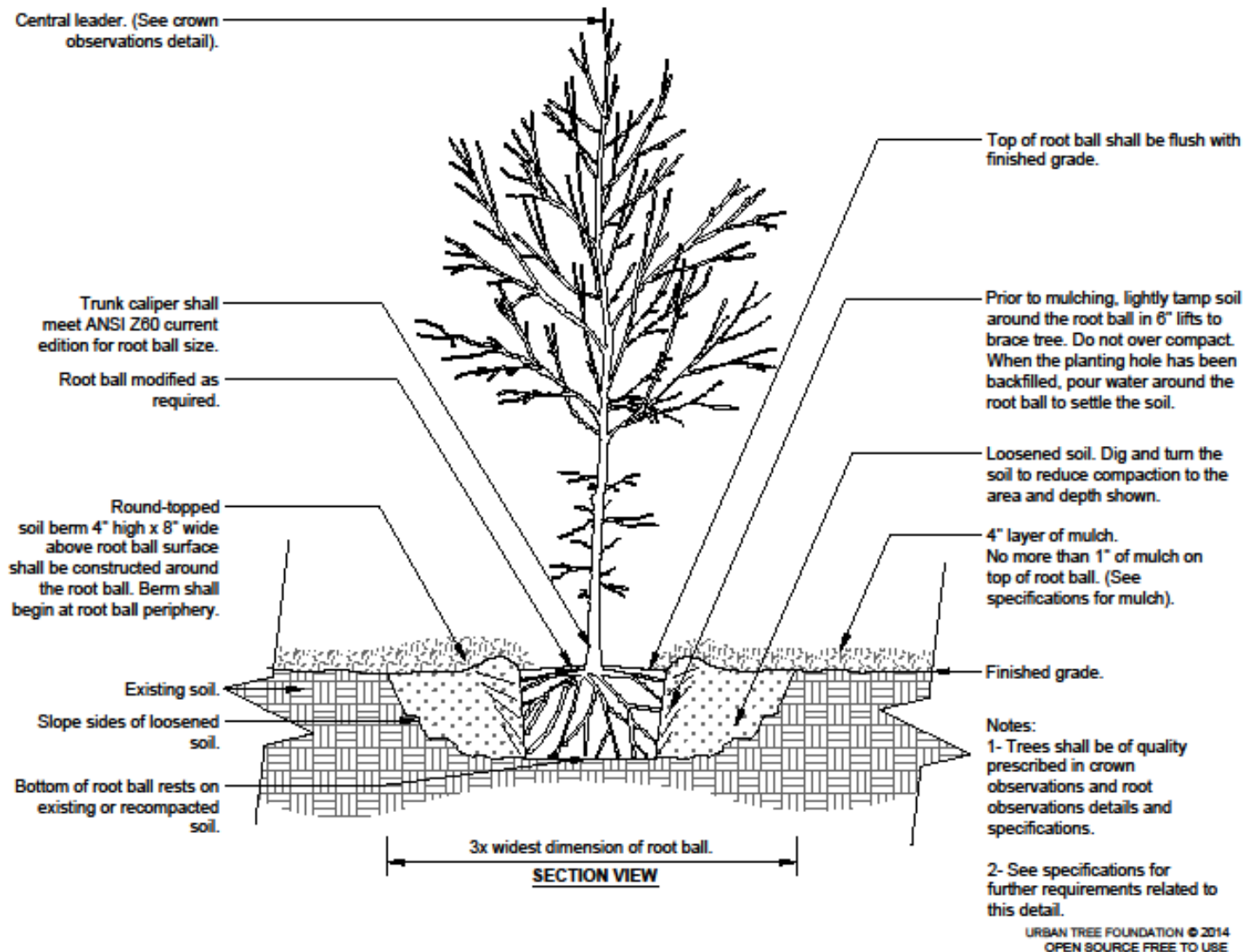
## Tree Species Selection:

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	<b>Daily:</b> 2 weeks <b>Every other day:</b> 2 months <b>Weekly:</b> until established	Twice weekly for 2-3 months
2-4 inch caliper	<b>Daily:</b> 1 month <b>Every other day:</b> 3 months <b>Weekly:</b> until established	Twice weekly for 3-4 months
greater than 4 inch caliper	<b>Daily:</b> 6 weeks <b>Every other day:</b> 5 months <b>Weekly:</b> 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 3 – NYS DEC Urban Foresters

