



Department of
Environmental
Conservation

2017 SOUTHERN PINE BEETLE COMMUNITY RECOVERY GRANTS Request for Applications

NYS Grants Gateway Application ID No.:
DEC01-SPBCR-2017

Revised Application Deadline:
~~2:00 PM, Thursday October 19th, 2017~~
2:00 PM, Thursday November 9, 2017

GRANTS GATEWAY APPLICATION TRAINING WEBINAR
2:00PM, THURSDAY, August 24th, 2017

**DIVISION OF LANDS AND FORESTS
FOREST & TERRESTRIAL HEALTH PROGRAM
625 BROADWAY, 5TH FLOOR
ALBANY, NEW YORK 12233-4253**

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Timetable of Key Events:

Event: Grants Gateway Training Webinar (see details below)	Thursday, August 24, 2017
Application Period Begins	Thursday, August 17, 2017
Question & Answer Period Ends	November 2, 2017
Applications Deadline	2PM Thursday, November 9, 2017
Award(s) Announced by (anticipated)	January 2, 2018

NYS GRANTS GATEWAY TRAINING WEBINAR INFORMATION

Topic: 2017 Southern Pine Beetle Community Recovery Grants Gateway Application Training Webinar

Date: Thursday, August 24th, 2017

Time: 2:00pm

To join the online meeting: (Now available on mobile devices.)

1. Go to <https://meetny.webex.com/meetny/j.php?MTID=m8520d9ff21f45ef392ee2cb581552004>
2. If requested, enter your name and email address.
3. If a password is required, enter the meeting password: SPB2017
4. Click "Join".

The phone conference may be muted when you join and you may not hear any sounds until the presenter begins at 2:00pm. For technical assistance with the webinar or the Grants Gateway, please contact the Grants Gateway Helpdesk at grantsgateway@its.ny.gov or 518-474-5595. They are available from 8am to 4pm eastern standard time Monday-Friday.

TABLE OF CONTENTS

IMPORTANT INFORMATION FOR APPLICANTS	5
SOUTHERN PINE BEETLE COMMUNITY RECOVERY GRANTS	7
I. GENERAL INFORMATION AND CONDITIONS	7
Application Deadline and Submission	7
Award Announcement.....	7
Funding	7
Proposed Project Timeframes	8
Minimum and Maximum Grant Amounts.....	8
Application Limit.....	8
Eligible Project Locations	8
Eligible Applicants	8
Expenditure Based Budget	9
Match Requirement.....	9
Multi-Partner and Inter-Municipal Projects.....	9
Questions and Answers.....	9
Reserved Rights	9
II. ELIGIBLE PROJECT TYPES AND INFORMATION	10
Additional information and requirements for each of the following eligible projects types are outlined below: ...	11
1. Tree and Pine Barrens Planting.....	11
2. Infested and Hazard Tree Removal.....	11
3. Thinning	12
4. PRESCRIBED BURNING	12
Permits	13
Eligible Project Expenditures	13
<i>Eligible Grant Reimbursement Costs:</i>	13
<i>Eligible Match Costs:</i>	14
<i>Costs NOT Eligible for Reimbursement or Match:</i>	15
Letters of Permission/Municipal Endorsement.....	15
III. APPLICATION EVALUATION, SCORING AND SELECTION	15
Step 1: Minimum Eligibility (pass/fail criteria)	15
iv. Application Review and Scoring.....	20
Read this section carefully when checking the application prior to submission.....	20
Application Evaluation and Method of Award.....	21
V. GRANT PROGRAM PAYMENT AND REPORTING	25

Payment and Reporting	25
VI. WHAT TO EXPECT IF YOU RECEIVE AN AWARD.....	25
Notification of Award	25
State of New York Master Contract for Grants (MCG).....	25
Procurement of Contractors/Subcontractors	27
Americans with Disabilities Act.....	27
Contact Information	28
APPENDIX 1	29
APPENDIX 2	31

IMPORTANT INFORMATION FOR APPLICANTS

GRANTS REFORM

On May 15, 2013, a web-based grants management system, the Grants Gateway, was launched at <https://grantsgateway.ny.gov> as part of Governor Cuomo's transformation initiative to reform the State's grant contracting process by simplifying and streamlining the grants management process. The Grants Gateway is an online system that allows vendors to browse and apply for grant opportunities and will improve the way grants are administered by the State of New York. The Grants Gateway system capabilities include the following:

- **Opportunity Portal**– A one-stop location to search for available and anticipated grant opportunities from all New York State agencies. Sign up to receive notification when specific types of grant opportunities are posted.
- **Document Vault**– A secure online document repository for vendors/grantees to store and share commonly requested documents with State agencies. The Document Vault is utilized for the Vendor Prequalification Process. All not-for-profit organizations must be prequalified in the Grants Gateway system to be considered eligible to apply for a grant opportunity.
- **Online Contracts** – Ability for vendors/grantees to develop and execute contracts online.
- **Online Claims and Reporting (anticipate availability in 2017)** - Ability for contractors/grantees to develop and submit payment requests, supporting cost documentation, and project reports.

Grants Reform procedures require all applications to be developed and submitted online through the NYS Grants Gateway.

GRANTS GATEWAY REGISTRATION AND PREQUALIFICATION

All NYS grant applicants must be registered in the NYS Grants Gateway to be eligible to:

- Apply for a NYS grant opportunity.
- Enter into a grant contract, an amendment to an existing contract, or a letter of agreement.
- Apply for future grant payments.

In addition to registering, not-for-profit organizations must also complete the Vendor Prequalification process in the Grants Gateway to be considered eligible to apply for this grant opportunity. Government entities and public authorities are currently not required to complete the Vendor Prequalification Process.

CREATING ROLES IN THE GRANTS GATEWAY SYSTEM

Once your Organization is registered and prequalified (if applicable) in the Grants Gateway, the User with the Delegated Administrator Role must create additional roles to initiate, complete, and submit the application in Grants Gateway. Refer to Section 4.2 of the "Grantee User Guide", located on the Grants Reform website at www.grantsreform.ny.gov/grantees, for instructions on creating user roles in the Grants Gateway system. **This step MUST be completed to submit an application in the Grants Gateway.**

GRANTS GATEWAY REGISTRATION INSTRUCTIONS

Registration is NOT an online process. Register now to allow time for processing!!

- 1.) On the Grants Reform Website at www.grantsreform.ny.gov/Grantees, download a copy of the Registration Form for Administrator.
- 2.) Complete the form according to the instructions provided. The completed form must be signed and notarized.

- 3.) Mail the signed and notarized original form to the Division of Budget at the address provided in the instructions.
- 4.) After the form is received and reviewed, you will be provided with a Username and Password allowing you to access the Grants Gateway.
- 5.) Log in to the Grants Gateway at <https://grantsgateway.ny.gov>. You will be prompted to change your password at the bottom of your Profile page. Enter a new password and click the SAVE button located on the top, right-hand side of the page.

If you have previously registered and do not know your Username please email grantsreform@its.ny.gov. If you do not know your Password, please click the Forgot Password link from the main log in page and follow the prompts.

NOT FOR PROFIT PREQUALIFICATION INSTRUCTIONS

Pursuant to the New York State Division of Budget Bulletin H-1032, dated June 7, 2013, New York State has instituted key reform initiatives to the grant application and contract processes. These initiatives require not-for-profit organizations to complete the Vendor Prequalification process to be considered eligible to apply for a grant.

Below is a summary of the steps to complete the prequalification requirements. The **Vendor Prequalification Manual** on the Grants Reform website at www.grantsreform.ny.gov/Grantees provides additional information and instruction.

