



**Department of  
Environmental  
Conservation**

**DIVISION OF LANDS AND FORESTS  
TREES FOR TRIBS PROGRAM  
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**2018 Trees for Tribs Grant Program  
(Round 1)  
Request for Application (RFA)**

**NYS Grants Gateway Application ID Number:**

**Application Deadline:**  
*3:00 PM, Friday, September 7, 2018*

**Grants Gateway Application Training Webinar:**  
*Wednesday, July 25, 2018*

**Available NYS Grants Gateway Training Webinar Information:**

**TOPIC:** NYSDEC TREES 4 TRIBS GRANT APPLICATION WEBINAR

**DATE:** WEDNESDAY, JULY 25, 2018

**TIME:** 10:00 AM, EASTERN DAYLIGHT TIME (NEW YORK, GMT-04:00)

**MEETING NUMBER:** 649 182 564

**MEETING PASSWORD:** T4T2018

This webinar will walk you through the grant application process for the Trees for Tribs Grant Program (DEC01-TFT-2018)

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TO JOIN THE ONLINE MEETING (NOW FROM MOBILE DEVICES!)  
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1. GO TO [HTTPS://MEETNY.WEBEX.COM/MEETNY/J.PHP?MTID=M5c62c10193c6e5fd86da082d3f7bcb63](https://meetny.webex.com/meetny/j.php?MTID=M5c62c10193c6e5fd86da082d3f7bcb63)
2. IF REQUESTED, ENTER YOUR NAME AND EMAIL ADDRESS.
3. IF A PASSWORD IS REQUIRED, ENTER THE MEETING PASSWORD: T4T2018
4. CLICK "JOIN".
5. AFTER YOU JOIN THE WEBINAR, YOU WILL BE PROVIDED INSTRUCTIONS TO JOIN THE AUDIO CONFERENCE.

**NOTE:** The phone conference may be muted when you join and you may not hear any sounds until the presenter begins at 10:00am.

**For assistance:** please contact the Grants Gateway help desk at [grantsgateway@its.ny.gov](mailto:grantsgateway@its.ny.gov) or 518-474-5595.

Applicants unable to participate in the above noted webinar will have the option to view the webinar training at their convenience at the following link:

[https://www.youtube.com/playlist?list=PL3F0L\\_HJ7v4gOJuok9Faw5UDPOm2tlvWU](https://www.youtube.com/playlist?list=PL3F0L_HJ7v4gOJuok9Faw5UDPOm2tlvWU)



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## 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 2019)** - 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](http://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](http://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](mailto: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](http://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](mailto: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/](http://www.grantsreform.ny.gov/)**

## ***2018 TREES FOR TRIBS GRANT PROGRAM*** **REQUEST FOR APPLICATION (RFA)**

The New York State Department of Environmental Conservation (DEC) is pleased to announce available state Environmental Protection Fund (EPF) for qualifying governmental entities, academic institutions, or not-for-profit (NFP) organizations. Grant projects must implement tree and shrub planting activities to replant New York's Riparian Areas through the Trees for Tribs program. Since 2007, Trees for Tribs has been engaging private landowners, conservation organizations, municipalities and volunteers in the planting of native trees and shrubs near streams to improve wildlife habitat, water quality and storm resiliency. This grant application is designed to boost community capacity statewide to complete tree and shrub planting activities in riparian areas. Projects implemented on non-state-owned properties must provide justification for how projects provide public benefit.

Grant application information is also available on DEC's website:

[HTTP://WWW.DEC.NY.GOV/ANIMALS/113412.HTML](http://www.dec.ny.gov/animals/113412.html)

### **I. GENERAL INFORMATION AND CONDITIONS**

#### **APPLICATION DEADLINE AND SUBMISSION**

All applications must be developed and submitted in the NYS Grants Gateway by **3 p.m. September 7, 2018.**

Developing an on-line application includes answering program questions and uploading required program documents and forms. Paper applications will NOT be accepted. Applicants are strongly encouraged to submit their applications prior to the application deadline.

#### **AWARD ANNOUNCEMENT**

DEC anticipates grant awards will be announced during the late Fall 2018, or approximately eight weeks after the grant application due date.

## **FUNDING**

DEC anticipates approximately \$525,000 is available for eligible projects in response to this Request for Applications (RFA). Funding for this grant opportunity is provided from the New York State Environmental Protection Fund (EPF) for those projects occurring within the Great Lakes, Mohawk River and Statewide Priority Watershed Areas.

Grant funding will be made available on a reimbursement basis for each of the following funding categories:

- Great Lakes Priority Watershed Area: Approximately \$100,000 of the total funding will be available for projects located within the Great Lakes watershed. See Appendix 1 for a map showing this watershed extent.
- Mohawk River Priority Watershed Area: Approximately \$25,000 of the total funding will be available for projects located within the Mohawk River watershed. See Appendix 1 for map showing this watershed extent.
- Statewide Priority Watershed Areas: Approximately \$400,000 of the total funding will be available for projects located within eligible watersheds. See Appendix 1 for a map showing this watershed extent.

## **PROJECT TIMEFRAME**

All projects must have defined objectives, tasks, and deliverables accounted for in performance measures that can be completed and invoiced within a two-year contract term. Applicants should not begin their projects or incur costs until a Master Contract for Grants (MCG) has been fully approved by DEC, and if applicable, approved by the Attorney General and the State Comptroller. A one-year time extension beyond the MCG contract term end date may be permitted as determined by the DEC based upon a strong written justification from the Grantee supporting the need for an extension. 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 the two-year contract term.

## **MINIMUM AND MAXIMUM AWARD AMOUNTS**

Applicants may request a minimum grant amount of \$11,000 up to a maximum grant amount of \$100,000.

## **APPLICATION LIMIT**

Applicants may submit one application, only. Planting projects in one or more watersheds can be included in a single application.

## **ELIGIBLE PROJECT LOCATIONS**

Project locations, for the sake of the RFA, are defined as priority watershed areas. Eligible projects for grant funding must be wholly located within one of the geographic boundaries of New York State priority watershed areas. A map of the boundaries is included in this RFA at Appendix 1. All projects must occur within the boundaries of New York State. Applicants are required to upload a detailed, labeled map of their project location in Grants Gateway.

Planting sites already receiving funding from another NYS or federal assistance program or grant program are not eligible to receive funding under this RFA.

## **ELIGIBLE APPLICANTS**

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

Municipalities, Academic Institutions, and 501(c)(3) not-for-profit corporations (NFP) whose projects are located within the eligible geographic boundaries defined in this Request For Applications. Other groups, such as unincorporated river associations, must apply through a municipality or a NFP as the designated lead.

