Department of Forestry and Fire Protection
Urban and Community Forestry Program

California Climate Investments
GRANT GUIDELINES 2016/2017

CAL FIRE Urban and Community Forestry will offer workshops on the entire grant application and administration process for all prospective applicants. Please watch http://www.fire.ca.gov/resource_mgt_urbanforestry_grants.php *for dates, times, and locations of these workshops or contact your Regional Urban Forester (Appendix H) for details.*

Grant programs authorized by: The California Urban Forestry Act of 1978 (*Public Resources Code § 4799.06 – 4799.12*). A copy of which can be found at:
http://www.fire.ca.gov/resource_mgt/resource_mgt_urbanforestry.php

CONCEPT PROPOSALS DUE DECEMBER 16, 2016

NOTE: These guidelines may be modified if any additional conditions or criteria are required by the administering agency. Check back regularly for any updates prior to the due dates.

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CAL FIRE URBAN AND COMMUNITY FORESTRY PROGRAM
GREENHOUSE GAS REDUCTION FUND GRANT GUIDELINES 2016/2017

PICKING A GRANT PROGRAM

The CAL FIRE Urban and Community Forestry Program focuses on use of trees and associated vegetation to provide multiple benefit solutions and to mimic the functions of natural forests, in neighborhoods. The Natural Resources Agency has an Urban Greening Grant Program that may also be of interest to applicants. While there is some overlap between the two grant programs, most projects will better fit one or the other program. If you are unsure of which program is a better fit for your project, please ask CAL FIRE staff (Appendix H) and/or staff from the Natural Resources Agency for assistance in making a determination as to which program best fits your project.

INTRODUCTION

This procedural guide includes information for the use of funds provided by the Greenhouse Gas Reduction Fund (GGRF) for California Climate Investments administered by the California Department of Forestry and Fire Protection (CAL FIRE). CAL FIRE expects to award at least $13,500,000 of GGRF funding for Urban and Community Forestry California Climate Investment projects in the fiscal year 2016/2017.

The CAL FIRE Urban & Community Forestry Program works to optimize the benefits of trees and related vegetation through multiple-objective projects as specified in the California Urban Forestry Act of 1978 (Public Resources Code 4799.06-4799.12). These projects further the goals of the California Global Warming Solutions Act of 2006 (AB 32), result in a net greenhouse gas (GHG) benefit, and provide environmental services and cost-effective solutions to the needs of urban communities and local agencies. Co-benefits of the projects include increased water supply, clean air and water, reduced energy use, flood and storm water management, recreation, urban revitalization, improved public health, and producing useful products such as bio-fuel, clean energy, and high quality wood. Projects may provide a combination of these co-benefits or other co-benefits not mentioned, or even benefits that are not yet clearly defined. Urban and Community Forestry efforts play a significant role in meeting the State's GHG emission reduction targets. CAL FIRE encourages resident participation in the development and implementation of each project, although due to the size and complexity of projects, applicants are limited to state and local agencies and non-profit organizations.

Please read these guidelines carefully. Proposals submitted must be in full compliance with all stated requirements to be considered for funding.

CAL FIRE has prepared this guide to assist eligible local government and non-profit entities in applying for and administering grants from the CAL FIRE Urban & Community Forestry Program. CAL FIRE offers these grants to eligible applicants on an annual basis, as funding permits. These grants are designed to assist communities to create or implement multi-benefit projects with a focus on reducing greenhouse gas (GHG) emissions and providing benefits to disadvantaged communities.

It is important to note that applications will be treated in accordance with the Public Records Act requirements and that certain information, subject to those requirements, may be publicly disclosed. Additionally, some project information reported by applicants will be made available on the CAL FIRE

and/or ARB website(s). This information includes, but may not be limited to, the amount of funding that is being spent on projects within and benefiting disadvantaged communities and maps that show the locations of projects within these communities.

GENERAL ELIGIBILITY CRITERIA

The eligibility criteria for grants may vary and it is important that all applicants determine their eligibility prior to beginning the application process. Detailed eligibility information is available for each Urban and Community Forestry project type in these guidelines. Eligible applicants for most grants would include cities, counties, qualifying districts, and nonprofit organizations as classified under Section 501 C (3) of the Internal Revenue Code.

In order to be eligible for funding under this program:

- A project must demonstrate that it will achieve and maintain a net reduction in GHG emissions calculated using the Air Resources Board (ARB) FY 2016-17 quantification methodology that will be posted at: http://www.arb.ca.gov/cc/capandtrade/auctionproceeds/quantification.htm.
- All projects shall be designed to further the goals of the California Urban Forestry Act of 1978 and California Global Warming Solutions Act of 2006 (Assembly Bill 32, Health and Safety Code Section 38500 et seq).
- Projects must be sustained at least until a net GHG benefit is realized and maintained for 10 years.
- All projects, with the exception of *Urban Wood and Biomass Utilization* projects, must contain a tree planting component.
- All grants must include a justification for the grant amount requested. If applicable, the methodology must include the cost of the grant minus any income from products or other revenues received from the grant implementation.
- Projects selected for funding shall report to CAL FIRE quarterly on project status and benefits consistent with the reporting requirements found in Table 3.A.12 of ARB's Funding Guidelines for Agencies that Administer California Climate Investments (December 21, 2015) (Funding Guidelines) available at: http://www.arb.ca.gov/cc/capandtrade/auctionproceeds/arb-funding-guidelines-for-ca-climate-investments.pdf. These reporting requirements are captured in the CAL FIRE quarterly report form in Appendix F.
- The project area must be located in an urban area or immediately adjacent to an urban area. Urban areas, for the purposes of these guidelines, are "urban areas" and "urban clusters" as currently defined by the United States Census Bureau. You can find these definitions at: http://www.census.gov/geo/www/ua/2010urbanruralclass.html.
- Projects must show that they have authentically engaged the local community to develop the project.
- Projects must have multiple benefits (economic, environmental and social) to the community. Such benefits must be optimized.
- All projects must produce a finished and usable product, report, and/or action.
- Grants cannot finance any undertaking or complete any practice designed to supplant rather than supplement existing local agency activities. Such ineligible practices shall consist of any

request that CAL FIRE furnish grants to take the place of a regular or ongoing fiscal commitment to a program or project by a local government.

- Any practices that are required as mitigation of any kind may not be financed by this grant program.

Category specific criteria are listed for each grant category starting on page 18.

GENERAL GUIDELINES

Applicants are encouraged to work with local CAL FIRE Regional Urban Foresters in the planning and development of proposals prior to the grant program advertisement each year. Regional Urban Foresters are available for advice and technical expertise in planning of projects. See Appendix H for a list of CAL FIRE Regional Urban Foresters.

Funding of the projects awarded by to the CAL FIRE Urban & Community Forestry Program is subject to availability of funds and approval of the Budget Act each fiscal year (July 1-June 30). Grant Agreements for grant awards may not be in place until the following spring or later, so please plan project timelines accordingly. Projects must be completed by March 30 of 2020 at the latest. If selected, the project applicant shall comply with all applicable federal, state, and local laws, rules, regulations and ordinances in carrying out the grant project.

An applying entity may only submit up to 3 total grant proposals for consideration.

If the project is selected for funding and the project applicant fails to perform in accordance with the provisions of the enacted agreement, CAL FIRE retains the right, at its sole discretion, to interrupt or suspend the work for which the monies are supplied or to terminate the agreement entirely.

Disadvantaged Communities (also see Appendix L)

As directed by SB 535, CalEPA has identified disadvantaged communities for investment. Disadvantaged communities are those areas that are disproportionately affected by multiple types of pollution and areas with vulnerable populations. Cal EPA used CalEnviroScreen 2.0 to identify disadvantaged communities. Maps that show the disadvantaged community census tract boundaries and those tracts with a ½ mile extended zone around the tract boundary are available at http://www.arb.ca.gov/auctionproceeds. Applicants should use these maps to determine if a proposed project meets the criteria for being located within a disadvantaged community. Additional information on the identification of disadvantaged communities is available at: http://www.calepa.ca.gov/EnvJustice/GHGInvest.