1.) Complete your Prequalification Application.

- Log in to the Grants Gateway at <https://grantsgateway.ny.gov>. If this is your first time logging in, you will be prompted to change your password at the bottom of your Profile page. Enter a new password and click the SAVE button located on the top, right-hand side of the page.
- Click the *Organization(s)* link at the top of the page and complete the required fields including selecting the State agency you have the most grants with. This page should be completed in its entirety before you SAVE. A *Document Vault* link will become available near the top of the page. Click this link to access the main Document Vault page.
- Answer the questions in the *Required Forms* and upload the *Required Documents*. This constitutes your Prequalification Application. Optional Documents are not required unless specified in this Request for Proposal.
- Specific questions about the prequalification process should be referred to your agency representative or to the Grants Reform Team at grantsreform@its.ny.gov.

2.) Submit Your Prequalification Application

- After completing your Prequalification Application, click the *Submit Document Vault* button located below the Required Documents section to submit your Prequalification Application for State agency review. Once submitted, the status of the Document Vault will change to *In Review*.
- If your Prequalification reviewer has questions or requests changes you will receive email notification from the Gateway system.
- Once your Prequalification Application has been approved, you will receive a Gateway notification that you are now prequalified to do business with New York State.

Additional registration and prequalification information, including a video tutorial, is available on the Grants Reform website at www.grantsreform.ny.gov/

SOUTHERN PINE BEETLE COMMUNITY RECOVERY GRANTS

The New York State Department of Environmental Conservation (DEC) is pleased to announce available NYS Environmental Protection Fund (EPF) funding for qualifying governmental entities or not-for-profit (NFP) organizations. Grant projects must implement successful Southern Pine Beetle Community Recovery (SPBCR) Tree and Pine Barrens Planting, Infested and Hazard Tree Removal, Thinning, or Prescribed Burning projects in Nassau and/or Suffolk County in New York State implemented in an area affected by southern pine beetle on public properties in a location where they provide a public benefit. Project locations on private property (beyond the public right of way) are contingent upon existing local authority¹.

Safeguarding and management of the Central Long Island Pine Barrens is vital for water quality protection, wildlife habitat, and the protection of endangered species. The conservation of this landscape has also proven human health benefits by providing recreational opportunities and a connection with nature.

Applicants must be familiar with Central Long Island Pine Barrens legislation and any other applicable legislation regarding development, tree removal, and fire when completing their applications. For a list of laws related to the Central Long Island Pine Barrens, see Chapter 12 of the Central Pine Barrens Comprehensive Land Use Plan, "Selected Laws Pertinent to the Central Pine Barrens," available on the Central Pine Barrens Joint Planning & Policy Commission website at: https://pb.state.ny.us/assets/1/6/Comprehensive_Land_Use_Plan_Volume_2.pdf

Applicants are strongly encouraged to follow the Application Review and Scoring Standards in Section VII of this RFA. Knowledge of the scoring criteria is valuable for designing and proposing a relevant and quality project. Applicants are encouraged to work with public officials in local government and with the Central Pine Barrens Joint Planning & Policy Commission in the development of an application to develop appropriate inventories, management, and restoration activities related to SPB response as well as generate awareness of the proposed project and its objectives.

I. GENERAL INFORMATION AND CONDITIONS

APPLICATION DEADLINE AND SUBMISSION

All applications must be developed and submitted in the NYS Grants Gateway by 2:00 PM on Thursday, November 9, 2017.

Developing an on-line application includes answering a series of required program questions and uploading program documents and forms. Paper applications will NOT be accepted. The DEC strongly encourages applicants to submit their Grants Gateway application in advance of the application deadline to allow time to address any possible IT issues.

AWARD ANNOUNCEMENT

The DEC anticipates grant awards will be announced in early January, 2018 or approximately eight weeks after the grant application due date. Applicants will receive a written notification of award from the DEC, and additional information on how to proceed with expediting a Master Contract for Grants (MCG) in the NYS Grants Gateway.

FUNDING

¹ Beyond the public right of way refers to privately-owned lands that are adjacent to public lands. Work may occur on property beyond the right of way to benefit the general public even though private parties would receive an incidental benefit. The local municipality must enact a local law authorizing work beyond the right of way. Such laws typically identify specific types of work that can be conducted beyond the right of way and establish ground rules to govern such work.

Approximately \$500,000 is available for SPBCR grants consistent with this Request for Applications (RFA). Available funding is provided from the New York State Environmental Protection Fund (EPF).

Funding Note: Grant funding for this program will be provided on a reimbursement basis upon the DEC's audit and approval of project related expenditures supported by copies of cost documentation (signed cost summaries, copies of invoices, receipts, cancelled checks, etc.).

PROPOSED PROJECT TIMEFRAMES

All projects must have defined objectives, tasks, and deliverables accounted for in performance measures that can be completed and invoiced within a two-year contract term. Applicants should not begin their projects or incur project related costs until a Master Contract for Grants (MCG) has been fully approved by DEC, and if applicable approved by the Attorney General and the State Comptroller. A one-year time extension beyond the MCG contract term end date may be considered by the DEC based upon a strong written justification from the Grantee. In no event will a contract exceed a three-year term. Applicants should not submit an application if they do not anticipate their project can be completed within a two-year timeframe.

MINIMUM AND MAXIMUM GRANT AMOUNTS

Applicants may request a minimum grant amount of \$25,000, up to a maximum amount of \$75,000.

APPLICATION LIMIT

Applicants may submit up to three applications. Each application must be for a different project type or in a separate location under this round. An example of different projects of the same type that may be submitted on separate applications would be planting trees in a town park versus planting street trees. If submitting an application for more than one project, the applicant should describe how the projects are different from one another. Each application may cover only one of the following:

- one project type in one location
- multiple project types in one location; or
- one project type across multiple locations.

Applicants already receiving funding for a proposed project from another NYS or federal assistance or grant program are not eligible to receive funding for the same project activities under this RFA.

ELIGIBLE PROJECT LOCATIONS

Eligible projects must be geographically located in Nassau and/or Suffolk County in New York State in an area affected by southern pine beetle on public properties owned by governmental entities, as defined below in the Eligible Applicants section. Applicants are required to upload a map of the project area in Grants Gateway. The upload of the map should be less than 10MB in order for the map to be clearly visible while viewing applications.

ELIGIBLE APPLICANTS

Governmental entities and not-for-profit corporations (NFP) acting on behalf of a public ownership interest in the property or acting on behalf of a public property owner are eligible to apply.

The following entities are considered eligible applicants:

Governmental Entities: municipalities, including Counties, Cities, Towns, Villages, 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, Municipal Corporations, Soil and Water Conservation Districts, School Districts, and Community Colleges.

Not-For-Profit Corporations: an organization that is subject to New York State's Not-For-Profit Corporation Law and is qualified for tax-exempt status under Section 501(c)(3) of the Federal Internal Revenue Code.

A NFP must be registered and prequalified in the NYS Grants Gateway (<http://grantsgateway.ny.gov>) portal by the due date of this RFA in order for an applicant to be considered eligible to apply. The NYS Grants Reform website provides detailed instructions on how to register and prequalify on the Grantees page (<http://grantsreform.ny.gov/Grantees>).

All applicants must have a valid Federal Employee Identification Number (FEIN) and a New York State Vendor Identification Number (VIN) in order to complete their Grants Gateway registration.