Eligible applicants must be registered in the NYS Grants Gateway in order to develop and submit an online application in the NYS Grants Gateway. Applicants must have a valid Federal Employee Identification Number (FEIN) and a New York State Vendor Identification Number in order to complete their Grants Gateway registration. If a municipality (for example, a county) passes a governing resolution authorizing a department under its jurisdiction to apply for funding, that department can apply only if they are registered in the NYS Grants Gateway.

“Municipality” - is a public authority or public benefit corporation, a county, city, town, village, soil and water conservation district, or Indian nation or tribe recognized by the state or the United States with a reservation wholly or partly within the boundaries of New York State, or any combination thereof. If a municipality (for example, a county) passes a governing resolution authorizing a department under its jurisdiction to apply for funding, that department must apply under the County’s Grants Gateway registration, unless the department has their own FEIN and a NYS Vendor ID number in their own name, and has registered separately from the County in the Grants Gateway

“Not-For-Profit Corporation” (NFP) - is 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. **ALL NFP APPLICANTS MUST BE REGISTERED AND PREQUALIFIED IN THE NYS GRANTS GATEWAY BY THE DUE DATE OF THIS APPLICATION TO BE CONSIDERED ELIGIBLE FOR THIS GRANT OPPORTUNITY.**

“Academic Institution” - is an educational institution dedicated to education and research, which grants higher education academic degrees. For-profit academic institutions are not considered eligible for this grant opportunity.

## **MATCH REQUIREMENT AND EXPENDITURES**

There is no match requirement. Grant funds are available for up to 100% of the requested budget.

## **LOCAL NEEDS**

Grant projects must show significant improvement to water quality, wildlife habitat and/or climate resiliency. Projects that improve all three needs will receive points in the evaluation. Sites should be selected using the RECOMMENDED MINIMUM STANDARDS FOR NYS DEC TREES FOR TRIBS RIPARIAN PLANTING PROJECTS under “Site Selection” outlined in Appendix 2 of this RFA.

## **PLANTING PLAN**

Grant projects must include individual planting plans for each project. Planting plans should include New York native species of trees and shrubs to be planted, as well as locations for species and distances between plants. Planting plans should include professional guidance, as described in the Professional

Guidance section. Also refer to Appendix 2 “RECOMMENDED MINIMUM STANDARDS FOR NYS DEC TREES FOR TRIBS RIPARIAN PLANTING PROJECTS” and a Planting Plan is provided in Appendix 5.

Applicants providing a planting plan creating forested buffers 35 feet or wider will receive more points in the evaluation.

Grant projects must describe the number of acres of riparian forest created as a result of their application and will receive points in the evaluation.

### **NY SEED-SOURCED**

Applicants should use New York seed-sourced stock where possible and will receive points in the evaluation.

### **PROFESSIONAL GUIDANCE**

Applicants must possess the knowledge and skills to successfully implement the project. A letter illustrating professional guidance received from a DEC Forester, certified arborist, or natural resource professional must be uploaded to Grants Gateway. This professional must have provided guidance on native plant species selection, planting techniques and reviewed planting plans for each planting site. Applicants must provide a plant list of New York native trees and shrubs to be approved by DEC staff prior to projects being implemented.

### **PAST PERFORMANCE**

Applicants with previous positive experience with DEC’s Division of Lands and Forests and/or the Trees for Tribs program will receive more points in the evaluation.

### **PARTNER SUPPORT**

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

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

### **MAINTENANCE PLAN**

Applicants including a maintenance plan for each project site to ensure successful establishment of forested buffers and their long-term maintenance will receive more points in the evaluation. All maintenance plans must follow the activities as outlined in the “RECOMMENDED MINIMUM STANDARDS FOR NYS DEC TREES FOR TRIBS RIPARIAN PLANTING PROJECTS” in Appendix 2 of this RFA. In addition, a Sample Maintenance Report is provided in Appendix 6.

## **WORK PLAN**

Grant projects must provide a Work Plan located in the NYS Grants Gateway outlining the organization's timeline for completing the project within the grant timeframe. Projects must be completed within four planting seasons, or two calendar years.

Applicants must complete a Work Plan (located in the NYS Grants Gateway) that provides a clear description of the project. Applications must include proposed project objectives, tasks associated with meeting each objective, and the performance measures associated with each task (performance measures can include desired project outcomes or deliverables). The Work Plan must include anticipated time frames in meeting project objectives, tasks and deliverables. The Work Plan (tasks, objectives and performance measures) becomes the basis for the contract, awardee reporting and project reimbursement.

*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.*

## **OUTREACH AND EDUCATION**

It is encouraged that grant projects include components providing education to local communities about the importance of planting riparian areas for improved wildlife habitat, water quality and climate resiliency. Applicants are encouraged to include signage at planting sites, press releases and outreach materials in order to educate local communities. Signage is available through this grant opportunity and if needed, should be noted in the project summary.

## **VOLUNTEER ENGAGEMENT**

Trees for Tribs has a long history of volunteer engagement for completing planting projects. It is encouraged that grant projects include volunteers where appropriate and will receive points in the evaluation.

## **COST-EFFECTIVENESS**

Grant projects are encouraged to provide significant details to project budgets to determine cost effectiveness. Only those projects providing eligible expenses that are reasonable for the project type will be considered. Applicants providing a detailed budget outlining how your organization will make the most of these funds to increase acres of trees and shrubs planted next to streams will receive cost-effectiveness points in the evaluation. Uploading of three competitive nursery quotes for desired nursery stock to Grants Gateway is encouraged and will receive points in the evaluation.

## **QUESTIONS AND ANSWERS**

Trees for Tribs Grant Program Information:

Please email questions about this grant opportunity to: Mary Hegarty: [treestfortribs@dec.ny.gov](mailto:treestfortribs@dec.ny.gov)  
Include "Trees for Tribs Grant Program" in the **subject line** of the email.

**Questions regarding this grant opportunity will be accepted by the Department until 3 p.m., August 17th, 2018.**

All questions and answers will be on the grant website [HTTP://WWW.DEC.NY.GOV/ANIMALS/113412.HTML](http://www.dec.ny.gov/animals/113412.html) and uploaded in the Grants Gateway for all applicants to view.

**Technical Information:**

Grant applicants are strongly advised to seek advice from a qualified professional (DEC Forester, certified arborists, or natural resource professional) prior to submitting applications. A list of New York native trees and shrubs to be planted on each site must be approved by an appropriate qualified professional.

To gain advice from the Forester in your DEC Regional Office, please visit our *Find Your Forester* site: <http://www.dec.ny.gov/lands/5230.html>.

To gain advice from a certified arborist, please visit The New York State Arborists *Find An Arborist* site: <https://www.nysarborists.com/for-everyone/find-an-arborist>.