At a minimum, 75% of the $15 million appropriation for this grant program will be expended on projects meeting the ARB criteria for being located within disadvantaged communities. See Appendix L for details.

Projects claiming to benefit one or more disadvantaged communities must provide direct, meaningful, and assured benefits to a disadvantaged community AND demonstrate that the project meaningfully addresses an important community need. Applicants shall describe how the project meets the criteria for providing a benefit to a disadvantaged community, identify the important community need the project addresses, and describe how the community need addressed was determined.

CAL FIRE may allow disadvantaged communities to have matching requirements reduced or waived and potentially receive enhanced maintenance funding (depending on grant type and project performance).

Applicants should be prepared to provide supporting documentation demonstrating how the project meets the criteria for providing direct, meaningful, and assured benefits to a disadvantaged community and meaningfully addressing an important community need. This proof will be required at the project application submittal stage and any application not meeting their status claims will be rejected. Funding recipients will need to report on how the project benefits have addressed the identified community need.

Projects claiming to benefit disadvantaged communities must be designed to avoid substantial burdens (e.g., displacement of low income disadvantaged community residents and businesses or increased exposure to toxics or other health risks).

Greenhouse Gas Reduction Methodology

All projects must achieve and maintain a net reduction in GHG emissions calculated using ARB's FY 2016-17 quantification methodology that will be posted at:
http://www.arb.ca.gov/cc/capandtrade/auctionproceeds/quantification.htm.

To meet the requirements of the funding source, all projects, with the exception of Urban Wood and Biomass Utilization projects, must contain a tree planting component.

When reporting, the projected carbon storage must be reported separately from the avoided emissions. In addition, any emissions associated with the project must be reported. A net GHG benefit must result when taking these three reported numbers into account. See for example:

Carbon Stored	-24,089	metric tonnes CO2e (MT CO2e)
Avoided Emissions	-29,158	MT CO2e
Project Emissions	+1,000	MT CO2e
Net GHG Benefit	-52,247	MT CO2e

Project Timeline

Projects completed by March 30, 2020

Projects closed (billing finished and remaining funds reverted) by: June 1, 2020

Note: No Reimbursement Possible After this date.

GRANT APPLICATION PROCESS

Please see Appendix K for a CAL FIRE Urban & Community Forestry Program Grant Process Flow Chart.

Grant Timelines

The following grant process and timelines are for general informational purposes. For the current fiscal year application materials please go to the following web sites:

http://www.fire.ca.gov/resource_mgt/resource_mgt_urbanforestry_grants

Or

http://www.ufei.org/grantinfo.lasso

Concept Proposal:

Year-round:

Applicants may work with local CAL FIRE Urban & Community Forestry Staff to develop Concept Proposals.

Early Fall:

Final Guidelines will be posted on the CAL FIRE Urban & Community Forestry web site. Eligible applicants should be watching the web site to see what types of grants will be available and determine whether their proposed project could be funded.

Mid to Late Fall:

Applicants will submit their Concept Proposals to CAL FIRE by the date specified in the Guidelines. Applications will be reviewed to determine that they are complete, comply with the conditions stated in the RFP, and all other requirements. Upon receipt, CAL FIRE will distribute all concept proposal applications to review for completeness. If the Concept Proposal application is complete, then the proposal will be reviewed on its merits and scored.

Late Fall to Early Winter:

Review and scoring will typically be completed. CAL FIRE will determine which Concept Proposals will be selected for development into Project Applications.

Late Fall to Early Winter:

CAL FIRE will notify applicants via letter whether or not their Concept Proposal has been invited or not invited to submit a Project Application, or if their Concept Proposal was ineligible, and why it was determined to be ineligible.

Project Application Package:

Mid to Late Winter:

Applicants will submit their Project Applications by mail to CAL FIRE. This includes one printed copy of all required documents and one electronic copy of all required documents. The due date will be specified in a letter that invites a Project Application.

Late Winter:

Review of Project Applications will be completed as soon as reasonably possible.

Early Spring:

Applicants are notified via letter whether or not their Project Application has been approved, deferred, or not approved. CAL FIRE staff will begin grant agreement preparation for those that are approved. Grant agreement preparation may necessitate minor alterations to submitted applications. Note: delays can occur if the State budget is not in place or authorization for CAL FIRE to award grants is not received by this time.

ASAP thereafter:

A Grant Agreement is sent electronically to the applicant. The applicant returns three sets of the Grant Agreement document with original signatures to the CAL FIRE Grants Management Unit within 10 business days.

Normally, within two weeks of a signed grant agreement being returned to CAL FIRE for signature, the grant agreement is signed and fully executed. Upon grant agreement execution, CAL FIRE will notify the Grantee that work may commence on the project. *Do not start work on a project before a fully signed and executed grant agreement is in hand!* Once the project is active, CAL FIRE will contact the grantee to arrange for an initial consultation on the project and go over CAL FIRE's expectations of the grantee.

Application Steps

Step 1: Concept Proposal

The first step is to complete a Concept Proposal. Complete the online application and follow the format, directions about size limitations, etc. Failure to fully complete the form will result in rejection of the application. The Concept Proposal Form can be found at:

http://www.fire.ca.gov/resource_mgt_urbanforestry_grants.php

Or

http://www.ufei.org/grantinfo.lasso

- Concept proposals must be submitted electronically in the provided format by December 16, 2016.
- Email or electronic submissions other than in the provided format will not be accepted unless alternative arrangements are made with Urban & Community Forestry Program staff at least two weeks prior to the deadline.
- Do not send unsolicited materials. Doing so will result in rejection of the application.
- In the case of technical difficulties or an inability to utilize the online format, please contact your CAL FIRE Regional Urban Forester for authorization to use alternative grant submittal procedures (see Appendix H).
- Late submissions will be rejected. No exceptions. Late is defined as: after 3:00 PM PST on the due date according to CAL FIRE's email system.

Clicking the "submit" button at the end of the form field will submit the concept application electronically. Before clicking to submit the concept application, please print a copy for the applicant's records and go to the file menu in the current version of Adobe Acrobat Reader

(http://get.adobe.com/reader/) and select the “save a copy” option. This will allow applicants to retain a copy of the application for their records.

Upon receipt of a Concept Proposal, CAL FIRE staff shall review it for conformance with the California Urban Forestry Act of 1978 (Public Resource Code 4799.06 to 4799.12), The California Code of Regulations (Title 14, Division 1.5, Chapter 9.7), and this Procedural Guide. Such review may include an inspection of the project area, if applicable.

If the Concept Proposal is found incomplete in a material way or the proposed project is not eligible for a grant, the applicant will be informed, via letter, that the Concept Proposal is ineligible, and provided a reason or reasons for the determination. Only when a Concept Proposal is complete and the project is deemed eligible for a grant, will CAL FIRE staff file the Concept Proposal for consideration in the scoring process.

CAL FIRE will then post, on the CAL FIRE web site, basic information about all of the Concept Proposals that are submitted for consideration at least 10 days before making a decision on funding awards. For each Concept Proposal, this will include: the name of the applying organization, a brief project description, a project location, the amount of funding requested, and whether or not the project will be in a disadvantaged community or provide benefits to a disadvantaged community.

The concept proposal will then be scored using the process and criteria explained later in this document. If the Concept Proposal scores high enough, the applicant will be asked to complete a Project Application.

Concept Proposal Notification:

CAL FIRE staff shall notify each applicant whose Concept Proposal has been filed and reviewed of the status of its proposal as soon as reasonably possible after the completion of concept proposal review and scoring. This will be done via letter.