EXPENDITURE BASED BUDGET

Applicants must complete an itemized budget in the NYS Grants Gateway that provides details of the proposed project-related expenses. Budget detail must clearly distinguish between expenses to be claimed under the State grant share and expenses comprising the match. A project's cost-effectiveness is 29 percent of the evaluation factor in the scoring; therefore, attention to budget accuracy will increase your project score.

MATCH REQUIREMENT

Match is the portion of project expenditures not paid for with grant funds.

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

Applicants who provide at least 5% more eligible match than the required amount will receive points in the evaluation of an application.

MULTI-PARTNER AND INTER-MUNICIPAL PROJECTS

Partnership projects are encouraged. Proposed projects that build partnerships and/or encourage volunteerism will receive points in the evaluation of an application.

If a proposed project involves a cooperative agreement or partners, only one eligible, designated lead applicant can submit the project application for grant funding. The designated lead applicant must assume the responsibility for the project application, the performance of work consistent with the application, and the execution of a MCG in the NYS Grants Gateway. Letters substantiating the designation of the lead applicant are required from each partnering organization at the time of application. All partnership letters must be addressed to the lead applicant and be uploaded in a single pdf file in the Grants Gateway.

QUESTIONS AND ANSWERS

Please email all grant opportunity questions to:

Molly Hassett, Southern Pine Beetle Program Planner, Division of Lands & Forests, DEC Albany:
molly.hassett@dec.ny.gov

Include SPBCR in the subject line of the email.

Questions regarding this grant opportunity will be accepted by the DEC until C.O.B. on Thursday, November 2, 2017. All questions and answers will be provided in the Grants Gateway for all applicants to view.

RESERVED RIGHTS

DEC reserves the right to:

- Award additional and available funding for scored and ranked 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 the DEC's sole discretion.
- Award a portion of a grant request based on the proposed work plan included in the application and ineligible project-related costs.
- Award only one application for funding in the event there are multiple application submissions for a single project or for pieces of a single project.
- Award only one application for funding from a single applicant.
- Award the next highest scoring application in the event a grantee fails to negotiate a grant contract with the DEC within 60 - 90 days of a grant award.
- Monitor the progress of all grant awards and withdraw grant funding if the grantee fails to make significant and timely progress on the project or fails to receive the necessary permissions and permits for the project.
- Disqualify any applicant whose conduct and/or proposal fails to conform to the requirements of the RFA.
- Seek clarification from an applicant to effectively evaluate a project proposal.
- Reject any or all applications in response to the RFA at the Agency's sole discretion.

ENDANGERED SPECIES

All applicants must be aware of the presence of threatened and endangered species in relation to their projects and follow all applicable regulations. For thinning projects, no trees may be cut between June 1 and July 31. In addition, no trees should be cut within 535 feet of a documented Tiger Salamander pond. Please see <http://www.acris.nynhp.org/guide.php?id=6689> for more guidance.

For prescribed burning projects, the applicant must follow all regulations in the 6NYCCRR section 194.5, Prescribed burn plan for non-department lands:

[https://govt.westlaw.com/nycrr/Document/I21f05ca2c22211ddb7c8fb397c5bd26b?viewType=FullText&originatIonContext=documenttoc&transitionType=CategoryPageItem&contextData=\(sc.Default\)&bhcp=1](https://govt.westlaw.com/nycrr/Document/I21f05ca2c22211ddb7c8fb397c5bd26b?viewType=FullText&originatIonContext=documenttoc&transitionType=CategoryPageItem&contextData=(sc.Default)&bhcp=1)

II. ELIGIBLE PROJECT TYPES AND INFORMATION

SPBCR projects must be at least one of the following four project types, as detailed below, and must be located in Nassau and/or Suffolk County in an area affected by southern pine beetle on public properties owned by governmental entities. Multiple project types may take place at one location or one project type may take place at multiple locations.

Each project type has different program objectives and requirements. Applicants should carefully review the project type information below and, pass/fail eligibility criteria and evaluation criteria contained in this RFA to avoid application disqualification, and to score and rank high enough to be awarded grant funding.

Applications should address how their Tree and Pine Barrens Planting, Infested and Hazard Tree Removal, Thinning, or Prescribed Burning project will promote the quality of the forest in parks and/or open spaces; habitat creation; air and water quality; increased property values; revitalization; public health; and/or improved quality of life for residents.

Applications from communities with a community forestry management plan will receive points in the evaluation process. Applications that give appropriate consideration to under-served urban neighborhoods (all potential neighborhoods whose demographic, geographic, or economic characteristics impede or prevent their access to adequate canopy cover and other benefits of trees) will receive points if the project is located in an under-served neighborhood.

Technical information concerning tree planting specifications, tree maintenance and care procedures, and appropriate tree species for planting locations is available on DEC's web site at:
<http://www.dec.ny.gov/animals/106881.html>

ADDITIONAL INFORMATION AND REQUIREMENTS FOR EACH OF THE FOLLOWING ELIGIBLE PROJECTS TYPES ARE OUTLINED BELOW:

1. TREE AND PINE BARRENS PLANTING

Plant trees and/or Pine Barrens species on public property to replace pine trees affected by southern pine beetle, and promote habitat creation; air and water quality; increased property values; community revitalization; public health; and/or improved quality of life for residents. Applicants must use only non-invasive species (see invasive tree species list at <http://www.dec.ny.gov/animals/265.html>). Tree and Pine Barrens planting project applications must include the following information:

- Project location (park or street names and a map)
- Number of trees and/or other Pine Barrens species to be planted
 - A list of tree species to be planted, approved by an appropriate professional (appropriate professionals include DEC foresters, certified arborists, and other natural resource professionals familiar with southern pine beetle and the project area)
- You may use one of the following links when building your species list:
 - Trees:
http://lyra.ifas.ufl.edu/NorthernTrees/selection_detail.htm
<http://www.hort.cornell.edu/uhi/outreach/recurbtree/index.html>
 - Other plant species:
<http://ehamptonny.gov/DocumentCenter/Home/View/1062>
- You may use the following link to get a list of certified arborists in your area; enter in your city, zip code, or NY region to search:
<https://nysarborists.com/for-everyone/find-an-arborist>
- Detailed description of long-term maintenance for planted individuals
- Photos of potential planting sites

See Appendix 1 for the Recommended Minimum Standards for NYS DEC Tree Planting Projects.

Any questions regarding planting standards or appropriate professionals for tree list approval should be directed to the Forester in your DEC Regional Office, John Wernet (john.wernet@dec.ny.gov), or Rob Cole (robert.cole@dec.ny.gov) in Central Office. Grant applicants are strongly advised to seek advice from a professional arborist prior to submitting applications.

2. INFESTED AND HAZARD TREE REMOVAL

Infested and hazard tree removal projects include removal of trees infested or once-infested by southern pine beetle. These projects may include stump removal, chipping, and/or a tree inventory assessment. Projects that include tree pruning will not be considered eligible infested and hazard tree removal projects. Infested and hazard tree removal projects where more than 50% of the trees to be removed are infested (stage 1 or stage 2) will receive more points in the review process. Infested and hazard tree removal projects should include documentation of intent to use professional arborist services, or staff trained in best management practices for tree maintenance. Infested and hazard tree removal projects must include a tree planting component, for which at least 1 tree must be replanted for every 50 trees cut within the project locations.