**RESERVED RIGHTS**

The Department of Environmental Conservation 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 Department's sole discretion.
- Reduce an award from the amount requested in the application, should the project budget contain costs considered ineligible under this grant.
- 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 Department 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 Department's sole discretion.

**II. PROJECT ELIGIBILITY CRITERIA AND INFORMATION**

**GRANT OBJECTIVES**

The objective of this grant is to increase acreage of trees and shrubs planted along high priority riparian (streamside) areas within New York State. Forested riparian areas are recognized as a priority within New

York State's Forest Action Plan and provides improved water quality and wildlife habitat, as well as increased storm and climate resiliency.

Grants will be awarded to projects which address improvements to wildlife habitat, water quality and storm resiliency in riparian areas. Those applicants addressing all improvements listed will receive more points in the evaluation. Applicants with prior positive experience with the Division of Lands and Forests and/or the Trees for Tribes program will receive more points in the evaluation.

Those planting sites that are already receiving funding from another New York State or federal assistance program for the same activities as those proposed in this application will not be eligible for this grant.

## **PROJECT TYPES**

Trees for Tribes Program grants must be the project type detailed below under Riparian Tree Planting. Applicants should carefully review the information below, and the pass/fail criteria eligibility 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 the benefits of planting trees and shrubs next to streams and how their project will benefit wildlife habitat, water quality and climate resiliency. Those projects not being planted on public lands must include the public benefits provided by planting on private lands. Additional information and requirements for the Project Type are outlined below:

### **Riparian Tree Planting**

Planting trees and shrubs along streams on public and private property improves wildlife habitat, water quality and climate and storm resiliency. Eligible costs include landowner outreach and education, planting plan development, site preparation, riparian planting (including: native trees and shrubs, plant shipping costs, tree tubes, weed mats, stakes), equipment rentals, contractor and staff expenses.

Applicants are required to complete projects occurring within one or more of the priority watersheds listed in this RFA. Successful applications will provide the requested information and summarize how the project(s) provide public benefit.

Tree planting project applications must include the following information:

- Project location(s) detailed maps and labeled photos
- Proof of land ownership in the form of tax parcel numbers
- Municipal Endorsement (Appendix 3) or Letter of Agreement (Appendix 4)
- Plant list of New York native tree and shrub species
  - You may use one of the following links when building your tree list:
    - [http://www.catskillstreams.org/stewardship\\_streamsiderb.html](http://www.catskillstreams.org/stewardship_streamsiderb.html)
    - [http://tompkinscountyny.gov/files2/planning/water-resources/EnhancingWaterResources\\_0.pdf](http://tompkinscountyny.gov/files2/planning/water-resources/EnhancingWaterResources_0.pdf)
    - <http://bnriverkeeper.org/wp-content/uploads/2014/07/Native-Plant-Guide-WebVersion.swf>
    - <https://bnwaterkeeper.org/projects/nativeplantguide/>
    - <http://www.plantnative.org/rpl-nypanj.htm>

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

See Appendix 2 for “RECOMMENDED MINIMUM STANDARDS FOR NYS DEC TREES FOR TRIBS RIPARIAN PLANTING PROJECTS”, Appendix 3 for a Sample Municipal Endorsement and Appendix 4 for Sample Letter of Agreement.

**Grant applicants are required to seek advice from a qualified professional (DEC Forester, certified arborists, or natural resource professional) prior to submitting applications.**

### **ANTICIPATED PROJECT TIMELINE**

Applicants must provide a timeline for meeting project objectives and identified tasks between the anticipated Master Contract for Grants (MCG) term dates. Project expenditures prior to MCG start date and after the MCG end date are not eligible for reimbursement.

### **APPLICANT PARTNERS**

For multi-partner and inter-municipal projects, letters substantiating the commitment to collaborate with a designated lead applicant are required from each application partner. A single PDF file of all letters should be uploaded and will receive points in the evaluation.

### **KNOWLEDGE, SKILLS AND EXPERIENCE**

Applicants must possess the knowledge, skills, and /or track record to successfully implement the project. Applicants receiving professional input/guidance and that have a positive past experience with the Trees for Tribs program and/or the Division of Lands and Forests will receive more points in the evaluation.

### **PROJECT COST EFFECTIVENESS**

Project cost-effectiveness will account for at least 20% of an application score as identified in the evaluation criteria section of this RFA.

### **PERMITS**

The applicant is responsible for assuring that any SEQR determinations, permits, approvals, lands, easements and rights-of way that may be required to carry out the activities of the project are obtained. Some projects may require permits from state, federal and/or local agencies. Please visit <http://www.dec.ny.gov/63.html> to learn more.

Applicants are also encouraged to call *Dig Safely New York (1-800-962-7962)* to verify the presence of any underground utilities in project areas.

### **LETTERS OF AGREEMENT/MUNICIPAL ENDORSEMENT**

If the applicant does not own the property, he/she must obtain an applicable letter of agreement for the proposed project site. Landowner letters of agreement and/or letters of municipal endorsement must be uploaded to Grants Gateway in a single PDF file for each property where riparian tree planting will take place.

Sample letters of agreement/municipal endorsement can be found in Appendix 3 and 4 of this RFA and require tax parcel numbers for each property on which tree planting is taking place.

If the applicant is the landowner, a copy of the deed along with tax parcel information is required.

### **III. ADDITIONAL APPLICATION REQUIREMENTS AND INFORMATION**

#### **ADDITIONAL APPLICATION REQUIREMENTS IN THE GRANTS GATEWAY:**

Please be sure to include with your application, information on the following requirements, if applicable to your project:

##### **Expenditure Based Budget**

Applicants must complete an itemized budget in the NYS Grants Gateway that provides details of the proposed project-related expenses. A project's reasonableness of costs is at least 20 percent of the 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 not receive, or be awarded fewer, 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.

##### **Work Plan**

Applicants must complete a work plan in the NYS Grants Gateway that provides a clear overview of the project(s) to be completed. Applications 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 must include anticipated time frames in meeting project objectives, tasks and deliverables. Time frames must be consistent with the timeline applicants are required to upload in the Grant Gateway.

*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.*

- **Pre-Submission Upload: Smart Growth Infrastructure Policy Act**

New York State's Smart Growth Public Infrastructure Policy Act (ACT), Environmental Conservation Law Article 6, requires the Department and all State infrastructure agencies to assess whether each public infrastructure project that receives state funding is consistent with the State Smart Growth Public Infrastructure criteria specified in the Act, or that compliance is considered to be impracticable, before making any commitment to fund such project(s).

In the Grants Gateway pre-submission upload section of the application, ALL applicants must download, complete and save the Smart Growth Assessment form, prior to uploading the completed form back into the Grants Gateway. Important note: Be sure to check the form after uploading to ensure the correct file is uploaded, and is completed as required.