Approval of a Concept Proposal is not a guarantee that your proposed project will be funded. Typically more projects are invited to submit for the Project Application stage than the funding budget allows. As a result, the process is still very competitive at this step.

Step 2: Project Application

Project Application Due Date:

Due dates will vary from year to year and from grant program to grant program. If a Concept Proposal is approved, a letter will be sent to the applicant and the letter will specify the due date and required documents for the Project Application.

Project Application Package:

Applicants that are invited to submit a project application can obtain the Project Application format from the appropriate CAL FIRE Urban & Community Forestry Program Staff in APPENDIX H. In addition, non-project-specific technical assistance can be provided and procedural questions answered by the

Regional Urban Foresters. All such questions and answers will also be posted online at the following location: http://www.fire.ca.gov/resource_mgt/resource_mgt_urbanforestry_grants

Where to Send:

The applicant must mail one paper copy and one electronic copy of the Project Application and all supporting documentation on CD or USB drive (*note: USB drives and CDs will not be returned*).

All Project Applications, including all required or requested supporting materials, must be submitted in a document that is formatted for single sided printing. Double sided submittals will not be accepted as they are not conducive to constructing a grant agreement package.

Project Applications shall be sent to the CAL FIRE Grants Management Unit staff for tracking and grant agreement construction by the due date outlined in the letter inviting the applicant to submit a Project Proposal. Send the completed Project Proposal to:

California Department of Forestry and Fire Protection (*CAL FIRE*)
Attn: Grants Management Unit
P.O. Box 944246
Sacramento, CA 94244-2460

CAL FIRE will then post, on the CAL FIRE web site, basic information about all of the Project Applications that are submitted for consideration at least 10 days before making a decision on funding awards. For each Project Application, this will include: the name of the applying organization, a brief project description, a project location, the amount of funding requested, and whether or not the project will be in a disadvantaged community or provide benefits to a disadvantaged community.

CAL FIRE will review the applications for completeness and the ability to achieve the objectives of the program. Projects will be prioritized using a pre-determined set of criteria that are consistent with these grant guidelines and the highest priority projects will be funded. Any needed modifications to your project and/or revisions to the application package will be discussed after grant applications are prioritized and grant award notifications are made.

Notification for Project Applications:

Applicants will be notified of the final grant selections as soon as the State's fiscal circumstances allow and authority to award funds is given to CAL FIRE, and following Project Application submission and acceptance. Quality applications that are not able to be funded may be deferred pending additional funding being made available.

An invitation to submit or acceptance of a Project Application is not a guarantee that your proposed project will be funded.

CAL FIRE will post a summary of all applications received after funding awards have been made.

Complete the Project Application Form:

Project Applications must include an adequate description of the project with clearly defined goals and objectives, how each objective and associated tasks will be addressed and the expected results. Project descriptions must also include information on where the proposed project is located, who will be conducting the work, when the work will be done, and the expected work products or deliverables.

Descriptions must be sufficiently detailed regarding overall work proposed and include costs of each proposed task in order for CAL FIRE to: 1) write a grant agreement with measurable and quantifiable objectives, and 2) perform a cost analysis of proposed work during the proposal evaluation process.

Calculation of Greenhouse Gas Emission Reduction Resulting from the Project:

The applicant must demonstrate that the project achieves and maintains a net reduction in greenhouse gas (GHG) emissions calculated using ARB's FY 2016-17 quantification methodology. Project elements that do not produce a direct net GHG benefit must be linked to on the ground activities that reduce GHG emissions. The project as a whole must achieve and maintain a net reduction in GHG emissions. Projects must be sustained at least until a net GHG benefit is realized and maintained for ten (10) years.

Complete and Accurate Budget (Appendix B):

Project Applications must include a detailed line item budget using the format provided in Appendix B. Cost analysis of the proposed project will include all project costs. Total project cost used in the analysis will include the total amount requested from available funds under the CAL FIRE Urban & Community Forestry Program and any cash or in-kind cost share from all other funding sources. Cost share funding sources shall be listed. Project Applications shall provide information specifically identifying any funding match requirements from any other entity.

CAL FIRE recognizes that Project Applications for the same project type may vary in cost due to the size of the project, statewide variation in costs for equipment, supplies, labor, or a variety of other factors. Applicants must justify project costs. Project cost analysis will be based on costs for similar projects that have been implemented as well as on an assessment of proposed costs by CAL FIRE staff. Where possible, costs should be based on actual quotes, bids, or estimates from suppliers and/or subcontractors.

The budget should include the appropriate eligible costs and matching funds as shown in the instructions and example in Appendix B.

Matching requirements for State funds may be met with in-kind activities or materials related to the project, as well as with any State funding source related to the project that is not the same as the State source of funding awarded by CAL FIRE.

Qualifications:

A description of the applicant's qualifications, including a brief list of similar types of projects that the organization or participants have successfully completed with a sample of such work needs to be provided. A description of the qualifications of each of the lead and supporting personnel to be

employed on the project and percentages of time of the work to be done by them should also be provided.

Required Supporting Materials and Forms (see Appendices C and D):

After applicants are notified of funding awards, a Grant Agreement will be prepared and executed. The forms and supporting materials listed below are necessary parts of the project application package. Failure to submit all forms shall result in funds not being awarded.

- ☐ Disadvantaged community criteria. Attach supporting documentation demonstrating how the project meets the criteria for providing direct, meaningful, and assured benefits to a disadvantaged community and meaningfully addressing an important community need. See "Disadvantaged Communities" section on page 5 and Appendix L for details.
- ☐ GHG quantification. Attach the supporting documentation required by the ARB quantification methodology.
- ☐ Authorizing Resolution from governing body (Appendix C) - All applicants that have a governing body must submit a resolution of project approval and matching funds. It is suggested that the governing body be made aware of the concept proposal and be prepared to submit the resolution with the project application. The person or position with project responsibility designated in the resolution should be the same person that signs the Project Application. No changes may be made to the resolution format without prior written permission of CAL FIRE staff.
- ☐ Payee Data Record form (STD. 204) (Appendix C) - The State of California is required to file reportable payment information with the Internal Revenue Service (IRS) and the Franchise Tax Board (FTB) in accordance with Section 6041 of the IRS code and Section 18802 of the State's Revenue and Taxation Code. This form is found at: http://www.documents.dgs.ca.gov/dgs/fmc/pdf/std204.pdf. Although the STD. 204 form indicates that local government entities do not need to fill it out, CAL FIRE utilizes this form internally for all grantees, so it is required that all applicants fill it out. For Part 6 of this form please use the following address: CA Dept. of Forestry & Fire Protection, Attn: Urban & Community Forestry Program, P.O. Pox 944246, Sacramento, CA 94244-2460.
- ☐ A Nondiscrimination Compliance Statement form (STD. 19) (Appendix C) - will be required for agreements of $5,000.00 or more per Title 2, California Code of Regulations, Section 8113. Federal and State agencies and public entities such as resource conservation districts are excluded from this requirement. This form is found at http://www.documents.dgs.ca.gov/dgs/fmc/pdf/std019.pdf.
- ☐ A Drug-Free Workplace Certification (STD. 21) (Appendix C) **-** will be required for all agreements, except Federal and State agencies and public entities that are excluded from this requirement. This form is found at http://www.documents.dgs.ca.gov/dgs/fmc/pdf/std021.pdf.
- ☐ Non-profit applicants - will be required to submit a copy of 501 C (3) articles of incorporation.
- ☐ CAL FIRE project budget spreadsheet (see Appendix B).
- ☐ CAL FIRE Environmental Checklist (see Appendix D).
- ☐ A diagram or picture with a description of required signage (see Appendix G).
- ☐ Map or Maps (where applicable).
- ☐ Willing seller letter (when applicable).
- ☐ Representative project location photographs (where applicable).