Infested and Hazard Tree Removal project applications must include the following information:

- Project location (park or street names and a map)
- Documentation of consultation from a tree care professional or equivalent
- A list of infested and dead tree species to be removed, approved by an appropriate professional (appropriate professionals include DEC foresters, certified arborists, and other natural resource professionals familiar with southern pine beetle and the project area)
 - This list must include an estimated number of trees to be removed
- Number of trees to be planted
 - A list of tree species to be planted, approved by an appropriate professional (appropriate professionals include DEC foresters, certified arborists, and other natural resource professionals familiar with southern pine beetle and the project area)
- You may use the following links when building your species list:
 - http://lyra.ifas.ufl.edu/NorthernTrees/selection_detail.htm
- You may use the following link to get a list of certified arborists in your area; enter in your city, zip code, or NY region to search: <https://nysarborists.com/for-everyone/find-an-arborist>
 - A detailed description of long-term maintenance of planted individuals
- Photos of potential planting sites
 - Photos of potential Infested and Hazard Tree Removal project locations demonstrating need

Extra points will be awarded to infested and hazard tree removal that remove a higher number stage 1 and stage 2 (infested) trees.

See Appendix 1 for the Recommended Minimum Standards for NYS DEC Tree Planting Projects.

Any questions regarding tree planting standards or appropriate professionals for tree list approval should be directed to the Forester in your DEC Regional Office, John Wernet (john.wernet@dec.ny.gov), or Rob Cole (robert.cole@dec.ny.gov).

3. THINNING

Thinning projects include removal of some of the living trees from an overcrowded forest that are susceptible to, but not yet infested with southern pine beetle. Thinning projects should be located at least 2 miles from heavy SPB infestations; the object being to give trees a chance to recover from project activities before SPB infestations begin. Thinning projects will promote resiliency to southern pine beetle, and may include stump removal, chipping, and/or a tree inventory assessment. Projects that include tree pruning will not be considered eligible thinning projects. Thinning projects should include documentation of intent to use professional arborist services, or staff trained in best management practices for tree maintenance.

Thinning project applications must include the following information:

- Project location (park or street names and a map)
- Documentation of consultation from a tree care professional or equivalent
- A list of tree species to be cut for thinning, approved by an appropriate professional (appropriate professionals include DEC foresters, certified arborists, and other natural resource professionals familiar with southern pine beetle and the project area)
 - This list must include an estimated number of trees to be removed
- A plan for thinned material (cut and leave, chip etc.) and an estimate of remaining trees per acre.
- Photos of potential planting sites
 - Photos of potential thinning project locations demonstrating need

4. PRESCRIBED BURNING

Prescribed Burning may be an effective management tool to prevent or manage SPB. The effectiveness of prescribed burning will depend upon many variables including location, land area,

progress of infestation, tree species mix, weather conditions, political considerations, etc. These projects will necessarily involve development of a Burn Plan compliant with 6NYCRR Part 194* if one has not yet been written for the project area. Burn Plans must be approved by DEC's Region 1 regional land manager before any burning can be implemented. DEC has regulatory responsibility for any prescribed fire conducted on non-State/Federal land. For general information regarding prescribed burning, questions can be directed to *DEC Region 1 Forest Ranger Brian Gallagher* brian.gallagher@dec.ny.gov.

Writing of the plan and conducting of burn must be under the supervision of an NWCG (National Wildlife Coordination Group) qualified Burn Boss through contractual services.

Prescribed Burning project applications must include the following information:

- Location(s) of areas burn plans will be written for (park or street names and a map)
- Narrative of why Prescribed Burn is the best option for this project
- Description of how burn plans and fire maintenance will be implemented
 - Include an estimated timeline of implementation of the plan
 - Include evidence of consultation and quote from at least one prescribed burning professional
- Photos of potential project locations demonstrating need

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

*[https://govt.westlaw.com/nycrr/Browse/Home/NewYork/NewYorkCodesRulesandRegulations?guid=Ia-b7db500b5a011dda0a4e17826ebc834&originationContext=documenttoc&transitionType=Default&contextData=\(sc.Default\)&bhcp=1](https://govt.westlaw.com/nycrr/Browse/Home/NewYork/NewYorkCodesRulesandRegulations?guid=Ia-b7db500b5a011dda0a4e17826ebc834&originationContext=documenttoc&transitionType=Default&contextData=(sc.Default)&bhcp=1)

PERMITS

The applicant is responsible for assuring that any State Environmental Quality Review (SEQR) determinations, permits, approvals, lands, easements and rights-of way that may be required to carry out activities of the project are obtained. Depending on the project work plan, some projects may require permits from agencies such as the NYS DEC, OPRHP, DOS, or the US Army Corps of Engineers (USACE), including SEQR. It is recommended that an applicant consult DEC and/or the USACE directly to determine if any permits are needed, especially if the project is located in or adjacent to a water body (e.g., stream, lake, wetland, and/or canal).

ELIGIBLE PROJECT EXPENDITURES

(Note: Use of state and/or federal funding sources used toward the project are not eligible for grant reimbursement or use towards the match)

Eligible Grant Reimbursement Costs:

Personal Services - Salary: Cost of staff salaries directly devoted to the project. Itemize salaries according to job title and roles/responsibilities on the project. Administrative salaries are not eligible for reimbursement, but are eligible to be used as match. Grant recipients will be required to document the time worked, tasks, pay ratio and costs.

Personal Services – Fringe: Fringe benefits may include social security, workers' compensation, unemployment insurance, disability insurance, and any insurance programs provided by the grantee organization to staff and paid labor for work devoted to the project. Fringe benefits should be budgeted in line with your organization's standard fringe benefit policy and/or negotiated bargaining agreements and should not exceed the current NYS rate. 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 the value of services provided by responsible, professional and technical personnel and consultants directly related to the implementation of the project.

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

Equipment: Includes purchase and/or rental costs and delivery of equipment directly required to implement the project. 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 25 of the “State of New York Master Contract For Grants” for additional detail on “Property”). If purchasing any equipment with a single unit value of \$20,000 or more, such as chippers or tub grinders (for the purpose of the disposal of urban wood waste), a municipal agreement or letter of agreement from a partner community must be in place and uploaded showing shared services. Note that any equipment purchased with funding provided by this grant program cannot be sold, transferred or used for other purposes without written approval from DEC.

Other: Supplies and material, and delivery costs for items including trees, stakes, soil, fertilizer, tree watering bags, mulch, tree guards, planting space engineering materials, hand tools, and educational resources that enable 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.

Eligible Match Costs:

Match must be provided from local or other available funding sources. Match costs paid from State or Federal funding sources will not be considered eligible sources of matching funds.

Personal Services: Cost of staff salaries, including fringe, directly devoted to the project. Itemize salaries according to job title and roles/responsibilities on the project.

Grant Administration Costs: Administrative costs are defined as staff costs associated with administering the grant and are limited to management and recordkeeping of grant funds, preparation of grant contract documents, MWBE Utilization Plan, and preparation and submittal of progress reports or payment requests.

Contractual: Costs for the value of services provided by responsible, professional and technical personnel and consultants directly related to the implementation of the project.

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

Equipment: Costs for equipment (purchase or rental).

Other: Supplies and materials, and delivery costs for items including trees, stakes, soil, fertilizer, tree watering bags, mulch, tree guards, planting space engineering materials, hand tools, and educational resources that enable 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. This includes the value of trees and planting items warehoused (pre-purchased and/or not yet installed) at current market prices.

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

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

Predevelopment (tree and Pine Barren planting only): Costs including design fees and other professional fees for the preparation of construction documents may be used for grant match only if incurred during the term of a MCG. These expenses should be listed as match funds in the “Contractual

Services” category of the budget if the services are rendered under a written agreement. Otherwise, they should be listed as match funds in the “Other Expenses” category.