- **Historic Preservation Review Requirements, (if applicable to your project)**

For projects that involve properties listed on the State or National Registers of Historic Places, all work undertaken as part of a grant-assisted project must conform to the Secretary of the Interior's Standards and Guidelines for Archaeology and Historic Preservation. Questions about or proposals for listing on the State or national Register should be directed to the OPRHP National Register Unit at (518) 237-8643. To ensure the public benefit from the investment of state funding, preservation covenants or conservation easements will be conveyed to the State (OPRHP) for all historic property grants.

#### **IV. 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.

##### **Step 1: MINIMUM ELIGIBILITY (PASS/FAIL CRITERIA)**

Applications will initially be 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 (see Step 2). Applications that fail one or more of the following eligibility criteria will be disqualified from further review or funding.

- Is the applicant a municipality, academic institution, or not-for-profit (NFP) corporation as defined in the RFA, and if the applicant is an NFP, was the NFP prequalified in the Grants Gateway by the due date of the RFA? *pass/fail*
- Does the application address the eligible project type (tree planting)? *pass/fail*
- Does the applicant identify if the project is on private or public lands? *pass/fail*
- If on private lands, does the applicant describe the public benefit resulting from planting on private lands? *pass/fail*
- Is the project summary of tasks and objectives appropriate based on the proposed project type? *pass/fail*
- Is the proposed project taking place within one or more of the priority watersheds identified? *pass/fail*
- Does the applicant provide a planting timeline reasonable to be completed within the 2 year contract term? *pass/fail*
- The site(s) in the proposed project are not already receiving funds from another New York State or federal assistance program for the same activities as those being proposed in this application? *pass/fail*
- Does the applicant provide a letter of professional guidance on native plant species selection, planting techniques and planting plans for each planting site? *pass/fail*

## Step 2: PROJECT TECHNICAL EVALUATION, SCORING AND SELECTION

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

### Project Location

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

- |  |        |
|--|--------|
| (A) Applicant adequately described the project location, and uploaded clearly labeled photos and a map illustrating the planting goals for each site.                      | 6 pts. |
| (B) Applicant adequately described the project location and uploaded either clearly labeled photos or a clearly labeled map illustrating the planting goals for each site. | 4 pts. |
| (C) Applicant adequately described the project location but did not include clearly labeled photos or a map illustrating the planting goals for each site.                 | 2 pts. |
| (D) Applicant did not adequately describe the project location or illustrate the planting goals for each site.   | 0 pts. |

### Local Needs

Does this project improve water quality, wildlife habitat or climate resiliency? Applicants should describe how each is addressed, if applicable.

- |   |        |
|---|--------|
| (A) The proposed project will improve all of the following: water quality, wildlife habitat AND climate resiliency.     | 6 pts. |
| (B) The proposed project will improve only two of the following: water quality, wildlife habitat or climate resiliency. | 4 pts. |
| (C) The proposed project will improve only one of the following: water quality, wildlife habitat or climate resiliency. | 2 pts. |
| (D) The proposed project is unlikely to improve or enhance any water quality, wildlife habitat or climate resiliency.   | 0 pts. |

### Proof of Landownership

Did applicant provide proof of landownership, or a formal written agreement from landowner, or a municipal endorsement or resolution, allowing the applicant to conduct tree planting activities on the property?

- |  |        |
|--|--------|
| (A) Applicant provided a formal written agreement, endorsement, and/or resolution for all participating projects allowing tree planting to take place. | 5 pts. |
|--|--------|

- (B) Applicant provided a formal written agreement, endorsement, and/or resolution for some or none of the participating projects allowing tree planting to take place. 0 pts.

### **Planting Plan 1 – Professional Input**

Did applicant upload a letter with native plant species selection, planting techniques and planting plans for each planting site from a qualified professional?

- (A) Applicant provided a letter from a qualified professional with native plant species selection, planting techniques and planting plans for each planting site. 8 pts.
- (B) Applicant provided a letter from a qualified professional but did not include one of the following: native plant species selection, planting techniques or planting plans for each planting site. 5 pts.
- (C) Applicant provided a letter from a qualified professional but did not include two of the following: native plant species selection, planting techniques or planting plans for each planting site. 1 pt.
- (D) Applicant did not provide a letter from a qualified professional. 0 pts.

### **Planting Plan 2 – Buffer Width**

Does the applicant provide adequate information on width of forested buffers being created as a result of this project?

- (A) Applicant provided planting plans outlining a minimum 35 foot forested buffers on all projects. 10 pts.
- (B) Applicant provided planting plans outlining 35 foot forested buffers on some projects. 5 pts.
- (C) Applicant provided planting plans, describes buffer widths, but does not include 35 foot forested buffers on any project. 1 pt.
- (D) Applicant provided planting plan(s) but did not describe buffer widths on any project(s) proposed. 0 pts.

### **Planting Plan 3 – Acreage Increase**

Does the applicant provide information on the number of acres of riparian forest to be created or enhanced as a result of their application?

- (A) Applicant provided the number of acres of riparian forest that will be created as a result of their application. 5 pts.
- (B) Applicant did not provide the number of acres of riparian forest that will be created as a result of this application. 0 pts.

### NY Seed-sourced

Does the plant list provided contain New York seed-sourced stock where possible?

- (A) Applicant provided a list of NY seed-sourced, native tree and shrub species with the approval of a qualified professional. 8 pts.
- (B) Applicant provided a list of some NY seed-sourced, native tree and shrub species without the approval of a qualified professional. 5 pts.
- (C) Applicant provided a list of native tree and shrub species, but not any NY seed-sourced species. 1 pt.
- (D) Applicant did not provide a plant list. 0 pts.

### Past Performance

Does the applicant have a positive history of working with DEC's Division of Lands and Forests and/or Trees for Tribes Program?

- (A) Applicant has a positive history of working with DEC's Division of Lands and Forests and/or Trees for Tribes Program. 5 pts.
- (B) Applicant has no known history of working with DEC's Division of Lands and Forests and/or Trees for Tribes Program. 3 pts.
- (C) Applicant has a poor history of working with DEC's Division of Lands and Forests and/or Trees for Tribes Program. 0 pts.

### Partner Support

Has the applicant uploaded any letters of support from partnering organizations (municipalities and/or NFPs) which clearly state the role of each partner in implementing the project?

- (A) One or more partner support letters were uploaded. 3 pts.
- (B) No partner support letters were uploaded. 0 pts.

### Maintenance Plan(s)

Does the applicant provide Maintenance Plan(s) for each tree planting project site?

- (A) Applicant provided detailed Maintenance Plan(s) for each project site and includes who will be providing the long-term maintenance to ensure tree establishment and plans for supplemental plantings if needed. 8 pts.

