



**Department of
Environmental
Conservation**

2016 URBAN AND COMMUNITY FORESTRY GRANTS PROGRAM (Round 13)

Request for Applications

NYS Grants Gateway Opportunity ID Numbers:

Tree Inventory or Community Forest Management Planning Projects:

DEC01-UCF1-2016

Tree Planting or Tree Maintenance Projects:

DEC01-UCF2-2016

Application Deadline:

2:00 PM on March 1, 2017

Grants Gateway Application Training Webinar:

2:00 PM on January 5, 2017

DIVISION OF LANDS AND FORESTS

URBAN FORESTRY PROGRAM

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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 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 <https://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 <https://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 grantsgateway@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 <https://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 Applications.
- Specific questions about the prequalification process should be referred to your agency representative or to the Grants Reform Team at grantsgateway@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 <https://grantsreform.ny.gov>

AVAILABLE NYS GRANTS GATEWAY TRAINING WEBINAR INFORMATION:

Topic: 2016 Urban and Community Forestry Grant Program Grants Gateway Application Training Webinar

Date: Thursday, January 5, 2017

Time: 2:00 p.m., Eastern Daylight Time

Please note that this webinar requires registration.

This webinar will walk you through the Grants Gateway application process for the 2016 Urban and Community Forestry Grant Program (DEC01-UCF1-2016 and DEC01-UCF2-2016).

To register for this webinar:

1. Go to <https://meetny.webex.com/meetny/j.php?RGID=rb01dbcfb520aee2a273dd76ab2f8c20d>
2. Register for the meeting.

Once the host approves your request, you will receive a confirmation email with instructions for joining the meeting.

On the day of the meeting, you will log into the webinar first and then be presented with phone conference dial-in information.

NOTE: The phone conference may be muted when you join and you may not hear any sounds until the presenter begins at 2:00 p.m.

For assistance, please contact the Grants Gateway help desk at 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_HJ7v4itAZOOOY0pfBI0dWqPWnuM

2016 URBAN AND COMMUNITY FORESTRY GRANTS

REQUEST FOR APPLICATIONS

The New York State Department of Environmental Conservation (DEC) is pleased to announce available Environmental Protection Fund (EPF) funding for qualifying governmental entities or not-for-profit (NFP) organizations. Grant projects must implement successful tree inventory, community forest management planning, tree planting, or tree maintenance projects in New York State to create healthy urban and community forests while enhancing the quality of life for urban residents. Projects must be implemented on non-state-owned properties in a location where they provide a public benefit. Project locations on private property (beyond the right of way) are contingent upon existing local authority.

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 March 1, 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 technical issues.

AWARD ANNOUNCEMENT

DEC anticipates grant awards will be announced early 2017 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

DEC anticipates that a total of approximately \$2.3 million will be available for eligible projects in response to this Request For Applications (RFA). Available funding is provided from the New York State Environmental Protection Fund (EPF).

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

- **“Large Community Grants”:** Approximately \$1,150,000.00 of the total funding will be available for projects located within cities and towns with populations of over 65,000 residents. See Appendix 1 of this RFA for a complete list of eligible large communities.
- **“Community Grants”:** Approximately \$1,150,000.00 of the total funding will be available for projects located within Communities with a population size of less than 65,000 residents.

Additional funding may become available in the future and may be used to fund projects, or portions of projects, received in this solicitation. Such additional funds will be awarded pursuant to the method of award described in this RFA.

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 an 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 a two-year timeframe.

MINIMUM AND MAXIMUM GRANT AWARD AMOUNTS

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

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

APPLICATION LIMIT

Applicants may submit up to three applications. If submitting multiple applications, each application must be for a different project in a different location. 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 will be required to describe how each project is different from one another.

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

Projects must be implemented on non-state-owned properties or alongside a state-owned roadway in a city, town or village in a location where they provide a public benefit. Project locations on private property must be no more than ten feet beyond the municipal right-of-way. State law authorizes the use of public resources on private property if a public benefit is primarily served by that expenditure. Applicants are required to upload a map of the project area in Grants Gateway.

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; improvement district within a county, city, town or village; municipal corporations; soil and water conservation districts; school districts; community colleges; and 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.

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 (<https://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 (<https://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.

MATCH REQUIREMENT

Match is the portion of project expenditures not paid for with grant funds. Match can be from local and/or in-kind contributions. Local sources can include funding from other non-state and/or non-federal grant sources or from project partners. In-Kind contributions are non-cash donations provided by non-state and/or non-federal third parties which can include equipment, supplies, services, and other expendable property. Matching share contributions must support the objectives outlined in the work plan.