[Contact telephone numbers and regional maps](https://www.dec.ny.gov/about/558.html) (https://www.dec.ny.gov/about/558.html)

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



## 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 – Work Plan

### Project Summary

Work Plan Period      From  To  { *Note: Enter a 2-year contract term as a place holder. These dates will be set at the time of awards.*

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

Even though Grants Gateway says to provide a high-level overview of the project, for this grant, use this Workplan Summary to describe the entire project. It may be helpful to copy and paste from the answers provided in the previous questions. Include what work will be done and by whom, partner roles, outreach and education, and how all requested grant funds will be spent. This becomes part of the contract if awarded.

### Workplan Properties

This is a sample of potential Objectives, Tasks and Performance Measures that you may want to use. These should be customized to your project. Also see the Work Plan Worksheet in the Pre-Submission Uploads section of Grants Gateway.

#### Objective

##### 1. Initiate Project

###### Task

###### 1.1 Pre-contract meeting

###### Performance Measures

###### 1.1.1. Pre-contract Meeting

###### 1.2 Project Kickoff Meeting

###### Performance Measures

###### 1.2.1. Kickoff Meeting

###### 1.3. DEC-required training webinar.

###### Performance Measures

###### 1.3.1. Identify who will receive training.

###### 1.3.2. View training and provide list of participants to DEC.

###### 1.4 Finalize Identification of Planting Sites

Performance Measures

- 1.4.1. Visit sites with DEC forester, note size, needs, utilities, conditions, and other variables.
- 1.4.2. Check availability with nurseries
- 1.4.3. Provide DEC final # of trees, list of sites, list of species

**Objective**

**2. Tree Planting**

**Task**

**2.1 Procure Trees**

Performance Measures

- 2.1.1. Provide DEC a copy of the bid document prior to release. Provide bids and final agreement to DEC.
- 2.1.2. Planting contractor (if using) views DEC training video

**2.2 Inspect nursery stock**

Performance Measures

- 2.2.1. Confirm receipt of quality stock, return/exchange poor quality plants. Confirm planting dates.

**2.3 Plant trees according to Minimum Standards for Tree Planting**

Performance Measures

- 2.3.1. Train Volunteers if applicable
- 2.3.2. Provide photos of plantings in progress demonstrating adherence to Minimum Standards, and photos of completed plantings.

**Objective**

**3. Tree Planting Follow-up**

**Task**

**3.1. Follow-up care (watering, checking for damage, etc.) according to 5-year plan.**

Performance Measures

- 3.1.1. Documentation of care in accordance with 5-year plan, including any challenges.

**3.2. Update tree inventory if applicable**

Performance Measures

- 3.2.1. Document who updated inventory and when

**3.3. Grant Inspection**

Performance Measures

- 3.3.1. Grantee meet with DEC forester as needed during inspection. Pass inspection with 95% survival.

**Objective**

**4. Partnerships**

### **Task**

- 4.1. Summarize Partner tasks from program-specific question in the application.  
Performance Measures
  - 4.4.1. Provide documentation and description of completed partner role.

### **Objective**

## **5. Outreach & Education**

### **Task**

- 5.1. Summarize education and outreach tasks at beginning of project from project-specific question in the application [  
Performance Measures
  - 5.1.1. Provide documentation (copies, photos, etc.) and description of completed Outreach & Education tasks.
- 5.2. Summarize education and outreach tasks during project from project-specific question in the application [  
Performance Measures
  - 5.2.1. Provide documentation (copies, photos, etc.) and description of completed Outreach & Education tasks.
- 5.3. Summarize education and outreach tasks at end of project from project-specific question in the application [  
Performance Measures
  - 5.3.1. Provide documentation (copies, photos, etc.) and description of completed Outreach & Education tasks.

### **Objective**

## **6. Long Term Support [This is completed at the end of the project]**

### **Task**

- 6.1 State there is a 5-year maintenance plan and who will carry it out.  
Performance Measures
  - 6.1.1. Confirm the 5-year maintenance plan will be followed and who will carry it out.