- (B) Applicant provided detailed Maintenance Plan(s) for each site but does not include long-term maintenance and management of tree planting site(s). 5 pts.
- (C) Applicant did not provide Maintenance Plan(s) for each site or information on long-term maintenance and management of tree planting site(s). 0 pts.

### Work Plan

Does the applicant's Work Plan accurately describe the ability to complete the project as described within the 2-year contract term?

- (A) Applicant Work Plan provides significant detail outlining the organization's ability to complete the project within the 2-year contract term. 5 pts.
- (B) Applicant Work Plan provides some detail outlining the organization's ability to complete the project within the 2-year contract term. 3 pts.
- (C) Applicant did not provide details outlining the organization's ability to complete the project within the 2-year contract term. 0 pts.

### Outreach and Education

Does the proposed project include outreach and education methods to educate local communities about the importance of planting riparian trees?

- (A) Two or more public outreach and/or education efforts described. 6 pts.
- (B) One public outreach and/or education effort described. 3 pts.
- (C) No public and/or education efforts described. 0 pts.

### Volunteer Engagement

Would the proposed project involve volunteers?

- (A) Applicant included an adequate description of how volunteers will be involved. 3 pts.
- (B) Applicant did not adequately describe how volunteers will be involved. 0 pts.

### Environmental Justice

Would the proposed project provide specific social benefits in a Potential Environmental Justice Area or other under-served population?

- (A) The proposed project would benefit a Potential Environmental Justice Area. 2 pts.

- (B) The proposed project would benefit another under-served population or area. 1 pts.
- (C) The proposed area is not in an Environmental Justice or other under-served population area and/or the applicant did not adequately describe the location or benefits 0 pts.

**Cost-Effectiveness 1 - Budget Level of Detail**

Does the budget contain an adequate level of detail to determine cost per acre of the project and include three competitive nursery quotes?

- (A) The budget includes three competitive quotes for nursery stock and provides a cost per acre for each planting site. 5 pts.
- (B) The budget contains two competitive quotes for nursery stock and an adequate level of detail to determine a cost per acre estimate. 2 pts.
- (C) The budget contains less than two competitive quotes for nursery stock and an inadequate level of detail to determine cost-effectiveness. 0 pts.

**Cost Effectiveness 2 - Staff Time and Project Maintenance**

Does the budget contain reasonable expenses for staff time and project maintenance?

- (A) Less than 20% of the total budget is allocated for staff time and project maintenance. 5 pts.
- (B) Less than 30% of the budget is allocated for staff time and project maintenance. 3 pts.
- (C) More than 30% of the budget is allocated towards project maintenance and staff time. 0 pts.

**Cost Effectiveness 3 – Eligible Costs and Prioritization of Tree Planting Activities**

Does the budget contain eligible costs and prioritize tree planting activities?

- (A) Budget includes only eligible costs and allocates more than 50% of project expenses to tree planting. 10 pts.
- (B) Budget includes one ineligible cost and allocates 40 -50% of project expenses to tree planting. 5 pts.
- (C) Budget includes two or more ineligible costs or an inadequate level of detail was provided and allocates less than 30% of project expenses to tree planting. 0 pts.

**Total possible score: 100**

## **APPLICATION EVALUATION AND METHOD OF AWARD**

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

All Level 1 Technical reviewers' scores will be averaged for each application. The Level 2 reviewer will evaluate and score Cost-Effectiveness. The Level 2 score will be added to the level 1 score to determine the application's comprehensive final score. Final scores will be ranked from highest to lowest scores.

Applications will be grouped into the following three lists, "**Great Lakes Priority Watershed Area**", "**Mohawk River Priority Watershed Area**", and "**Statewide Priority Watershed Areas**" projects as defined in this RFA.

1. "**Great Lakes Priority Watershed Area**" applications will be selected for funding beginning with the highest down to the lowest ranked project until available funding for "**Great Lakes Priority Watershed Area**" projects are exhausted or no eligible "**Great Lakes Priority Watershed Area**" applications remain. When funds are exhausted and if eligible "**Great Lakes Priority Watershed Area**" applications remain, these applications will be considered for funding through the "**Statewide Priority Watershed Areas**" projects and will be selected for funding using the same criteria outlined here.
2. "**Mohawk River Priority Watershed Area**" applications located within the Mohawk River watershed will be selected for funding beginning with the highest down to the lowest ranked project until available funding for "**Mohawk River Priority Watershed Area**" projects are exhausted or no eligible "**Mohawk River Priority Watershed Area**" applications remain. When funds are exhausted and if eligible "**Mohawk River Priority Watershed Area**" applications remain, these applications will be considered for funding through the "**Statewide Priority Watershed Areas**" project and will be selected for funding using the same criteria outlined here.
3. "**Statewide Priority Watershed Areas**" applications will be selected for funding beginning with the highest down to the lowest ranked project until available funding for "**Statewide Priority Watershed Areas**" projects are exhausted or no eligible "**Statewide Priority Watershed Areas**" applications remain.

If there are high scoring applications that are eligible within the Great Lakes Priority Watershed Area or the Mohawk River Watershed Area and only partial funds remain in that designated fund, projects are eligible to receive remaining funding from the Statewide Priority Watershed Areas project fund if they score higher than those applications in the Statewide Priority Watershed Areas list.

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

## **V. GRANT PROGRAM PAYMENT AND REPORTING**

### **PAYMENT AND REPORTING**

- An advance payment 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 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. 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. Approved planting plan, required permits and landowner permissions must be in place to submit a reimbursement request.
- Quarterly Narrative Reports must be submitted in narrative form, no later than 30 days from the end of the 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 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 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 Grantee 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) 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.
- Planting sites already receiving funds from another NYS or federal assistance program are not eligible to receive funding for the same project activities identified in this RFA.

### **Statewide Riparian Opportunity Assessment Tool Available**

The Natural Heritage Program has created an assessment tool to identify priority areas for riparian restoration and can help identify planting sites. To learn more about this tool please visit:

<http://www.nynhp.org/treesfortribsny>

### **PROJECT EXPENDITURES (note: state and/or use of federal funds are typically not eligible for grant reimbursement)**

#### **Eligible Grant Reimbursement Costs:**

Personal Services – Salary: Staff salaries directly devoted to or connected to the program, **excluding fringe (employee benefits) and indirect (overhead/operating) expenses.** Grantees will be required to document time worked, tasks, pay ratio and payment, and itemize salaries according to job title and roles/responsibilities on the program. Administrative salaries are not eligible for reimbursement.

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 rentals.