Eligible sources of match funds cannot come from other New York State or federal funding sources. Applicants will be required to provide the sources of all matching funds using the Match Worksheet in the Grants Gateway.

Tree Planting or Tree Maintenance projects: Applicants must match at least twenty-five percent (25%) of the requested amount of grant funding for Tree Planting and Tree Maintenance projects.

Tree Inventory or Community Forest Management Plan projects: Applicants are not required to provide a match for Tree Inventory or Community Forest Management Plan projects.

Table 1: Grant Funding Categories and Match Amounts

Grant Funding Category	Minimum Grant Amount	Maximum Grant Amount	Match*
Large Community Grants	\$11,000	\$75,000	<i>Inventory and Management Plans:</i> No match required <i>Planting and Maintenance:</i> Match must be at least 25% of the grant amount
Community Grants	\$11,000	\$50,000	<i>Inventory and Management Plans:</i> No match required <i>Planting and Maintenance:</i> Match must be at least 25% of the grant amount

**State or federal funding sources will not be considered eligible for reimbursement or use towards the required match.*

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 partnership, only one eligible, designated lead applicant can submit the project application for grant funding. The designated lead applicant must assume the responsibility for the project application, the performance of work consistent with the application, and the execution of a Master Contract for Grants in the NYS Grants Gateway. 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 uploaded in a single pdf file in the Grants Gateway.

QUESTIONS AND ANSWERS

UCF Grant Program Information:

Please email all questions about this grant opportunity to:

Mary Kramarchyk: mary.kramarchyk@dec.ny.gov

Include "UCF Grant" in the subject line of the email.

Questions regarding this grant opportunity will be accepted by the DEC until C.O.B. on February 15, 2017. All questions and answers will be available in the Grants Gateway for all applicants to view.

Project 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 list approval should be directed to the Forester in the Division of Lands and Forests in your DEC Regional Office (<http://www.dec.ny.gov/about/558.html>).

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.

II. ELIGIBLE PROJECT TYPES AND INFORMATION

GRANT OBJECTIVES

The DEC is committed to implementing a successful Urban and Community Forestry (UCF) Program and dedicated to providing support and assistance to communities in the development and implementation of comprehensive tree planting, management, and education to create healthy urban and community forests while enhancing the quality of life for urban residents.

PROJECT TYPES

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

Additional information and requirements for each of the following eligible projects types are outlined below:

1. Tree Inventory

(Use Grants Gateway Opportunity ID No. DEC01-UCF1-2016 to apply for Tree Inventory Projects)

DEC recommends an applicant conduct an inventory of existing trees and potential planting spaces prior to developing a management plan or implementing a planting or maintenance project. Inventory projects are encouraged in order to get a picture of the age, species, health, and geographic distribution of the urban forest. A complete (100%) inventory provides specific information for individualized tree care, including risk tree identification. Risk tree identification is recommended, but not required.

Applications for inventories are encouraged to address environmental issues (including storm water treatment, water quality, air quality, urban heat island effects, structural heating/cooling, or brown fields) that are presently impacted by existing trees, or could be impacted with planting on strategic sites.

Applications should also address the presumed effects on social and economic conditions by the presence of trees where they currently exist and in the selection of future planting sites.

Communities are required to collect data in a computerized software program that will allow for an environmental benefits analysis. USDA Forest Service i-Tree software is recommended, but not required.

Upon completion of the project, a digital copy of the final tree inventory must be submitted in a format compatible with Microsoft Office Excel or Access either through Grants Gateway or on a CD or thumb drive, and should be listed as one of the tasks and related performance measures in the application work plan.

Completed tree inventories must include the following information:

- Column headings and description of column content or codes
- Measurement of tree DBH in inches
- Tree species – genus AND species common names accepted
- Street address location
- GPS coordinates
- Arborist re-inspect management recommendations (for volunteer or non-professional inventories)
- Location of empty and/or potential tree planting sites

2. Community Forest Management Plan

(Use Grants Gateway Opportunity ID No. DEC01-UCF1-2016 to apply for Community Forest Management Plan Projects)

Communities, in creating a management plan, must base the plan on an environmental benefits analysis using their current street tree inventory of existing trees and list of potential planting sites. Tree inventory data can be used to address environmental issues, water quality, air quality, urban heat island effects, structural heating/cooling, storm water management, and/or brownfields that are presently impacted by existing trees, or could be impacted with planting on strategic sites.