Costs NOT Eligible for Reimbursement or Match:

Indirect/Overhead: Costs including accounting fees, insurance, interest, legal fees, labor burden, rent, repairs, telephone bills, expenditures, space/property, and utilities.

Travel: staff and/or contractor travel to and from the project from home location.

Application preparation: Costs associated with preparing the grant application in the NYS Grants Gateway.

Outside MCG term: Costs incurred prior to the award (contract start date) of the grant or after the contract end date.

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

LETTERS OF PERMISSION/MUNICIPAL ENDORSEMENT

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

- If the property is owned by the applicant:
 - proof of ownership, such as a copy of the Federal Tax ID or EIN
- If the property is not owned by the applicant and the property owner is a municipality:
 - a municipal resolution supporting the project; or
 - a signed municipal endorsement providing authorization for applicant to conduct the proposed project on municipal property (A sample municipal endorsement is included in Appendix 2 of this RFA and can be downloaded and viewed in the Pre-submission Uploads section in the Grants Gateway); or
 - a letter on municipal letterhead from the municipal chief operating officer providing authorization for the applicant to conduct the proposed project on municipal property
- If the property is not owned by the applicant and the property owner is not a municipality:
 - a formal written agreement between the landowner and the applicant which allows the applicant to access the property and represent the landowner to accomplish the proposed project

III. APPLICATION EVALUATION, SCORING AND SELECTION

All applications will be reviewed and scored by a review team in accordance with the evaluation and scoring criteria contained in this RFA. Applicants are strongly encouraged to read and address the Application Review and Scoring Standards in the process of developing an application. Knowledge of the scoring criteria is valuable for designing and proposing a relevant and quality project. Scoring consists of:

STEP 1: MINIMUM ELIGIBILITY (PASS/FAIL CRITERIA)

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

1. **Project Type:** Does the application address an eligible project type (Tree and Pine Barrens Planting, Infested and Hazard Tree Removal, Thinning, or Prescribed Burning)? *(Pass/Fail)*

2. **Project Summary:** Do project tasks and objectives support/validate the project type listed in question 1? *(Pass/Fail)*
3. **Applicant Type:** Is the applicant an eligible governmental entity or not-for-profit (NFP) corporation as defined in the RFA, and if the applicant is an NFP, was the NFP prequalified in the Grants Gateway by the due date of the RFA? *(Yes = Pass, No = Fail)*
4. **Public Property and Location of Impacted Area:** Is the proposed project located in Nassau/Suffolk in NYS, on public property, or alongside a publicly-owned roadway? *(Yes = Pass, No = Fail)*
5. **Other Funding:** The proposed project is not already receiving funds from another New York State or federal assistance program for the same activities as those being proposed in this application. *(Yes = Pass, No = Fail)*
6. **Site Accessibility:** Did the applicant provide proof of landownership; a Federal Tax ID or EIN, or a formal written agreement from the landowner, or a municipal endorsement or resolution, allowing the applicant to conduct the project on the landowner's property? When sending more than one document, please include in a single.pdf file. *(Pass/Fail)*
7. **Project Location Map and Project Photos:** Did the applicant upload a map that identifies the project area, and photos of the project site/s? The map and photos should be uploaded in a single PDF file and should be clearly labeled and/or referenced in a way to make it easy for application reviewers to identify the project site(s). Include details about the photos and how they relate to the project. *(Pass/Fail)*
8. **Tree/Species List – Read entire criteria:** Tree and Pine Barrens Planting, Infested and Hazard Tree Removal, and Thinning projects only: Did the applicant include a tree list approved by an appropriate professional? Are invasive species excluded from the lists of species to be planted? For Tree and Pine Barrens Planting and Infested and Hazard Tree Removal projects, the list must include the tree and pine barren species and the number of each to be planted. For Infested and Hazard Tree Removal and Thinning projects, the list must include an inventory of trees to be removed. When sending more than one document, please include in a single.pdf file. *(Pass/Fail)*
9. **Long term maintenance plan – Tree and Pine Barrens Planting and Infested and Hazard Tree Removal projects only:** Did the applicant provide a detailed long-term maintenance plan for planted trees and species? *(Pass/Fail)*
10. **Shared Services:** If the applicant included an equipment item with a value over \$20,000 in their budget, did they upload a shared services agreement? When sending more than one document, please include in a single.pdf file. *(Pass/Fail)*
11. **Time Frame:** Does the applicant demonstrate that the applied for project can be completed within two years? *(Yes = Pass, No = Fail)*
12. **Match Funds:** Can applicant provide evidence of available match funds using eligible sources? *(Yes = Pass, No = Fail)*
13. **Permits:** Has the applicant identified permits that may be required? If no permits are required, respond N/A. *(Yes = Pass, No = Fail)*

STEP 2: PROJECT TECHNICAL EVALUATION, SCORING AND SELECTION

Applications that pass the eligibility pass/fail review will receive a technical and cost evaluation review by a DEC review panel. Applications will be evaluated and scored based on the following criteria:

14. PROJECT LOCATION

What is the location of the project and overall condition of the site? If the project will take place over a large area, describe the boundaries of the extent of the area where all work will take place and the site conditions of each distinct location. Neighborhood or hamlet references will be accepted. **Applicants must also upload a map and photos** identifying the project site or sites in PDF format as done in the eligibility questions. The map should be clearly labeled and/or referenced in a way to make it easy for application reviewers to identify the project site(s) described in your response to this question. Include details about the photos and how they relate to the project. When sending more than one document,

please include in a single.pdf file. (SCORING VALUE = 5 points. See section IV Application Review & Scoring for a detailed assignment of points)

15. TARGETING PRIORITY AREAS

Outline the project target priority areas that will have the greatest impact. Describe replanting in areas heavily impacted by southern pine beetle, targeting trees infested with southern pine beetle or targeting areas to reduce to the greatest extent possible, the susceptibility to southern pine beetle?

For Tree and Pine Barrens Planting Projects, species must be planted within areas impacted by southern pine beetle so that approximately >50% of the trees in the area have died or been cut down due to southern pine beetle.

For Infested and Hazard Tree Removal projects, >50% of the trees being removed for the project are infested with southern pine beetle at the time of application.

For Thinning and Prescribed Burning projects, the project area must be at least 2 miles from areas of heavy (>75 infested trees) southern pine beetle infestations. These are preventative projects, the object being to give trees a chance to recover from project activities before SPB infestations begin.

(SCORING VALUE = 8 points. See section IV Application Review & Scoring for a detailed assignment of points)

16. ENVIRONMENTAL/ECONOMIC BENEFITS

How will the proposed project objectives, tasks, and performance measures promote the quality of the forest in parks and/or open spaces, habitat creation, air and water quality, increased property values, revitalization, public health, and/or improved quality of life for residents? The objectives, tasks, and performance measures included in the work plan should correspond with those described in response to this question. (SCORING VALUE = 8 points. See section IV Application Review & Scoring for a detailed assignment of points)

17. ENVIRONMENTAL JUSTICE

DEC demonstrates a commitment to Environmental Justice (EJ) and remedies for communities that may be burdened by negative environmental consequences. Environmental justice is defined by the DEC as the fair treatment and meaningful involvement of all people, regardless of race, color or income, with respect to the development, implementation and enforcement of environmental laws, regulations and policies. A proposed project that is located in an EJ community or will directly benefit an EJ community, will receive points in the evaluation of an application. Maps of EJ areas in New York State are available at: <http://www.dec.ny.gov/public/899.html> .