Upon receipt of a complete Project Application package, CAL FIRE shall review it for conformance with the California Urban Forestry Act of 1978 (Public Resource Code 4799.06 to 4799.12), The California Code of Regulations (Title 14, Division 1.5, Chapter 9.7), and this Procedural Guide. Such review may include an inspection of the project area, if applicable.

If the Project Application is found incomplete in a material way or the proposed project is not eligible for a grant, the applicant will be informed that the Project Application is ineligible. Only when a Project application package is complete will CAL FIRE staff record the Project Application package for prioritization.

THE GRANT REVIEW PROCESS

It is important to note that both Concept Proposals and Project Applications are reviewed by nine or more individuals. These individuals may or may not be familiar with your organization, past work, or project area. To avoid any sort of bias, grant reviewers are instructed that nothing can be considered for Concept Proposal scoring or Project Application prioritization if it is not represented on the application or, for project applications, the application and supporting documentation.

Concept Proposal Review:

All concept proposals are to be submitted by the due date to CAL FIRE. Each concept proposal is reviewed by CAL FIRE staff to ensure it is in conformance with the California Urban Forestry Act of 1978 (Public Resources Code 4799.06 to 4799.12), The California Code of Regulations (Title 14, Division 1.5, Chapter 9.7), the relevant grant category or categories, these guidelines, and requirement of the funding source. If the application is found incomplete in a material way or the proposed project is not eligible for a grant, the applicant will be informed that the proposed project is ineligible. Only when an application is complete and the project is deemed eligible for a grant will CAL FIRE staff file the application. Omission of any required information will result in disqualification of the proposal.

Proposals are evaluated and scored based on specific criteria in these grant guidelines, the CA Urban Forestry Act, and criteria from ARB's Funding Guidelines. The information in the grant type sections of this document (Pages 21-33) are the most specific information and reflect the criteria that scoring will be based on.

CAL FIRE strives to provide an objective and un-biased grant review process. To those ends, each Concept Proposal is reviewed and scored by each member of the review team. If any individual reviewer has a potential for bias with any applicant they will be recused from that review. Each reviewer reads and scores the Concept Proposals using the same scoring form and independently of the other reviewers. Proposals are not discussed amongst grant reviewers until after scores are submitted by all reviewers. The high and low score for each Concept Proposal are dropped, and the remaining scores are averaged to achieve the overall score for the Concept Proposal. The highest scoring Concept Proposals are invited to continue in the process to a cutoff point that is determined by the relative strength of the proposals submitted for each grant project type and based upon how much funding is available for grant awards in that fiscal year. CAL FIRE typically invites back approximately two times the number of projects as it will ultimately be able to fund.

Project Application Review:

Once Project Application packages are submitted and deemed to be complete, they are recorded. The review team then meets and uses a pre-determined set of prioritization criteria to determine which projects are of the highest priority for funding. These criteria are reflective of information found in these grant guidelines, the CA Urban Forestry Act, and criteria from ARB's Funding Guidelines. The most detailed information on prioritization criteria is presented in the sections below (Pages 21-33) for each grant type. If none of the applications are deemed adequate to be eligible for grant funding, a new solicitation will be prepared.

Request for Record Review:
Within ten days of the receipt of notice that the application has been denied the applicant may request that the Director of CAL FIRE personally reconsider the decision of rejection. The request shall identify the applicant and the proposed project, and shall briefly state the applicant's reasons for requesting reconsideration. The Director shall consider the application and all of the correspondence from interested parties in reviewing the decision.

Final Decision by the Director of CAL FIRE:
If the Director finds that the decision to reject the application conforms to these guidelines and the Urban Forestry Act, the Director shall uphold the decision. If the Director finds that the decision to reject the application does not conform to these guidelines or the Act, the Director may approve the application.

EXPLANATION OF TERMS

TERM	EXPLANATION
Agreement	A legally binding agreement between the State and another entity.
Amendment	A formal modification or a material change of the agreement, such as term, cost, or scope of work.
Application	The term "Application" means the individual application form identified as Attachment A and its required supporting attachments for grants pursuant to the enabling legislation and/or program.
Appropriation	A Legislative budget authorization from a specific fund to a specific agency or program to make expenditures or incur obligations for a specific purpose and period of time.
Authorized Representative	The designated position identified by the resolution as the agent to sign all required grant documents including, but not limited to, Grant Agreements, Application forms (Attachment A) and payment requests.
CEQA	The California Environmental Quality Act as stated in the Public Resources Code Section 21000 et seq.; Title 14 California Code of Regulations Section 15000 et seq. CEQA is a law establishing policies and procedures that require agencies to identify, disclose to decision makers and the public, and attempt to lessen significant impacts to environmental resources that may occur as a result of the agency's proposed Project. For more information refer to http://ceres.ca.gov/ceqa/.
Co-benefit	Benefit, other than GHG emission reductions, that results from GGRF investments. Co-benefits may be environmental, social, or economic.
Consultant Services	Services which provide a recommended course of action or personal expertise, such as accounting, consulting environmental professionals, etc.

Contractor	An entity contracting with CAL FIRE.
Disadvantaged Community	Areas that are disproportionately affected by multiple types of pollution and areas with vulnerable populations. Per Senate Bill 535, the Secretary for Environmental Protection at CalEPA is responsible for identifying disadvantaged communities for the purpose of GGRF investments. For additional information, please refer to: http://www.calepa.ca.gov/EnvJustice/GHGInvest/.
Encumbrance	A commitment of funds guaranteeing a source of payment for a specific agreement.
Execution of an Agreement	The act of signing an agreement, which provides a legal basis for required performance by parties to the agreement.
GHG reductions or Net GHG benefit	The sum of the GHG emission reductions and sequestration, less any GHG emissions resulting from project implementation. GHG emission reductions and net benefits are determined in accordance with ARB's quantification methodologies.
Indirect Costs	Expenses of doing business that are of a general nature and are incurred to benefit at least two or more functions within an organization. These costs are not usually identified specifically with a grant, Grant Agreement, Project or activity, but are necessary for the general operation of the organization. Examples of Indirect Costs include salaries and benefits of employees not directly assigned to a Project; functions such as personnel, business services, information technology, janitorial, and salaries of supervisors and managers.
Minor Equipment	Equipment costing less than $5,000 and typically having a lifespan longer than the term of the grant. Minor equipment includes such items as digital cameras used to document project pre and post conditions, global positioning systems (GPS), etc.
Modification	An agreement modification is an informal agreement that moves dollars in the line item and task budgets not to exceed 10% of the total grant amount, changes deliverable due dates, or makes a minor change in the work in accordance with the intent of the legislation. It does not require a formal amendment of the grant agreement.
Non-Profit Organization	Any California corporation organized under Sections 501(c) (3) of the Federal Internal Revenue Code. A letter of determination certifying non-profit status will be required prior to project approval.
Operating Expenses (Direct Cost)	Any cost that can be specifically identified as generated by and in accordance with the provisions or activity requirements of the agreement.
Personnel Services	This budgeted amount includes salaries and benefits for wage earning personnel employed by the grantee/contractor (not a subcontractor) and working on the project.
Project Performance Period	The period of time described in the Project Scope of Work when costs may be incurred. Only Eligible Costs incurred during the Project Performance Period will be paid by the State.
Project	The term "Project" means the activity or work to be accomplished utilizing grant funds and match (if applicable).
Project Scope of	The term "Project Scope of Work" as used herein defines the individual scope

Work	of work or activity describing in detail the proposed tasks identified as described in enabling legislation and in the Concept Proposal and/or Project Proposal.
Project Budget Detail	The term "Project Budget Detail" as used herein defines the proposed detailed budget plan identified in Appendix B.
Resolution	The purpose of a resolution by a Grantee's governing body is to allow the entity to sign agreements and amendments for a specific project; i.e., it allows the designated entity to enter into an agreement with the State of California, and it designates someone to sign on behalf of the Grantee's governing board. A signed resolution must be submitted at the time Project Proposals are returned to CAL FIRE's Grants Management Unit, Sacramento Headquarters. See Appendix B for resolution format.