Applications for management plans are encouraged to address environmental issues (including storm water treatment, water quality, air quality, urban heat island effects, structural heating/cooling, or brownfields) that are presently impacted by existing trees, or could be impacted with planting on strategic sites.

Applications should also address the presumed effects on social and economic conditions by the presence of trees where they currently exist and in the selection of future planting sites.

Upon completion of the project, a digital copy of the completed management plan must be submitted either through Grants Gateway or on a CD or thumb drive, and should be listed as one of the tasks and related performance measures in the application work plan.

Completed Management Plans must include the following information:

- A vision for the long-term community forest
- The development of strategies, budgets, and work plans including a timeline to meet that vision
- A tree inventory, which includes locations, species, site conditions, and management needs
- Risk tree reduction plan/emergency storm response
- Urban forest cost-benefit analysis
- Public relations and education
- Community Forestry Advisory Board Designated Activities

Tree Inventory and Community Forest Management Plan Costs Eligible for Reimbursement:

Personal Services – Salary: Staff and paid labor costs (excludes overhead) devoted to the project must be itemized according to job title or job assignment on project. This also includes grant administration costs associated with preparing the project agreement (contract), affirmative action, M/WBE, quarterly reporting, and reimbursement payment request documentation once the grant is awarded. Grant recipients will be required to document the time worked, tasks, pay ratio and payment.

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 services rendered to the project under a written agreement with the grantee.

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

Equipment: Includes purchase and/or rental costs and delivery of equipment directly required to implement the project. 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".

Other Expenses: Includes supplies and materials directly required to implement the project, advertising costs, the cost of publicizing the project in newspapers, or appropriate construction publications or informational brochures about the project. Educational resources such as inventory software and training 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 are allowed.

Tree Inventory and Community Forest Management Plan Costs NOT Eligible for Reimbursement:

Donated labor, equipment usage, and/or other items: Costs that are not paid by the grantee. Volunteer work is not eligible for reimbursement.

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

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

Application preparation: Costs associated with preparing the grant application.

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

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

3. Tree Planting

(Use Grants Gateway Opportunity ID No: DEC01-UCF2-2016 to apply for Tree Planting Projects)

Tree planting applications should address how the project will promote the quality of the urban forest in parks and/or open spaces; habitat creation; air and water quality; energy savings; increased property values; revitalization; public health; and/or improved quality of life for residents. Tree planting projects may not be

located on state-owned property except for designated state-owned roadways within cities, villages and towns. Applications from communities with a U&CF management plan will receive more points in the evaluation of an application. Applicants must use only non-invasive species (see invasive species list at <http://www.dec.ny.gov/animals/265.html>) and should 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). Points are available in the evaluation of an application if the project is located in an under-served neighborhood, and when a DEC forester or natural resource professional's approval of the tree list is provided.

Tree planting project applications must include the following information:

- Project location
- Number of trees to be planted
- A list of tree species
 - You may use one of the following links when building your tree list:
http://lyra.ifas.ufl.edu/NorthernTrees/selection_detail.htm
<https://www.na.fs.fed.us/pubs/2014/WhyAReplacementTreeTable140806.pdf>
<http://www.hort.cornell.edu/uhi/outreach/recurbtrees/index.html>
- Photos of potential tree planting sites

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

See Appendix 2 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. For regional contact information, see DEC's Lands and Forests Offices webpage (<http://www.dec.ny.gov/about/27790.html>).

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

4. Tree Maintenance

(Use Grants Gateway Opportunity ID No. DEC01-UCF2-2016 to apply for Tree Maintenance Projects)

For a tree maintenance grant application to be considered, your complete tree inventory or the portion of your inventory where the project is located is required to be uploaded with your application, except in cases of storm-damaged tree remediation where a state of emergency was declared. Inventories must be less than 8 years old. Tree maintenance projects should include documentation of intent to use professional arborist services, or staff trained in best management practices for tree maintenance.

Examples of maintenance projects:

- Tree removal or pruning, including stump removal, and forest thinning
- Pest control management practices, including removing and chipping
- Young tree care, including staking, watering, adding tree guards, etc.