To qualify for EJ points, your application must include the following details:

- a.) The exact street location(s) where the project is to be implemented (no P.O. Box) or where the benefit will be provided.
- b.) A brief (few sentences) description of how the project will benefit minority or low-income populations that experience disproportionate adverse environmental impacts such as pollution from multiple industrial facilities, sub-standard water quality, concentrated diesel emissions from bus depots, or other heavy vehicle traffic, adverse health effects related to environmental impacts (high asthma), lack of access to green benefits such as open space, environmental education or parks, or other such impacts.

(SCORING VALUE = 5 points. See section IV Application Review & Scoring for a detailed assignment of points)

18. QUALIFICATIONS AND PAST PERFORMANCE

Applicants should possess the knowledge, skills, and/or track record to successfully implement the project. Describe their qualifications and any history working with DEC's Urban Forestry Program in the Grants Gateway program questions. *(SCORING VALUE = 5 points. See section IV Application Review & Scoring for a detailed assignment of points)*

19. PARTNERSHIPS

Proposed projects that will build and/or sustain partnerships and/or volunteerism, including contribution or participation by appropriate stakeholders and municipal government, will receive points in the evaluation of their application. Applications that include a letter (or letters) of support from each partnering organization which clearly states their role in the project will receive additional points. Local support, partnership, and professional guidance letters must be from separate people and/or towns to receive the maximum number of points. When sending more than one document, please include in a single.pdf file. *(SCORING VALUE = 3 points. See section IV Application Review & Scoring for a detailed assignment of points)*

20. LOCAL NEEDS

Proposed projects that address local environmental, social, and/or economic needs, including the quality of the forest in parks and/or open spaces, energy savings, habitat creation, air and water quality, increased property values, revitalization, public health, and/or improved quality of life for residents, will receive points in the evaluation of their application. *(SCORING VALUE = 8 points. See section IV Application Review & Scoring for a detailed assignment of points)*

21. LOCAL SUPPORT

Proposed projects that receive and upload letters of support from local external stakeholders who will not serve as partners, such as community leaders or members of the public, will receive points in the evaluation of their application. Local support, partnership, and professional guidance letters should be obtained separately so letters fully address subject matter to receive the maximum number of points. Obtain 3 or more letters for 5 points, 1-2 letters for 3 points. No letters of support will equal 0 points. When sending more than one document, please include in a single.pdf file. *(SCORING VALUE = 5 points. See section IV Application Review & Scoring for a detailed assignment of points)*

22. OUTREACH AND EDUCATION

Proposed projects that include outreach and education in any aspect of urban forestry that will raise community awareness of the project, such as a presentation at a town board meeting, description of the project included in a newsletter, press event about the project, or a public information session, will receive points in the evaluation of their application. List 2 or more public outreach/education efforts for 8 points, 1 public outreach/education effort for 4 points. No outreach/education efforts will equal 0 points. *(SCORING VALUE = 8 points. See section IV Application Review & Scoring for a detailed assignment of points)*

23. PROFESSIONAL GUIDANCE

Proposed projects that include guidance from a DEC Forester, certified arborist, regional land manager or another natural resource professional, will receive points in the evaluation of their application. Local support, partnership, and professional guidance letters should be obtained separately so letters fully address subject matter to receive the maximum number of points.

- For Tree and Pine Barrens planting, Infested and Hazard Tree Removal, and Thinning projects, applicant must include a description of their intent to use arborist services from an appropriate professional.
- For Prescribed Burning projects, applicant must include a description of their intent to use a National Wildfire Coordination group (NWCG) certified burn boss. Guidance may be sought from the regional land manager or Forest Ranger in Region 1.
- If guidance has been obtained, include the name, title, and qualifications of the professional and upload a PDF copy of the guidance. If no, indicate N/A.

When sending more than one document, please include in a single.pdf file. *(SCORING VALUE = 3 points. See section IV Application Review & Scoring for a detailed assignment of points)*

24. PROFESSIONAL SERVICE

Proposed projects that show intent to use a professional tree service will receive points in the evaluation of their application. Local support, partnership, and professional guidance letters should be obtained separately so letters fully address subject matter to receive the maximum number of points.

For Tree and Pine Barrens planting, Infested and Hazard Tree Removal, and Thinning projects, applicant must include a description of their intent to use professional arborist services. For Prescribed Burning projects, applicant must include a description of their intent to use a National Wildfire Coordination group (NWCG) certified burn boss and at least one consultation or quote must be attached. Please include the name, title, and qualifications of the professional. If no, indicate N/A.

Projects are expected to be supported after the grant is completed. The project should be sustainable without substantial maintenance. Points will be awarded to projects that demonstrate long-term sustainability and durability. Uploading supporting documentation is optional, but encouraged, to substantiate durability claims.

When sending more than one document, please include in a single.pdf file.

(SCORING VALUE = 3 points. See section IV Application Review & Scoring for a detailed assignment of points)

25. TREE CITY

Proposed projects that take place within a Tree City USA community will receive points in the evaluation of their application. To find out if your community is a Tree City USA community, or to apply to become one, go to <https://www.arboday.org/programs/treecityusa/> *(SCORING VALUE = 2 points. See section IV Application Review & Scoring for a detailed assignment of points)*

26. TREE MANAGEMENT PLAN

Proposed project communities that have a Tree Plan that is current or has been updated within the last 10 years, will receive points in the evaluation of their application. The plan generally includes a complete inventory, yearly planting and maintenance schedule. *(SCORING VALUE = 5 points. See section IV Application Review & Scoring for a detailed assignment of points)*

27. **ALIGNMENT WITH REGIONAL ECONOMIC DEVELOPMENT STRATEGIES**

Governor Andrew Cuomo directed the establishment of Regional Economic Development Councils (REDCs) to analyze the most significant business clusters in their respective areas. Any grants awarded by the State of New York shall take into consideration the recommendation of the relevant Council or the Commissioner's determination that the proposed project aligns within the regional strategic priorities of the region where the proposed project is located. This can be accomplished in one of two ways:

1. The Applicant may obtain a recommendation from the REDC stating that the proposed project aligns with priorities of the economic development plan developed by the Council. The recommendation must be uploaded with the Application to receive three (3) points in the application evaluation process.
2. The Applicant can provide a brief narrative describing the economic benefits of the proposed project and how the project aligns with the strategies of the REDC plan for the project's region. The narrative must be included with the Application to receive three (3) points in the application review.

Each region has a unique plan. Visit <http://regionalcouncils.ny.gov/> for information on your region's Economic Development Council. (*SCORING VALUE = 3 points*)

28. **EXPENDITURE BASED BUDGET – SALARY, CONTRACTUAL, EQUIPMENT** etc.

Applicants must complete the itemized budget in the NYS Grants Gateway that provides details of the proposed project-related expenses. Budget detail must clearly distinguish between expenses to be claimed under the State grant share and expenses comprising the match. A project's cost-effectiveness is 29 percent of the overall evaluation factor in the scoring; therefore, attention to budget accuracy will increase your project score. Applications that do not provide sufficient information to determine whether costs are eligible and reasonable will lose points in the application cost-effectiveness evaluation and may receive a reduced grant award if funded. Applicants should review the cost-effectiveness evaluation criteria included in the last section of this RFA. (*SCORING VALUE = 29 points. See section IV Application Review & Scoring for a detailed assignment of points*)

29. **WORK PLAN**

Applicants must complete a work plan in the NYS Grants Gateway that provides a clear overview of the project. Work plans must include proposed project objectives, tasks associated with meeting each objective, and the desired project outcome or deliverables accounted for in performance measures. The work plan should include anticipated time frames in meeting project objectives, tasks, and performance measures (i.e. spring or fall planting season) based on the project type.