COST SHARE (MATCHING)

All of the grant types below require a cost share (matching) rate of 75/25. The proportion of the project's cost funded by CAL FIRE Urban & Community Forestry shall not be greater than 75%. Matching requirements (25%) for State funds may be met with in-kind activities or materials related to the project, as well as with any State funding source related to the project that is not the same as the State source of funding awarded by CAL FIRE.

For example:

Total Project = $1,000,000.00
CAL FIRE Request = $750,000.00
Minimum match required = $250,000.00

Disadvantaged Community Cost Share: Projects that meet the criteria for being located in or benefiting a disadvantaged community will be eligible to have their cost share requirement reduced or completely waived by CAL FIRE. This request must be made during the concept proposal process by checking the appropriate box on the form.

IMPORTANT NOTE: Cost share expenses must be reported to CAL FIRE on each invoice received. Back-up documentation for cost share must be kept by the grantee and must meet the same rigor as expenses claimed for reimbursement. Also see "*State Audit*" section below, as well as *Appendix B* for additional information on documentation.

GRANT ADMINISTRATION

The grant period begins on the last date of signature after CAL FIRE and the grantee have both signed the completed grant agreement. This will vary from year to year. CAL FIRE will notify grantees when work may begin. Work includes any activity used for matching.

CAL FIRE will review and approve invoices for payment, maintain the grant agreement documentation, and monitor the agreement to ensure compliance with all provisions.

In order to have sufficient time to process final payments and to close out the Grant Agreement, the grantee must submit all deliverables and payment requests by 30 days after the project performance period. Invoices received after this date cannot be guaranteed payment. The CAL FIRE Urban &

Community Forestry Program staff will arrange for periodic and final project inspections of the project and authorize payments. The State of California may perform an audit of the completed project anytime over the project life.

Grant Agreement Amendments

A grantee wishing to change the scope of work or budget of an approved project shall submit the proposed change via official letter, on organizational letterhead, to the appropriate CAL FIRE Urban & Community Forestry Program Regional Urban Forester. Minor changes can typically be approved by the Regional Urban Forester. More significant changes may require a grant agreement amendment. Grant agreement amendments may be allowed, at the sole discretion of CAL FIRE, for changes to the scope of work or the project budget. The total amount awarded to the grantee can never be increased during the grant period for any reason, nor can the project end date be extended.

All correspondence relating to grant projects must have the grant agreement number featured prominently, and be dated.

Project Signage and Recognition (also see Appendix G)

All grant projects shall have one of the following:

1) At least one project sign at a highly visible project location, and/or have signage on all project publications or other media. All signage shall refer to the funding source that is funding the grant, California Climate Investments, and shall include the names and/or logos of all of the project cooperating entities (including CAL FIRE Urban & Community Forestry Program). Alternative signage may be approved by CAL FIRE prior to posting.
2) Recognition of the funding source, California Climate Investments, and the names and/or logos of all project cooperating entities (including CAL FIRE Urban & Community Forestry Program) in all publications, websites, electronic media, etc.

Signage must be on site for at least three years after a project is complete (where applicable).

Project Reporting (see also Appendix F)

Grantees shall report on all projects quarterly. At a minimum, the reporting dates shall be for the periods ending: September 30, December 31, March 30, and June 30. If a grantee chooses to invoice CAL FIRE more often than quarterly, a project report must be included with each billing package.

Reporting shall follow the format provided by CAL FIRE, consistent with the project-type specific reporting requirements in ARB's Funding Guidelines. Information to be submitted includes project description, project location, GGRF dollars allocated, leveraged funds, activities completed, number of trees planted, vegetation planted and location, maintenance activities conducted, tons of biomass generated and delivered to a renewable energy facility or mill, net GHG benefit, and co-benefits achieved such as property acquired to be repurposed as an urban forestry project site and job or job training information, and benefits to disadvantaged communities. Reports must always include the GHG reporting back-up documentation required of the grant category. Funding recipients that claim to provide a benefit to a disadvantaged community will need to report on how the project benefits have

addressed the identified community need. These records must be retained for at least 3 years after the completion of the project. See the sample report form in Appendix F.
All projects will be required to track the above metrics during until project closeout (i.e., when tree/vegetation planting is complete or green infrastructure construction is complete). A subset of funded projects will be required to periodically report results of the project for a period of time after project completion (e.g., once every year for five years) in accordance with ARB's quantification methodology.

Project Inspections

The Regional Urban Forester (Appendix H) assigned to a grant project will determine when inspections are necessary for the project. This will vary by project type, scope of work, and timeline of the project to be carried out. At a minimum, there will be an initial meeting after the grant is in place and prior to starting work. Inspections will occur at least once per fiscal year of the project. Projects that will be developing any media or educational materials (print, digital, video or audio) must allow such materials to be reviewed by CAL FIRE prior to publication. Allow 30-60 days for review of such materials.

Time Extensions

Time extensions will not be considered unless there are extraordinary circumstances that are outside of the grantee's control. Extensions will only be considered if the funding source will still be available after the subject grant project time period ends, and if there is a compelling reason to allow an extension in the judgment of CAL FIRE. There will be no extensions beyond March 30, 2020 for any reason.

Payment of Grant Funds

Note: All funds will be obligated no later than June 30, 2018, and all funds will be liquidated by June 30, 2020.

Generally, payments will be made by CAL FIRE to the Grantee on a reimbursement basis. No work prior to or after the grant period (from the date the grant agreement is fully signed by both parties until March 30, 2020) will be reimbursable. Grantees should have adequate cash flow to begin the project. If progress payments are desired, each request for payment must be accompanied by a progress report. Grantees may submit progress payment requests to the CAL FIRE Urban & Community Forestry program no more frequently than monthly. CAL FIRE will reimburse all expenses upon receipt of an acceptable request for progress payment. Reimbursement may require a site inspection prior to payment processing. The need for an inspection is at the discretion of CAL FIRE. Paid vendor receipts, payroll documents, other back-up documentation of expenses, matching tracking, and a progress report or final report shall accompany all requests for payment. CAL FIRE will reimburse the Grantee for all eligible costs under the terms of the agreement.

Advance payments may be considered, for non-profits only, in cases of grantee hardship. Justification will be required for CAL FIRE to approve of any advanced payments. The advance payment may not be more than 25% of the grant funds awarded. Advances must be fully utilized within a six month period. No additional advances may be requested until acceptable documentation is received by CAL FIRE that the previous advance has been fully exhausted on eligible expenses.

Appendix E contains the required invoice format for reimbursement (or advancement of funds). A Grantee should allow a minimum of 60 days after a complete billing package is received for arrival of a reimbursement check. Incomplete billing packages will be returned or additional information will be requested, and will delay processing. CAL FIRE does not consider a billing package complete until all documentation that is needed to process the billing is received.

A final invoice must be received by CAL FIRE no later than 30 days after the grant period expires.

Loss of Funding

The following are examples of actions that may result in a Grantee's loss of funding:

- Grantee fails to obtain a Grant Agreement.
- Grantee fails to provide direct, meaningful, and assured benefits to disadvantaged community according to criteria in ARB Funding Guidelines.
- Grantee withdraws from the grant program.
- Grantee fails to complete the funded project scope of work.
- Grantee fails to submit all documentation within the time periods specified in the Grant Agreement.
- Grantee fails to submit evidence of CEQA compliance within one year of the execution of the agreement as specified by the Grant Agreement.
- Grantee changes the project scope without concurrence of the State.
- GHG reductions fail to be achieved.
- Grantee or the State terminates the project.

State Audit

Upon completion of the project, the State may audit the project records. A project is considered complete upon receipt of final grant payment from the State. The purpose of the audit is to verify that project expenditures were properly documented. The audit would be requested by the State after the final payment request has been received and all project transactions have been completed.