Tree maintenance project applications must include the following information:

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

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

Tree Planting and Tree Maintenance Costs Eligible for Reimbursement:

Personal Services – Salary: Staff and paid labor costs (excludes overhead) devoted to the project must be itemized according to job title or job assignment on project. This also includes grant administration costs associated with preparing the project agreement (contract), affirmative action, M/WBE, quarterly reporting, and reimbursement payment request documentation once the grant is awarded. Grant recipients will be required to document the time worked, tasks, pay ratio and costs.

Personal Services – Fringe: Fringe benefits may include social security, workers' compensation, unemployment insurance, 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 services rendered to the project under a written agreement with the grantee.

Travel: Costs for staff travel between normal work location and project sites.

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.

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

Tree Planting and Tree Maintenance Costs Eligible to be Used as Match, but NOT Eligible for Reimbursement:

(Match of at least twenty-five percent (25%) of the requested amount of grant funding is required for Tree Planting and Tree Maintenance projects.)

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

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

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

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

Tree Planting and Tree Maintenance Costs NOT Eligible for Reimbursement or Match:

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

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

Application preparation: Costs associated with preparing the grant application.

Outside contract term: Costs incurred prior to 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 current deed or a current tax parcel map
- 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. ADDITIONAL APPLICATION REQUIREMENTS AND INFORMATION

Please be sure to complete the following application requirements as 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. Budget detail must clearly distinguish between expenses to be claimed under the State grant share and expenses comprising the match, if required. A project's cost-effectiveness is 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 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.

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.

QUALIFICATIONS AND PAST PERFORMANCE

Applicants should possess the knowledge, skills, and/or track record to successfully implement the project. Applicants will be asked to describe their qualifications and any history working with DEC’s Urban Forestry Program in the Grants Gateway program questions.

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 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.

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.

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, or a project that gives 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 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.

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.

PROFESSIONAL GUIDANCE

Proposed projects that include guidance on the proposed project from a DEC Forester, certified arborist, or another natural resource professional, will receive points in the evaluation of their application.

PROFESSIONAL SERVICE

Proposed projects that include intent to use appropriate professional services to prepare the inventory or management plan or use appropriate professional arborist services for planting or maintenance will receive points in the evaluation of their application.

LONG-TERM SUPPORT AND BENEFITS

Proposed projects that include long-term support and promote future benefits will receive points in the evaluation of their application.

TREE CITY USA

Proposed projects that take place within a Tree City USA community will receive points in the evaluation of their application. To find out if your community is a Tree City USA community, go to the Tree City USA Community Lookup web page: <https://www.arboday.org/programs/treecityusa/directory.cfm>

COMMUNITY FOREST MANAGEMENT PLAN

Proposed tree planting or tree maintenance projects in communities that have a community forest management plan that was created or updated within the last 8 years, or applications for a community forest management planning project in a community that does not have one that was created or updated within the last 8 years, will receive points in the evaluation of their application.

ALIGNMENT WITH REGIONAL ECONOMIC DEVELOPMENT COUNCIL PRIORITIES

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 REDC 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. OR
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.

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. 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 Planting, Tree Maintenance, Tree Inventory, or Community Forest Management Plan)? *pass/fail*
2. **Project Summary:** Is the project summary of tasks and objectives appropriate based on the proposed project type? *pass/fail*
3. **Multiple Projects:** If the applicant is submitting more than one application for more than one project under this opportunity, each project type and general project location must be its own separate application, and the applicant must describe how the projects are different from one another. *pass/fail*
4. **Applicant Type:** Is the applicant an eligible governmental entity or not-for-profit (NFP) corporation as defined in the RFA, and if the applicant is an NFP, was the NFP prequalified in the Grants Gateway by the due date of the RFA? *pass/fail*
5. **Non-State-Owned Property:** Is the proposed project located on non-state-owned property, or alongside a state-owned roadway in a city, town or village? *pass/fail*
6. **Other Funding:** The proposed project is not already receiving funds from another New York State or federal assistance program for the same activities as those being proposed in this application. *pass/fail*
7. **Site Accessibility:** Did the applicant provide proof of landownership, 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? *pass/fail*
8. **Tree List – Tree Planting and Tree Maintenance projects only:**
 - a. For Tree Planting projects, did the applicant include a tree list of the number of trees to be planted and a list of the tree species, approved by an appropriate professional such as a DEC forester? *pass/fail*
 - b. For Tree Maintenance projects except in cases of storm-damaged tree remediation where a state of emergency was declared, did the applicant upload a complete tree inventory of the area where the project will be located, completed or updated within the last 8 years, and approved by an appropriate professional? *pass/fail*
9. **Project Location Description and Map:** Did the applicant upload a map that clearly identifies the project area? *pass/fail*
10. **Project Location Photos – Tree Planting and Tree Maintenance projects only:** Did the applicant upload photos of the proposed project site(s)? *pass/fail*
11. **Shared Services – Tree Planting and Tree Maintenance projects only:** If the applicant included an equipment item with a value over \$20,000 in their budget, did they upload a shared services agreement? *pass/fail*
12. **Community Forest Management Plan – Community Forest Management Plan projects only:** Does the applicant's project community already have a community forest management plan or tree management plan that was updated within the last 8 years? *pass/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:

Project Location

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

- | | |
|--|--------|
| (A) Applicant adequately described the project location, and the uploaded map(s) and photos, if required, were clearly labeled | 5 pts. |
| (B) Applicant adequately described the project location, but the uploaded map(s) and photos, if required, were not clearly labeled | 3 pts. |
| (C) Applicant did not adequately describe the project location but did include a clearly labeled map or photos, if required | 1 pt. |
| (D) Applicant did not adequately describe the project location | 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 Urban Forestry Program?

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

Partnerships

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

- | | |
|---|--------|
| (A) Applicant included an adequate description of how partners or volunteers will be involved | 5 pts. |
| (B) Applicant did not adequately describe how partners or volunteers will be involved | 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 | 5 pts. |
| (B) No partner support letters were uploaded | 0 pts. |

Local Needs – Identification

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

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

Local Needs – Potential

Does the proposed project as described in the work plan have the potential to improve or enhance environmental, social, and/or economic needs of the community?

- | | |
|---|--------|
| (A) The proposed project has the potential to significantly improve or enhance environmental, social, and/or economic needs of the community | 8 pts. |
| (B) The proposed project has the potential to improve or enhance environmental, social, and/or economic needs of the community | 5 pts. |
| (C) The proposed project is unlikely to affect environmental, social, and/or economic needs of 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 local external stakeholders who will not serve as partners, such as 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. |

Environmental Justice

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

- | | |
|---|--------|
| (A) The proposed project would benefit a Potential Environmental Justice Area | 5 pts. |
| (B) The proposed project would benefit another under-served population or area | 3 pts. |
| (C) The proposed project is not in an Environmental Justice or other under-served population area and/or the applicant did not adequately describe the location or benefits | 0 pts. |

Outreach and Education

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

- | | |
|---|--------|
| (A) Two or more public outreach and/or education efforts described including at least one press event | 9 pts. |
| (B) One public outreach and/or education effort described which includes a press event | 6 pts. |
| (C) At least one public outreach and/or education effort described, but no press events are included | 3 pts. |
| (D) No public outreach and/or education efforts described | 0 pts. |

Professional Guidance

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

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

Professional Service

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

For tree inventory and community forest management plan projects, applicant must have included an adequate description of their intent to use professional services from an appropriate natural resource professional or green industry professional.

For tree planting and tree maintenance projects, applicant must have included an adequate description of their intent to use arborist services from an appropriate professional.

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

Long-Term Support and Benefits

Will the proposed project receive long-term support and promote future benefits?

- (A) Applicant has adequately described both the long-term benefits and how the project will be supported following its completion 7 pts.
- (B) Applicant has adequately described either the long-term benefits of the project or how the project will be supported following its completion 4 pts.
- (C) Applicant did not adequately describe either the long-term benefits or support for the project 0 pts.

Tree City USA

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

- (A) Applicant answered "Yes" and the project takes place within a Tree City USA Community 2 pts.
- (B) Applicant answered "No" or the project does not take place within a Tree City USA Community 0 pts.

Community Forest Management Plan

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

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

Alignment with REDC Priorities

Will the project complement part of the Regional Economic Development Council (REDC) Strategic Plan of the project community's region? REDC Strategic Plans can be found on the NYS Regional Economic Development Councils website at <http://regionalcouncils.ny.gov/>.