Other: Supplies and materials related to tree planting and maintenance activities, and delivery costs for items including trees, shrubs, tree tubes, stakes, weed mats, staples, mulch, soil, pots, hand tools, and educational resources that provide information about the benefits of riparian plantings to project participants and local communities. Food and beverage for volunteer events only.

**Costs NOT Eligible for Reimbursement:**

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.

Equipment: Costs associated with equipment maintenance, gasoline, electricity, and service calls.

Other: Vehicle fuel.

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

Outside MCG term: Costs incurred prior to the contract start date or after the contract end date.

**STATEWIDE PRIORITY EVALUATION CRITERIA:**

- **Priority for Environmental Justice (EJ) Projects**

The Department 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 be eligible for two (2) priority points in the project scoring. Maps of EJ areas in New York State are available at:

<http://www.dec.ny.gov/public/911.html>. To qualify for the extra points, you must provide at the time of application the following details:

- a.) The exact street location 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.

## **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 Department 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 Trees for Tribes 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 A-2 Federally Funded Grant 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. Contract payments will not be approved or processed by the Department until a MCG is fully approved by the Department, 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 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 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 Department. The Contractor has notified, and shall continue to notify, the Department 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, 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 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 – up to 20%  
Commodities – up to 20%  
Services/Technologies – up to 20%

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 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

## **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**

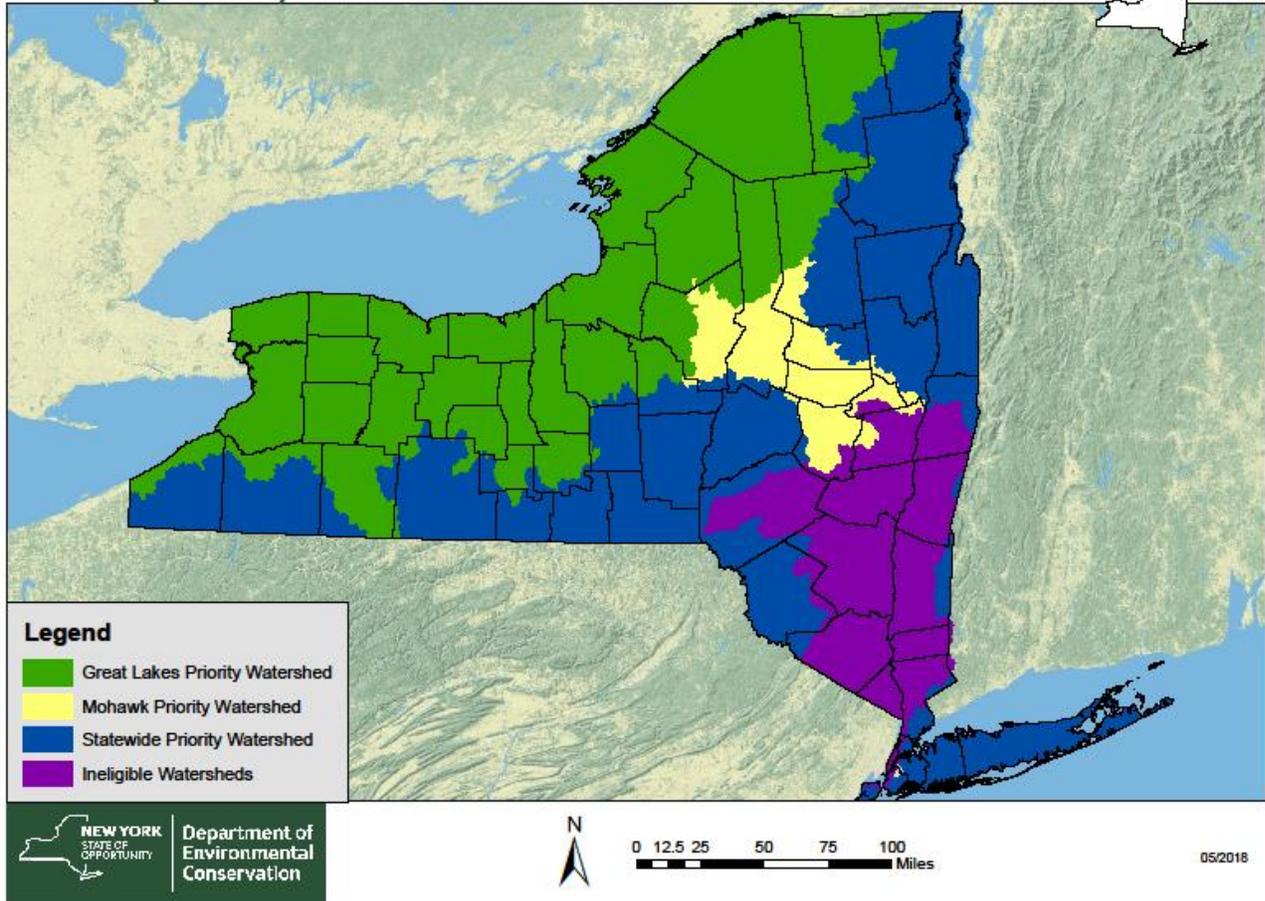
In the event the monies defined herein are to be used for the development of facilities, outdoor recreation areas, transportation or written or spoken communication with the public, the Contractor shall comply with all requirements for providing access for individuals with disabilities as established 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>.

**APPENDIX 1**

**MAP OF ELIGIBLE WATERSHEDS**

**Trees for Tribes Grant Program  
(Round 1)**

Appendix 1



## **APPENDIX 2**

### **RECOMMENDED MINIMUM STANDARDS FOR NYS DEC TREES FOR TRIBS RIPARIAN PLANTING PROJECTS**

The following are minimum standards that should be used for tree planting grant projects. If the local ordinances and guidelines require more stringent standards, then those standards must be adhered to by the applicant. All riparian planting work should be supervised by a qualified professional.

#### **Planning:**

A detailed riparian planting plan and long-term maintenance plan must be developed with input from local agencies to avoid conflicts. All tree planting projects should call *Dig Safely New York* ([www.digsafelynewyork.com](http://www.digsafelynewyork.com)) at 1-800-962-7962 to verify the presence of any underground utilities within the planned project location.

#### **Plant Species Selection:**

1. Species will be selected to fit the planting site, taking into consideration soils, rooting space, canopy closure overhead, adjacent utilities and buildings, drainage, flooding frequency, and other site conditions.
2. All species need to be appropriate for the hardiness zone in which they are located.
3. All trees and shrubs used will be true to name. Size and grading standards will conform to the American Standards for Nursery Stock:
  - a. [HTTPS://WWW.AMERICANHORT.ORG/PAGE/STANDARDS](https://www.americanhort.org/page/standards) as established by the American Horticulture Association: [www.americanhort.org](http://www.americanhort.org)

#### **Site Selection:**

1. Sites must be riparian areas, which includes any areas within the floodplain or within 300 feet of a stream. However, the planting area should not be separated from the stream by a road, structure, stormwater pond or other man-made structures. Buffers along lakes, ponds and wetlands may also be considered.
2. Projects must be coordinated by an eligible entity as stated in this RFA.
3. Sites with wider forested buffers are preferred. Applicants should strive for 35-foot forested buffers or wider for maximum water quality improvements.
4. Projects should also include education and outreach to local communities and through use of volunteers to complete planting projects.