If your project is selected for audit, you will be contacted at least 30 days in advance. The audit should include all books, papers, accounts, documents, or other records of the Grantee, as they relate to the project for which State funds were granted. Projects may be subject to an audit at any time over the project life.

In an effort to expedite the audit, the recipient shall have the project records, including the source documents, and cancelled warrants readily available. The Grantee shall also provide an employee having knowledge of the project and the accounting procedure or system to assist the State auditor. The Grantee shall provide a copy of any document, paper, record, or the like as requested by the State auditor.

All project records must be retained by the Grantee for a period of not less than one year after the State audit or after final disposition of any disputed audit findings. Grantees are required to keep source documents for all expenditures related to each grant for at least three (3) years following project completion and one year following an audit.

Repayment of Grant Funds

The State may terminate the grant for any reason at any time if it learns of or otherwise discovers that there are allegations supported by reasonable evidence that the grantee has violated any state or federal law or policy which affects performance of this or any other grant agreement or contract entered into with the State. If a grant is terminated, the grantee may be required to fully or partially repay funds from the Greenhouse Gas Reduction Fund.

Agencies must encumber and expend monies consistent with state law, and ensure that Greenhouse Gas Reduction Fund monies are utilized consistent with the expenditure record submitted by CAL FIRE and required by SB 1018. A determination that use of Greenhouse Gas Reduction Fund monies is not consistent with the expenditure record and does not further the purposes of AB 32 may occur during legal proceedings or during an audit or program review conducted by the Bureau of State Audits, Department of Finance, a third-party auditor, or the Air Resources Board. Depending on the outcomes of those proceedings or review, agencies may be required to return monies to the Greenhouse Gas Reduction Fund if expenditures are not consistent with the statutory requirements (such as not furthering the purposes of AB 32.)

Accounting Requirements

The Grantee shall maintain an accounting system that accurately reflects fiscal transactions, including matching funds, with the necessary controls and safeguards. This system shall provide an audit trail, including original source documents such as receipts, progress payments, invoices, time cards, etc. The system shall also provide accounting data so the total cost of each individual project can be readily determined. These records shall be retained for a period of not less than three years after final payment is made by the State. Avoid audit exceptions – keep accurate records.

GRANT TYPES

Table 1: *Grant project types offered with descriptions.*

Project Type	Description	Grant Amount	Cost Share* State/Others
Urban Forest Expansion and Improvement (see Page 17)	Urban tree planting and planting of urban vegetation to reduce GHG emissions, tree and plant establishment care, and planting site preparation. In addition to tree planting, a project may also involve urban tree site improvements to create larger, more functional planting sites for trees and associated vegetation such as bioswales and acquisition of small, vacant parcels to be improved for purposes consistent with the California Urban Forestry Act.	$150,000 - $1,000,000	75/25
Urban Forest Management Activities (see Page 20)	For local governments (cities, counties, districts). Improving long-term management of urban forests to reduce GHG emissions and improve urban forest performance over time. Projects may involve the establishment or updating of a jurisdiction-wide tree inventory, urban forest mapping and analysis, and/or long-term management plan. May include policy integration and ordinance development.	$150,000 - $1,000,000	75/25
Urban Wood and Biomass Utilization (see Page 23)	Creation, development, and implementation of projects to better utilize trees and/or other vegetation from urban forests to reduce GHG emissions. The trees that are utilized must not have been removed solely for the purpose of utilization; there must be another valid management objective behind the removal of the trees. Projects will use urban woody biomass for its highest and best use, thus diverting it from the urban waste stream.	$150,000 - $750,000	75/25

**Note 1: See "cost share" section on Page 16 for details.*

Note 2: Educational and/or outreach activities may be undertaken as a portion of each grant type not to exceed 20% of the CAL FIRE share of the budget.

Note 3: With the exception of "Urban Wood and Biomass Utilization", each project type must contain a tree planting component during the project performance period to be eligible. "Urban Wood and Biomass Utilization" projects must show that trees removed have been replaced, though the replacement need not be part of the project.

Urban Forest Expansion and Improvement

Eligible Applicants

Eligible applicants include cities, counties, qualifying districts, or nonprofit organizations qualified under Section 501(c)(3) of the Internal Revenue Code (PRC 5096.605). Districts include, but are not limited to, school, park, recreation, water, and local taxing districts.

Purpose:

The purpose of this grant type is to provide funding for projects that will plant trees and vegetation to reduce GHG emissions and improve functionality of urban forests, arrest the decline of urban forest resources, address climate change resilience, improve the quality of the environment in urban areas, and optimize co-benefits to urban residents.

Such projects may include the purchase of vacant, undeveloped, or underutilized neighborhood parcels for these purposes. These projects should focus on urban areas lacking in green space and must meet one or more identified community needs using vegetation. Projects with higher levels of co-benefits will be preferred.

Sub-granting is allowable under this program. Sub-granting must adhere to and be carried out consistent with these grant guidelines and the ARB Funding Guidelines including the process for quantifying the net GHG benefit, criteria for determining benefits to disadvantaged communities, and reporting requirements. CAL FIRE must review criteria for sub-granting before it may occur.

For projects that meet the criteria for benefiting a disadvantaged community and are determined by CAL FIRE Urban and Community Forestry Staff to be successfully completed are eligible to receive up to two maintenance cycles (locally established cycle) of funding for ongoing tree and plant care and maintenance post-performance period. A maintenance policy and plan must be in place and be submitted for CAL FIRE review as part of a final report on the project. The plan must be approved by CAL FIRE prior to being eligible for this enhanced maintenance funding. The enhanced maintenance funding must be budgeted for in the project application.

Project Eligibility:

<u>These criteria must be met for a project to be eligible:</u>

- The project must result in a net GHG benefit calculated using ARB's FY 2016-17 quantification methodology.
- Grant requests must be for the creation, development, and implementation of projects that improve, expand, and maintain healthy urban forests.
- The amount requested must be between $150,000 and $1,500,000.
- The project must be located in or immediately adjacent to an "urban area" or "urban cluster" as defined by the U.S. Census Bureau. (http://www.census.gov/geo/www/ua/2010urbanruralclass.html)
- The project must have a commitment for active participation from one or more of the following: local residents, local business, local nonprofit group or local government.
- The project must show that the community where the project will occur was, and will continue to be, authentically engaged about the project.

- The project must display a sign with the logos and names of all organizations participating in the project, including the CAL FIRE Urban & Community Forestry Program. The sign must also cite the funding source, California Climate Investments.
- The applicant must comply in all respects with all applicable local and county ordinances, and all applicable state and federal laws and regulations, including the California Environmental Quality Act (CEQA).
- Projects shall include an education and outreach component. Not more than 20% of grant funds may be used for this component. This component, as part of the overall project, may be shown as project match dollars by the applicant if so desired.
- The applicant must agree to provide maintenance on all trees planted (including replacement) for at least three years after project completion. Evidence of long term care for the trees must also be shown.
- Any tree planting within the project shall adhere to Appendix I at a minimum. Failure to follow the Standards in Appendix I will lead CAL FIRE to require replacement of the trees at the grantee's cost. The Standards are also listed at the following web site: http://calfire.ca.gov/resource_mgt/downloads/CALFIRE_Nursery_Standards_and_Specs11_12.pdf
- Tree and plant species selected are classified as very low, low, or moderate water use species in the WUCOLS IV site at http://ucanr.edu/sites/WUCOLS/ or are justified for the planting site(s) selected.

Eligible Practices:

- Designing and implementing urban forest planting projects with a net GHG benefit that give special attention to energy conservation, air quality improvement, storm water management, water quality, or improvement of public health outcomes.