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

IV. APPLICATION REVIEW AND SCORING

READ THIS SECTION CAREFULLY WHEN CHECKING THE APPLICATION PRIOR TO SUBMISSION.

APPLICATION EVALUATION AND METHOD OF AWARD

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

Reviewers' scores will be averaged for each application to determine a final score. Final scores will be ranked from highest to lowest scores.

Applications will be selected for funding beginning with the highest down to the lowest ranked project until all available funding is exhausted or no eligible applications remain.

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

Project Location

Did applicant describe the location of the project site(s)?

- (A) Applicant described the project location, and uploaded clearly labeled and referenced photos and a map 5 pts.
- (B) Applicant described the project location but either map or photos or both were not clear. 0 pts.

Targeting Priority Areas

Do the project target priority areas to have the greatest impact? This includes replanting in areas heavily impacted by southern pine beetle, targeting trees infested with southern pine beetle or targeting areas to greatest reduce susceptibility to southern pine beetle?

To receive maximum points for Tree and Pine Barrens Planting Projects, species must be planted within areas impacted by southern pine beetle so that approximately >50% of the trees in the area have died or been cut down due to southern pine beetle.

To receive maximum points for Infested and Hazard Tree Removal projects, >50% of the trees being removed for the project are infested with southern pine beetle at the time of application.

To receive maximum points for Thinning projects and Prescribed Burning projects, the project area must be at least 2 miles from areas of heavy (>75 infested trees) southern pine beetle infestations.

- (A) The project meets the priority requirements as described above 8 pts.
- (B) The project does not meet the priority requirements described above 0 pts.

Environmental/Economic Benefits

Does the application adequately address specific environmental and/or economic issues,

such as the quality of the forest in parks and/or open spaces, habitat creation, air and water quality, increased property values, revitalization, public health, and/or improved quality of life for residents?

- (A) The application addresses at least three environmental and/or economic issues 8 pts.
- (B) The application addresses one or two environmental and/or economic issues 4 pts.
- (C) The application doesn't adequately address any environmental and/or economic issues 0 pts.

Environmental Justice

Would the proposed project provide specific social benefits in a Potential Environmental Justice Area (<http://www.dec.ny.gov/public/899.html>)?

- (A) The proposed project would benefit a Potential Environmental Justice Area. 5 pts.
- (B) The proposed project is not in an Environmental Justice population area and/or the applicant did not adequately describe the location or benefits. 0 pts.

Qualifications and Past Performance

Is the applicant qualified to carry out the proposed project and do they have a positive history of working with DEC's Division of Lands and Forests?

- (A) Applicant is qualified and has a positive history of working with DEC's Division of Lands and Forests 5 pts.
- (B) Applicant is qualified but has no known history of working with DEC's Division of Lands and Forests 3 pts.
- (C) Applicant did not adequately describe their qualifications and/or has a poor history of working with DEC's Division of Lands and Forests 0 pts.

Partnerships

Would the proposed project build partnerships and/or encourage volunteerism?

- (A) Applicant included a description of how partners or volunteers will be involved 3 pts.
- (B) Applicant did not describe how partners or volunteers will be involved 0 pts.

Local Needs

Would the proposed project improve or enhance environmental, social, and/or economic issues in the community?

- (A) The proposed project has the potential to significantly improve or enhance environmental, social, and/or economic issues in the community 8 pts.
- (B) The proposed project has the potential to improve or enhance environmental, social, and/or economic issues in the community 4 pts.
- (C) The proposed project is unlikely to affect environmental, social, and/or economic issues in the community or an inadequate description was provided 0 pts.

Local Support

Has the applicant uploaded any letters of support for the proposed project from community leaders or members of the public?

- (A) Three or more letters of support were uploaded 5 pts.
- (B) One or Two letters of support were uploaded 3 pts.

(C) No letters of support were uploaded

0 pts.

Outreach and Education

Does the proposed project include outreach and education about tree management related to southern pine beetle?

(A) Two or more public outreach and/or education efforts described

8 pts.

(B) One public outreach and/or education effort described

4 pts.

(C) No public and/or education efforts described

0 pts.

Professional Guidance

Has the applicant obtained and uploaded evidence of professional guidance on the proposed project?

For Tree and Pine Barrens planting, Infested and Hazard Tree Removal, and thinning projects, applicant must include an adequate description of their intent to use arborist services from an appropriate professional.

For prescribed burning projects, applicant must include an adequate description of their intent to use a National Wildfire Coordination group (NWCG) certified burn boss.

(A) A description of intent to use professional services from an appropriate professional was included

3 pts.

(B) A description of intent to use professional services from an appropriate professional was not included

0 pts.

Professional Service

Has the applicant adequately described their intent to use professional services?

For Tree and Pine Barrens planting, Infested and Hazard Tree Removal, and Thinning projects, applicant must include a description and/or consultation or quote of their intent to use professional arborist services.

For Prescribed Burning projects, applicant must include a description and a written consultation or quote of their intent to use a National Wildfire Coordination group (NWCG) certified burn boss.

(A) A description of intent to use professional services from an appropriate professional was included.

3 pts.

(B) A description of intent to use professional services from an appropriate professional was not included.

0 pts.

Tree City USA

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

(A) Applicant answered "Yes" and the project takes place within a Tree City USA Community

2 pts.

(B) Applicant answered "No" or the project does not take place within a Tree City USA Community

0 pts.

Tree Management Plan

Does the project community have a tree management plan that was created or updated within the last 10 years?

- (A) Applicant answered "Yes" and uploaded a copy of the community's tree management plan, which was created or updated within the last 10 years 5 pts.
- (B) Applicant answered "No" or did not upload a copy of the community's tree management plan, or the tree management plan was not created or updated within the last 10 years 0 pts.

Alignment with REDC

Will the project complement part of the Regional Economic Development Council (REDC) plan?

- (A) Applicant included either a written recommendation from a regional economic development council member or a brief narrative description describing the economic benefits of the proposed project and how the project aligns with the strategies of the REDC plan. 3 pts.
- (B) Applicant answered "No" or the project does not take place within a Tree City USA Community 0 pts.

Cost Effectiveness 1 - Budget Level of Detail

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

- (A) The budget contains an exceptional level of detail to assess cost-effectiveness 8 pts.
- (B) The budget contains sufficient detail to assess cost-effectiveness 4 pts.
- (C) An inadequate level of detail to assess cost-effectiveness was provided in the budget 0 pts.

Cost Effectiveness 2 - Reasonableness of Expenses

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

- (C) Only reasonable implementation expenses are included in the budget 8 pts.
- (D) Mostly reasonable implementation expenses are included in the budget 4 pts.
- (E) Many unreasonable expenses are included and/or applicant did not provide adequate explanation for budget expenses to determine reasonableness 0 pts.

Cost Effectiveness 3 - Eligible Costs

Does the budget contain eligible costs?

- (A) Budget includes only eligible costs 8 pts.
- (B) Budget includes one ineligible cost 4 pts.
- (C) Budget includes two or more ineligible costs or an inadequate level of detail was provided 0 pts.

Cost Effectiveness 4 - Match Amount

Does the budget contain more than the required 25% matched funding from local sources?

- (A) Budget includes at least 5% more than the required match 5 pts.
- (B) Budget does not include at least 5% more than the required match 0 pts.