#### **Planting Standards:**

1. Trees and shrubs should be spaced properly with trees being 15- 20 feet apart and shrubs being 2- 5 feet apart to create healthy forest structure.
2. Plants will not be planted within 10 feet of utility poles or hydrants.
3. Plants will not be planted within 30 feet of an intersection of 15 feet of driveways and alleys.

**Planting Standards:**

1. Bareroot plants must be planted within one day of delivery and must be kept moist no more than 12 hours before planting. Otherwise, bareroot plant material should be held in a refrigerator cooled to 38 – 48 °F for up to two weeks before planting to ensure plant survival.  
\*Bareroots are fragile and require cool temperatures and wet conditions. Too much heat, and the mold it creates, can kill seedlings.\*
2. Holes dug for bareroot seedlings need to be deep enough for the entire root system. 1/3 of the root system can be trimmed using pruners if roots are very long. Roots need to be kept up and down to ensure plant survival. Bareroot trees and shrubs should be planted at the same depth they were at the nursery, which is the area of color change near the root collar.
3. Holes dug for potted plant material should be dug as deep as the soil height in the pot and twice as wide as the pot the plant is in. When planted, soil from the pot reaches the top edge of the dug hole. Loosen “root-bound” plants by pulling roots away from the packed soil.
4. Soil should be placed carefully around both potted and bareroot stock and firmly packed around seedlings to ensure there are no air pockets that could dry roots.
5. Water newly planted trees and shrubs with two inches of water.
6. Tree tubes should be staked around each hardwood tree to help protect species from deer browse. Tree tubes should be removed when the tree’s diameter is 1.5 inches across when measured six inches from the base of the tree.
7. Weed mats should be stapled down around every plant to prevent weed competition and vole predation of roots.
8. Flood-prone areas may use mulch around trees and shrubs to prevent loss of tree protection materials.
9. Areas with heavy beaver activity should consider using wire cages to prevent removal of trees and shrubs by beaver.
10. Newly planted trees and shrubs should be watered weekly during dry conditions, providing each plant with enough water to dampen the top 2 inches of ground around the tree.

Proper planting standards are outlined in the Trees for Tribes Guide to Planting Your Trees and Shrubs, available on the program website: <http://www.dec.ny.gov/animals/77710.html>.

**Maintenance Planning:**

A detailed long-term maintenance plan for each site must be developed. Also see Appendix 6, Maintenance Report.

1. Grantee will inspect trees every six months to evaluate tree health and maintain tree protection.
2. Grantee will water during the growing season as needed. Supplement rainfall so that the plant averages a minimum of 2 inches of water every 2 weeks (May – September).
3. Grantee will remove tree tubes once trees are 1.5 inches in diameter when measured six inches from the ground.

Required maintenance activities are outlined in the Trees for Tribes Site Maintenance Guide for Streamside Plantings, available on the program website: <http://www.dec.ny.gov/animals/77710.html>. Refer to Appendix 6 for Sample Maintenance Report.

**APPENDIX 3**

**SAMPLE MUNICIPAL ENDORSEMENT**

The Municipal Endorsement is for non-municipal projects located on municipal property (tax parcel(s) #) 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 Trees for Tribs Grant Program for Replanting New York’s Riparian Areas to be located (insert location), a site located within the territorial jurisdiction of this (Board, Council, 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, Legislature) of (municipality) hereby does approve and endorse the application of (applicant name) for a grant under the Trees for Tribs Grant Program for Replanting New York’s Riparian Areas for a project known as (project title) and located within this community.

(Date of Adoption and Certification of Clerk)

#### **APPENDIX 4**

#### **SAMPLE LETTER OF AGREEMENT**

This agreement, dated \_\_\_\_\_, between [LANDOWNER] and [GRANTEE] allows the [GRANTEE] to undertake riparian tree planting activities on land owned by the [LANDOWNER] on tax parcel [TAX PARCEL NUMBER] in [NAME OF COUNTY], in the State of New York.

In signing this agreement, the [LANDOWNER] grants to the [GRANTEE], or its designees, the authority to complete the activities described in the attached Planting Plan. The attached Planting plan shows the location of site photos taken as well as the work to be completed.

The [LANDOWNER] grants the [GRANTEE] access to the site at the agreed upon planting date(s) to conduct project-related activities such as site analysis and planting planning, site preparation including mowing, installation of trees, shrubs, tree shelters, weed mats, inspection of completed work, and maintenance and monitoring of site for an agreed upon length of time.

[LANDOWNER] does not have to be present unless otherwise requested by the [GRANTEE].

The [LANDOWNER] retains all rights to control trespass and retains all responsibility for taxes, assessments, granting of right-of-way, control and eradication of noxious weeds and other incidences of ownership.

The [LANDOWNER] agrees to maintain the riparian buffer depicted in the attached Planting Plan and shall not cut, remove, mow or otherwise disturb vegetation, including but not limited to trees and shrubs planted, or naturally growing in the project area. Trees and shrubs planted 50 feet away from the water (Zone 2) may be managed for timber, but not for commercial purposes and removed if they become a safety hazard. All trees and shrubs within 50 feet of the water (Zone 1) will remain untouched. During times of drought, [LANDOWNER] shall water newly planted trees and shrubs, maintain and monitor tree shelters and weed mats at least twice annually to ensure proper installation, and remove tree tubes when needed. [LANDOWNER] will be provided with printed guides and other resources to ensure proper maintenance of planted trees and shrubs.

[LANDOWNER]'s long-term maintenance activities are outlined in the Trees for Tribes Site Maintenance Guide for Streamside Plantings, available on the following website: <http://www.dec.ny.gov/animals/77710.html>. In the event that a natural circumstance, beyond the control of the [LANDOWNER], damages the constructed or installed components of the restoration project, the [LANDOWNER] will not be required to repair these damages.

The [LANDOWNER] agrees to notify the [GRANTEE] in writing, prior to implementing any activity that could impact the riparian buffer, which includes agricultural activities grazing of livestock, construction of any kind, or if the [LANDOWNER] proposed to sell off lands rehabilitated or improved with these state funds.

The [LANDOWNER] agrees to allow a small sign to be installed identifying the planting site for future monitoring.