- | | |
|---|--------|
| (A) The applicant included either a written recommendation for the project 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 Strategic Plan | 3 pts. |
| (B) Applicant did not include either of the above | 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 | 5 pts. |
| (B) The budget contains sufficient detail to assess cost-effectiveness | 3 pts. |
| (C) An inadequate level of detail to assess cost-effectiveness was provided in the budget | 0 pts. |

Cost Effectiveness 2 - Reasonableness of Expenses

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

- | | |
|---|---------|
| (A) Only reasonable implementation expenses are included in the budget | 10 pts. |
| (B) Mostly reasonable implementation expenses are included in the budget | 5 pts. |
| (C) Many unreasonable expenses are included and/or applicant did not provide adequate 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 | 5 pts. |
| (B) Budget includes one ineligible cost | 2 pts. |
| (C) Budget includes two or more ineligible costs or an inadequate level of detail was provided | 0 pts. |

Total possible score: 100 pts.

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.

All Level 1 Technical reviewers' scores will be averaged for each application. The Level 2 reviewer will evaluate and score the following criteria: Tree City USA, Tree Management Plan, REDC Priorities, and Cost-Effectiveness. The Level 2 score will be added to the Level 1 average score to determine an application's final score.

Applications for all four project types (tree inventory, community forest management planning, tree planting, and tree maintenance projects) will be grouped into two lists, "**Large Community Grants**" and "**Community Grants**" projects as defined in this RFA.

1. **“Large Community Grants”** applications will be selected for funding beginning with the highest down to the lowest ranked project until available funding for “Large Community Grants” projects is exhausted or no eligible “Large Community Grants” applications remain.
2. **“Community Grants”** applications will be selected for funding beginning with the highest scored application down to the lowest ranked project until all available funding for “Community Grants” is exhausted or no eligible “Community Grants” applications remain.
3. 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.

V. GRANT PROGRAM PAYMENT AND REPORTING

PAYMENT AND REPORTING

- 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 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.
- Quarterly MCG reimbursement payment requests will be accepted prior to submission of a final closeout reimbursement request.
- 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.
- Projects already receiving funds from another NYS or Federal assistance grant program are not eligible to receive funding for the same project activities identified in this RFA.

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 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 MCG 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 (“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 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 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/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 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 (ADA), 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

LARGE COMMUNITY GRANT LIST

Projects within the communities listed below, are eligible for grants up to \$75,000 in Round 13. These communities have been identified as having populations greater than 65,000.*

Cities

Albany

Buffalo

Mount Vernon

New Rochelle

New York City

Rochester

Schenectady

Syracuse

Yonkers

Towns

Albany County – Colonie

Erie County – Amherst, Cheektowaga, Tonawanda

Monroe County – Greece

Nassau County – Hempstead, North Hempstead, Oyster Bay

Rockland County – Clarkstown, Ramapo

Suffolk County – Babylon, Brookhaven, Huntington, Islip, Smithtown

Westchester County – Greenburgh

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

APPENDIX 2

RECOMMENDED MINIMUM STANDARDS FOR NYS DEC TREE PLANTING PROJECTS

The following are minimum standards that may be used for tree planting 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 AmericanHort (americanhort.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; however, a planting space of at least 50 sq. ft. is recommended.
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 two to three times the size of the root ball.
2. Trees will be planted no deeper than previously grown with allowance for settling. The root flair should be at or slightly above ground level.
3. Strings and twine will be removed from trunk of tree. Burlap and wire baskets will be removed or rolled down into hole.
4. Backfill with existing soil when suitable. Avoid using excessive amounts of organic matter.
5. When sensitive species are exposed to direct sun, wrap lower trunk with a tree wrap. Remove wrap after first growing season.
6. Bark mulch will be applied around the tree, up to 3 inches deep, in a circle which extends beyond the planting hole. Mulch should not touch trunk above root flair.
7. Only dead, damaged or poorly located branches will be removed using proper pruning techniques.
8. All bare root trees (and balled and burlapped trees in exposed, windy areas) will be staked or guyed to keep them upright. Use commonly accepted staking techniques. Stakes will be removed within the first year.
9. Newly planted trees will be watered at the time of planting, and for best results, they should receive 20 gallons of water per week until they are established.

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

Five Year Tree Maintenance:

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

1. Grantee will need to inspect the trees every six months to evaluate general health 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 20 gallons of water every week 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 3

SAMPLE MUNICIPAL ENDORSEMENT

The Municipal Endorsement is for non-municipal projects located on municipal property and must accompany the completed application. (Acceptable municipal endorsement for use when applicant is not a municipality.)

Resolution No. _____

WHEREAS, the (applicant name) is applying to the New York State Department of Environmental Conservation for a project grant under the Urban and Community Forestry 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 Urban and Community Forestry Program for a project known as (project title) and located within this community.

(Date of Adoption and Certification of Clerk)