V. GRANT PROGRAM PAYMENT AND REPORTING

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.
- Project costs eligible for reimbursement and project match must be incurred between the MCG term start and end dates. Costs incurred prior to the MCG term start date or after the MCG term end date will not be considered eligible for grant reimbursement or match. Copies of supporting cost documentation (paid invoices, receipts, cancelled checks, etc.) must be audited and approved by the DEC for costs to be eligible for grant reimbursement.
- Quarterly MCG payment reimbursement requests will be accepted prior to submission of a final closeout reimbursement request.
- Quarterly Narrative Reports must be submitted in narrative form, no later than 30 days from the end of the calendar quarter. The reports will summarize how the project progressed towards meeting project objectives and deliverables during the respective quarter. Quarterly reports shall be submitted in the NYS Grants Gateway.
- Quarterly Expenditure Reports, detailed by object of expense as defined in the MCG Attachment B-1 Expenditure Based Budget, must accompany the quarterly Narrative Reports, no later than 30 days from the end of the calendar quarter. These reports must correlate to subsequent vouchers submitted for payment.
- Final Report must be submitted and approved by the DEC prior to the release of the final contract payment to the Grantee. The Contract must submit the Final Report no later than 60 days after the end of the contract period. The Final Report should report on all aspects of the program and detail how the use of grant funds were utilized in achieving the goals set forth in the approved MCG Attachment C Work Plan. Copies of appropriate documents (i.e. inventory and/or management plan, etc.) must be submitted and approved by the DEC.
- A DEC on-site inspection may be required to confirm all work was completed in accordance to the approved project work plan.

VI. WHAT TO EXPECT IF YOU RECEIVE AN AWARD

NOTIFICATION OF AWARD

Applicants selected to receive a grant award will be notified by email and in an official DEC award letter. The NYS Grants Gateway will also provide you with an award status.

STATE OF NEW YORK MASTER CONTRACT FOR GRANTS (MCG)

Applicants selected to receive a grant award will be required to execute a MCG **within 60 - 90 days** from the time of their award notification. Failure to submit timely required MCG documents could cause a grantee to lose their grant award. Applicants should review and be prepared to comply with all MCG terms and conditions should grant funding be awarded. The MCG and attachments can be reviewed and/or downloaded in the Grants Gateway HRE application under the 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 B-1 Expenditure Based Budget (*project expense categories and detail*)
- Attachment C Work Plan (project objectives, tasks and performance measures)
- Attachment D Payment and Reporting Schedule (claims for reimbursement and grant reporting provisions)

IMPORTANT NOTE: Project related costs must be incurred within the term of the MCG to be considered eligible for reimbursement or match. Contract payments will not be approved or processed

by the DEC until a MCG is fully approved by the DEC, and as applicable the Attorney General and the State Comptroller. All contracts must be approved by the contract start date of which will be determined at the time of an official award.

Applicants should be prepared to comply with the following MCG requirements:

- **Insurance Requirements**

Applicants will be required to carry appropriate insurance as specified in the MGC or LOA, 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 coverage for the project.

- **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.

- **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 the DEC. The Contractor has notified, and shall continue to notify, the DEC of all actions proposed for complying with the environmental review requirements imposed by SEQRA.

- **Vendor Responsibility Questionnaire**

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

- **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 at: <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.

- **Minority/women Business Enterprises (M/WBE) and Equal Employment Opportunities (EEO) Requirements**

The DEC is required to implement the provisions of New York State Executive Law Article 15-A and 5 NYCRR Parts 142-144 ("M/WBE 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 DEC, to fully comply and cooperate with the DEC 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 DEC 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 DEC 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/quarterly.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 – 30%
 Commodities – 30%
 Services/Technologies – 30%

Equal Employment Opportunity (EEO) Participation Goals

EEO Minority Workforce Participation Goals (DEC Regions 1- 9) 10%
 EEO Female Workforce Participation Goals (DEC Regions 1-9) 10%

- DEC M/WBE Contact Person

Carla Leubner, Compliance Specialist
 NYS DEC 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

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.

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>.

ENDANGERED SPECIES

All applicants must be aware of threatened and endangered species for their projects and follow all applicable regulations. For thinning projects, no trees may be cut between June 1 and July 31. In addition, no trees should be cut within 535 feet of a documented Tiger Salamander pond. Please see <http://www.acris.nynhp.org/guide.php?id=6689> for more guidance.

For prescribed burning projects, the applicant must follow all regulations in the NYS Environmental Conservation Law section 194.5 Prescribed burn plan for non-department lands: [https://govt.westlaw.com/nycrr/Document/I21f05ca2c22211ddb7c8fb397c5bd26b?viewType=FullText&originalContext=documenttoc&transitionType=CategoryPageItem&contextData=\(sc.Default\)&bhcp=1](https://govt.westlaw.com/nycrr/Document/I21f05ca2c22211ddb7c8fb397c5bd26b?viewType=FullText&originalContext=documenttoc&transitionType=CategoryPageItem&contextData=(sc.Default)&bhcp=1)

CONTACT INFORMATION

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

Molly Hassett, SPB Program Planner, DEC, Albany
E-mail: molly.hassett@dec.ny.gov

Technical Information: Grant applicants are strongly advised to seek advice from a professional arborist prior to submitting applications. Tree lists must be approved by an appropriate professional. Any questions regarding tree planting standards or appropriate professionals for tree list approval should be directed to the Forester in your DEC Regional Office, John Wernet (john.wernet@dec.ny.gov), or Rob Cole (robert.cole@dec.ny.gov) in Central Office.

APPENDIX 1

RECOMMENDED MINIMUM STANDARDS FOR NYS DEC TREE PLANTING PROJECTS

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

Planning:

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

Tree Species Selection:

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

Site Selection:

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

Planting Standards:

1. Holes dug for planting of trees will be a minimum of 12 inches larger than the diameter of the root system or root ball. Preferably the hole should be at least twice the size of the root ball.
2. Trees will be planted no deeper than previously grown with allowance for settling. The root flair should be at or slightly above ground level.
3. Strings and twine will be removed from trunk of tree. Burlap and wire baskets will be removed or rolled down into hole.
4. Backfill with existing soil when suitable. Avoid using excessive amounts of organic matter.
5. When sensitive species are exposed to direct sun, wrap lower trunk with a tree wrap. Remove wrap after first growing season.
6. Bark mulch will be applied around the tree, 3 to 4 inches deep, in a circle which extends beyond the planting hole. Mulch should not touch trunk above root flair.
7. Only dead, damaged or poorly located branches will be removed using proper pruning techniques.
8. All bare root trees (and balled and burlapped trees in exposed, windy areas) will be staked or guyed to keep them upright. Use commonly accepted staking techniques. Stakes will be removed within the first year.
9. Newly planted trees will be watered with at least 2 inches of water at the time of planting.

10. In caring for and handling trees prior to planting, all precautions customary in good trade practice will be taken.
11. A minimum one year warranty is recommended.

Five Year Tree Maintenance:

A detailed, written tree maintenance plan must be developed.

1. Grantee will need to inspect the trees every six months to evaluate general health and 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. Supplement rainfall so that the tree averages a minimum of 2 inches of water every 2weeks during the growing season (May-September)
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: Tree Planting Specifications and information:

- <http://www.treesaregood.org/>
- <http://www.hort.cornell.edu/uhi>
- <http://www.umass.edu/urbantree/publications/pits.pdf> - Strategies for planting in pits, November, 2003 issue of TCI 7/1/04

APPENDIX 2

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 project grant under the Southern Pine Beetle Community Recovery Program to be located (insert location), a site located within the territorial jurisdiction of this (Board, Council or Legislature); and

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

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

(Date of Adoption and Certification of Clerk)