The [LANDOWNER] guarantees ownership of the above-described land and warrants that no outstanding rights exist which interfere with the tree planting activities outlined herein.

In the event the [LANDOWNER] transfers any of the lands described in the attached, he/she shall take necessary steps to inform the purchaser of the existence of the riparian buffer and intention of its maintenance in perpetuity. The [LANDOWNER] will notify the [GRANTEE] of any changes in ownership.

The [GRANTEE] is prohibited by law from making obligations that exceed available funds, and therefore the [GRANTEE] can only do that work which is funded. In the event funds are not available to complete the tree planting as outlined within the period of time or in the manner described, the [GRANTEE] will notify the [LANDOWNER] of this fact.

The [LANDOWNER] agrees, on behalf of himself/herself/themselves and his/her/their heirs, successors and assigns, to release the [GRANTEE] and their representatives from all claims arising out of and/or related to the project described in the planting plan.

By aligning below, all parties agree to their respective rights and responsibilities described herein.

_____	_____
[LANDOWNER] NAME	DATE
_____	_____
[LANDOWNER] SIGNATURE	DATE
_____	_____
[GRANTEE] NAME	DATE
_____	_____
[GRANTEE] SIGNATURE	DATE

**APPENDIX 5**

**PLANTING PLAN**

Site Name: \_\_\_\_\_

Stream Name: \_\_\_\_\_

Lat/Long. Coordinates: \_\_\_\_\_

Contact Person: \_\_\_\_\_ Phone: \_\_\_\_\_ E-mail: \_\_\_\_\_

Visit Date & Time: \_\_\_\_\_ Site Address: \_\_\_\_\_

Project Goals: \_\_\_\_\_

Site Description: \_\_\_\_\_

**Please complete the following site assessment. Provide as much detail as possible!**

*Site Conditions*

Light: **Full Partial Shade** Invasive Species: **Present Absent**

Existing Vegetation (please describe and include photo): \_\_\_\_\_

Invasive Species Present (please identify, describe and photograph): \_\_\_\_\_

*Stream Conditions*

Stream width (measure from bank to bank): \_\_\_\_\_ feet

Stream length (measure the length along the bank where the planting will occur): \_\_\_\_\_ feet

Downstream conditions or concerns (please describe): \_\_\_\_\_

Does the stream flood? If so, how high up the bank (in feet) and how often? \_\_\_\_\_

Runoff conditions (do sheets of water flow over the site during storm events or do ditches cut through the site leading to the stream? Please describe.): \_\_\_\_\_

Soil Texture: **Sand (large particles) Silt (medium particles) Clay (small particles)**

Soil pH (if known): \_\_\_\_\_ Stream Classification (Standard): \_\_\_\_\_

Does the site exist within a floodplain? **Yes No** Are there state or federal wetlands? **Yes No**

*Bank Conditions*

Bank height: \_\_\_\_\_ feet Bank Angle: **0-15° 16-30° 31-45° 46-60° 61-75° 76-90°**

Bank Shape (draw below if needed): \_\_\_\_\_ Is there a bank overhang? **Yes No**

Site Map: **Please draw the area to be planted below.** Include

- Locations where site photos were taken as well as the direction photos were taken
- Any landscape features that will orient future visitors who will monitor the site
- Species locations within planting area



# of trees requested for site: \_\_\_\_\_ # of shrubs requested for site: \_\_\_\_\_

List of species requested:

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Trees recommended for this site: \_\_\_\_\_

Shrubs recommended for this site: \_\_\_\_\_

Average width of buffer (in feet): \_\_\_\_\_

**APPENDIX 6**

**SAMPLE MAINTENANCE REPORT**

**TREES FOR TRIBS**  
**MAINTENANCE REPORT**



**Department of  
Environmental  
Conservation**

SITE NAME: \_\_\_\_\_  
STREAM NAME: \_\_\_\_\_  
LAT./LONG COORDINATES: \_\_\_\_\_  
CONTACT PERSON: \_\_\_\_\_ PHONE: \_\_\_\_\_ E-MAIL: \_\_\_\_\_

MAINTENANCE VISIT DATE: \_\_\_\_\_  
ORIGINAL PLANTING DATE: \_\_\_\_\_

HAS THIS SITE BEEN PREVIOUSLY VISITED FOR MAINTENANCE? YES NO IF SO, WHEN?  
\_\_\_\_\_

WAS THERE A RECENT STORM EVENT? YES NO

PLEASE COMPLETE THE FOLLOWING CHECKLIST TO ASSURE THE HEALTH OF YOUR PLANTS AND THE SUCCESSFUL ESTABLISHMENT OF A STREAMSIDE BUFFER.

- LOOK OVER THE ENTIRE PLANTING SITE
- TAKE PHOTOS OF THE SITE, CAPTURING THE ENTIRE SITE AS WELL AS ANY CONCERNS YOU MAY HAVE
- STRAIGHTEN ANY LEANING OR FIX BROKEN TREE TUBES
- CLEAN DEBRIS FROM TREE TUBES
- STRAIGHTEN WEED MATS
- IDENTIFY WEEDS AND INVASIVE SPECIES
  - PULL WEEDS
  - IDENTIFIED INVASIVE SPECIES REMOVED FOLLOWING THE RECOMMENDED REMOVAL TECHNIQUE (SEE MAINTENANCE GUIDE FOR RESOURCES TO ASSIST WITH SPECIES ID AND REMOVAL)
- ASSESS THE HEALTH OF THE PLANTS
  - CHECK BRANCH ENDS FOR SIGNS OF DEER OR RABBIT BROWSE
  - CHECK FOR DISCOLORED LEAVES OR UNUSUAL GROWTH
  - CHECK FOR WILTED LEAVES
  - CHECK FOR BARK DAMAGE

PLEASE PROVIDE A BRIEF SUMMARY OF THE MAINTENANCE COMPLETED ON THE SITE AS WELL AS ANY CONCERNS YOU HAVE:

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BASED ON YOUR VISIT TODAY, HOW MANY PLANTS NEED REPLACEMENT?

TREES: \_\_\_\_\_ SHRUBS: \_\_\_\_\_

OTHERS: \_\_\_\_\_

PLEASE LIST SPECIES THAT DID NOT SURVIVE AT THIS SITE:

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WOULD YOU RECOMMEND ANOTHER PLANTING FOR THIS SITE? (HAS MORTALITY BEEN HIGH ENOUGH TO WARRANT AN ADDITIONAL PLANTING, OR ARE ADDITIONAL PLANTS NEEDED FOR ADDITIONAL ENHANCEMENT OF THIS STREAM BUFFER?)

YES NO

***TREES FOR TRIBUTARIES IS A PROGRAM OF THE  
NYSDEC SARATOGA TREE NURSERY***