In addition to tree planting, projects may involve the following components:

- Innovative urban forest site improvement to create larger, more functional planting sites for trees and associated vegetation such as bio-swales, urban forestry education centers, edible landscaping and/or community gardens and orchards.
- Funding for the purchase of a small, vacant property or properties from a willing seller or sellers to be repurposed for a use consistent with the CA Urban Forestry Act and resulting in a net GHG benefit.
- Urban forestry job creation and job training.
- Climate change adaptation strategies while also resulting in a net GHG benefit. See: http://www.climatechange.ca.gov/adaptation/.

If your project advances urban forestry efforts or the management of urban natural resources, and reduces GHG emissions, it may be eligible. Ask CAL FIRE for assistance in determining eligibility if you are in doubt.

Ineligible Practices:

The following practices will not be funded by this grant program.

- Planting trees that require excessive maintenance such as: excessive long-term watering,

fertilizing, exterminating, or controlling plant pests and diseases in order to survive.

- Projects that plant trees that will eventually conflict with overhead or underground utilities or ground-located infrastructure.
- Projects that will not result in a net GHG benefit.
- Planting invasive species as determined by referencing the California Invasive Plant Council website (http://www.cal-ipc.org/) or similar reference approved by CAL FIRE.
- Projects that use synthetic fertilizer. Organic fertilizers (e.g., compost, manure) may be used.
- Projects that will supplant a locally funded budget item rather than supplement it.
- Projects taking place on public or private property and that do not show concurrence of the controlling governmental jurisdiction or private property owner (the private property owner must agree to the planting before it may occur).
- Engineered multi-disciplinary infrastructure solutions (e.g. stormwater capture facilities, green alleys, etc.), even if there is a tree or vegetation component. These types of projects are a better fit for the *Urban Greening Grant Program* that is administered by the *California Natural Resources Agency.*
- Property acquisitions to be made without a willing seller.

Project Scoring (100 points possible):

Disadvantaged Communities:

- The project meets ARB criteria for providing a benefit to a disadvantaged community.
- The degree to which the project creates jobs or job training opportunities for residents of disadvantaged communities.
- The degree to which the project will consider sub-contractors that are based within the disadvantaged communities being served and employ residents of the disadvantaged communities.
- The degree to which the community was engaged about the project in authentic ways, and will be involved in project implementation.

Greenhouse Gas Benefits:

- The degree to which the project GHG benefit, calculated in accordance with the ARB's FY 2016-17 quantification methodology, is high in relation to the budget requested.
- The reasonableness of the assumptions made by the project proponent in quantifying the GHG benefits of the project.
- The degree to which the project utilizes the largest canopied tree possible for the selected planting sites and shows a preference for existing planting sites or creation of planting sites that can support large-canopied trees.

Co-Benefits:

- The co-benefits of the project are high in relation to the requested budget.
- The degree to which the project uses trees to reduce consumption of finite energy resources, capture storm water, improve air quality, and/or reduce urban heat island effects.
- The degree to which the project involves community residents in planting and/or maintenance of trees (stewardship).
- The degree to which the project will contribute to improved public health in some fashion.
- The extent to which the project helps the State meet its climate change adaptation strategies. See: http://www.climatechange.ca.gov/adaptation/.

Best Management Practices:

- The degree to which the tree species selection is diverse and site-appropriate.
- The degree to which the project provides urban forest resources to areas where such resources are absent, or replenishes such resources where they are badly depleted.

- The degree to which the quantity and methods of establishment care practices will lead to long term success of the project.
- The extent to which the project will use locally sourced or recycled water in project design.

Project Quality:

- The degree to which the project has effective partnerships.
- The degree to which the project is planned and organized based on a community-driven process.
- The degree to which the project will have an education and outreach component that develops public awareness of the need for expanding and managing urban forest resources.

Eligible Costs (See Appendix B):

- **Trees, plants, and planting materials (Supplies)**
  - Trees in the #15 (gallon) container size are eligible. Balled and burlapped and bare-root tree stock are also eligible if the size and quality are equivalent. Smaller containerized stock, seedlings, and direct seeding may also be considered by CAL FIRE in situations where appropriate. Fruit trees in various sizes are eligible with justification. Other larger tree sizes may be considered on a case-by-case basis, but the widespread use of 24" box and larger trees is not likely to be considered. Refer to *Appendix I* for additional information.
  - Site appropriate plants in sizes justified for the project.
  - Planting materials may be: Stakes, ties, and root collar protectors proportional to number of trees being planted; grow tubes for small container, seedling and direct seeding; wood chip surface mulch, soil amendments in areas of hard clay soil or sandy soil; soil where needed to complete backfill; watering tools, cost effective water efficient irrigation system supplies; and hand tools.
- **Labor directly related to the project.**
  - Includes young tree establishment costs such as: structural pruning, stake adjustment and removal, and water-wise irrigation.
- **Administrative costs**
  - Administrative costs directly related to the implementation of the project are eligible, but must be justified.
  - Costs of tracking and reporting GHG reductions according to the supplied criteria are eligible.
- **Indirect costs <u>(for non-profit applicants only)</u>**:
  - A maximum not to exceed 10% of total State reimbursement. Indirect costs include items such as payroll administration, human resources, computer support, financing, and office support that are not directly related to the implementation of the project to be funded.
- **Education and signage (may not exceed 20% of costs):**
  - Purchase, development and distribution of education materials or events may be funded pending relevance to the scope of the proposed project. A maximum not to exceed 20% of grant request.
  - Funding source and program sign construction and materials.
  - For sign requirement details, please see Procedural Guide Appendix G. CAL FIRE staff may approve other signage plans on a case by case basis.

- **Concrete removal and other special concerns:**
  - In projects where the planting of trees involves establishment of new, permanent tree planting sites or expansion of existing vacant sites, the costs for removal of asphalt, concrete paving, or other hardscape are eligible. If hardscape cuts are to be made, they must be 24 square feet in area at minimum. Larger is preferred. For existing sites, expansion of planting sites is an allowable cost and is encouraged.
  - Soils testing to determine the needs for the site are eligible.
  - Water-efficient irrigation supplies or system components are eligible.
  - Other costs of construction are eligible with justification.
- **Post-Project Maintenance:**
  - Projects that meet ARB criteria for providing a benefit to a disadvantaged community and are carried out successfully (in CAL FIRE's determination) are eligible to receive up to two maintenance cycles of funding for ongoing tree care and maintenance as a lump sum payment. A maintenance policy and plan must be in place and be submitted for CAL FIRE review, and be approved by CAL FIRE prior to the conclusion of the grant project to be eligible for this funding.

Ineligible Costs:

The following are ineligible costs:

- Decorative tree grates and decorative tree guards or other purely aesthetic items.
- Tree removal (though this could be used to meet matching requirements with CAL FIRE approval.) Projects must show that the removed trees were replaced with a tree of similar or improved long term carbon storage and co-benefits.
- Inefficient irrigation valves, pumps, sprinkler control timers or overly costly and elaborate irrigation systems.
- Root barriers. (Note: any use of root barriers as part of a project must be approved by a CAL FIRE Regional Urban Forester).
- Trees that rely upon excessive amounts of water to survive.
- Trees that are inappropriate for the chosen site or require excessive maintenance.
- Trees that will be less than 25 feet in height, with equal crown width, at maturity.
- Palms are not eligible.
- Invasive species are not eligible.

Urban Forest Management Activities

Eligible Applicants

Eligible applicants include cities, counties and qualifying districts. Districts include, but are not limited to, school, park, recreation, water, and local taxing districts. Non-profit organizations are not eligible for this grant type, but may be partners in such projects.

Purpose:

The purpose of this grant type is to fund the development and implementation of urban forest management activities to reduce GHG emissions and to be carried out by a local government jurisdiction to optimize the multiple benefits of its urban forest. Such activities will be comprehensive, long term, include the entire jurisdiction, take an ecosystem management approach and may include an inventory, analysis, training and/or educational component. A tree planting component is required during the grant performance period. Any management plan funded by this grant type must include the setting of a tree canopy cover goal for the jurisdiction. No other practices may be funded by this grant program.

Project Eligibility:

These criteria must be met for a project to be eligible:

- The project must result in a net GHG benefit calculated using ARB's FY 2016-17 quantification methodology. *This requires that the project have a tree planting component during the project performance period.*
- Grant requests must be for performing or updating a tree inventory, establishing a new urban forest management plan or updating an existing management plan, establishing or updating an urban forestry related policy or ordinance, or performing mapping and analysis to inform the other activities preceding.
- The amount requested must be between $150,000 and $1,000,000.
- Applicants must show proof of an existing urban forest/ tree protection system (city ordinance, general plan element, etc.), or must create one during the grant performance period.
- Applicants must show proof of having an existing urban forester, arborist, or other qualified position responsible for urban forest resources or have such a professional retained under contract.
- A project must be located in, or immediately adjacent to, an "urban area" or "urban cluster" as defined by the U.S. Census Bureau. (http://www.census.gov/geo/www/ua/2010urbanruralclass.html)
- The applicant must comply in all respects with all applicable local and county ordinances, and all applicable state and federal laws and regulations, including the California Environmental Quality Act (CEQA).
- An urban forest inventory must be completed before developing a management plan, though both may be completed during the grant performance period.
- A funded urban forest management plan must be a long term (40-50 year), comprehensive document, not solely a maintenance plan.
- There shall be a provision for periodic review of any funded urban forest management plan.

- Tree inventory data collected must follow the criteria set forth in Appendix J.
- Applicants must demonstrate how they will implement and utilize the inventory, mapping, analysis, and/or urban forest management plan.
- Applicants must agree to refer to the urban forest management plan as a guiding policy document in an ordinance, a general plan element or another binding, enforceable way as approved by CAL FIRE staff.
- The project must show that the community where the project will occur was, and will continue to be, authentically engaged about the project.
- Projects shall include an education and outreach component. Not more than 20% of grant funds may be used for this education and outreach component. The education and outreach component as part of the overall project can be shown as project match dollars by the applicant.
- Applicants must provide an electronic and printed copy of all grant products to the CAL FIRE Urban & Community Forestry Program at the conclusion of the grant in a format specified by CAL FIRE.
- CAL FIRE's Urban and Community Forestry Program and the funding source, California Climate Investments, must be acknowledged in any documents or other media produced.
- The applicant must agree to provide maintenance on trees planted (including replacement) for at least three years after project completion. Evidence of long term care for the trees must also be shown. Projects that meet the criteria for benefiting a disadvantaged community may qualify to receive funds for maintenance in a trust fund at project completion.
- Trees and plant materials selected are climate appropriate and well suited to the site. One measure of this is that tree and plant species selected are classified as very low, low, or moderate water use species in the WUCOLS IV site at http://ucanr.edu/sites/WUCOLS/ or are justified for the planting site(s) selected.
- Tree planting within the project shall adhere to Appendix I at a minimum. Failure to follow the Standards in Appendix I will lead CAL FIRE to require replacement of the trees at the grantee's cost. The Standards are also listed at the following web site: http://calfire.ca.gov/resource_mgt/downloads/CALFIRE_Nursery_Standards_and_Specs11_12.pdf

Eligible Practices:

Only those practices mentioned in the Purpose section above are eligible for funding under this grant type. These include:

- Tree inventories
- Urban forest management plans
- Other policies, plans, or ordinances that are urban forestry related
- Tree planting (required) and associated activities.
- Education and outreach activities.
- Mapping and analysis to inform the other mentioned activities.

Ineligible practices:

The following practices will not be funded by this grant program.

- No practices other than those described above may be funded by this grant program without

prior written approval by CAL FIRE.

- Management activities that will not lead to improved long term urban forest management.
- Planting trees that require excessive maintenance such as: excessive long-term watering, fertilizing, exterminating, or controlling plant pests and diseases in order to survive.
- Projects that will not result in a net GHG benefit.
- Projects that plant trees that will eventually conflict with overhead or underground utilities or ground-located infrastructure.
- Invasive species as determined by referencing the California Invasive Plant Council website (http://www.cal-ipc.org/) or similar reference approved by CAL FIRE.
- Projects that will supplant a locally funded budget item rather than supplement it.
- Projects that produce policies, ordinances, or plans that are not integrated/aligned with other relevant policies of the jurisdiction.

Project Scoring (100 points possible):

Disadvantaged Communities:

- The project meets ARB criteria for being located within and/or providing a benefit to a disadvantaged community.
- The degree to which the project creates jobs or job training opportunities for residents of disadvantaged communities.
- The degree to which the applicant has reached out the community about the project and let the outreach inform the project.
- The degree to which the community was engaged about the project in authentic ways, and will be involved in project implementation.

Greenhouse Gas Benefits:

- The degree to which the project GHG benefit, calculated in accordance with the ARB's FY 2016-17 quantification methodology, is high in relation to the budget requested.
- The reasonableness of the assumptions made by the project proponent in quantifying the GHG benefits of the project.
- The degree to which the project utilizes the largest canopied tree possible for the selected planting sites and shows a preference for existing planting sites or creation of planting sites that can support large-canopied trees.

Project Co-Benefits:

- The co-benefits of the project are high in relation to the requested budget.
- The degree to which the project uses trees to reduce consumption of finite energy resources, capture storm water, improve air quality, and/or reduce urban heat island effects.
- The degree to which the project involves community residents in the planning process and/or planting and maintenance of trees (stewardship).
- The degree to which the project will contribute to improved public health in some fashion.
- The extent to which the project helps the State meet its climate change adaptation strategies. See: http://www.climatechange.ca.gov/adaptation/.

Best Management Practices:

- The degree to which the tree species selection is diverse and site-appropriate.
- The degree to which the project will commit the jurisdiction to a systematic strategy for improved long term management of its entire urban forest resource.
- The degree to which the product produced will be compatible and/or integrated with the jurisdiction's other policies, ordinances, and management tools.
- The effectiveness of how the plan will be implemented and periodically reviewed.
- The plan is referred to in a climate action plan, sustainability plan, or other relevant planning

document.

Project Quality:

- The degree to which the project has effective partnerships.
- The degree to which the project is planned and organized based on a community-driven process.
- The degree to which the project will have an education and outreach component that develops public awareness of the need for expanding and managing urban forest resources.

Eligible and Ineligible Costs (also see Appendix B):

Other than the necessary costs for the mandatory tree planting component, only costs associated with urban forest inventories, mapping and analysis, and development of urban forest management plans may be reimbursed. This can include educational costs not to exceed 20% of the budget, and the costs of a robust public outreach and involvement component. The tree planting component costs must comply with the eligible costs of the "*Urban Forest Expansion and Improvement*" grant category above.

Ineligible Costs:

The following are ineligible costs:

- Any costs unrelated to the management activities identified in the application.
- Decorative tree grates and decorative tree guards or other purely aesthetic items.
- Tree removal (though this could be used to meet matching requirements with CAL FIRE approval.) Projects must show that the removed trees were replaced with a tree of similar or improved long term carbon and co-benefits.
- Inefficient irrigation valves, pumps, sprinkler control timers or overly costly and elaborate irrigation systems.
- Root barriers. (Note: any use of root barriers as part of a project must be approved by a CAL FIRE Regional Urban Forester).
- Trees that rely upon excessive amounts of water to survive.
- Trees that are inappropriate for the chosen site or require excessive maintenance.
- Trees that will be less than 25 feet in height, with equal crown width, at maturity.
- Palms are not eligible.
- Planting invasive species as determined by referencing the California Invasive Plant Council website (http://www.cal-ipc.org/) or similar reference approved by CAL FIRE.
- Any cost that will supplant a local budget line item.

Urban Wood and Biomass Utilization

Eligible Applicants

Eligible applicants include cities, counties, qualifying districts, or nonprofit organizations qualified under Section 501(c)(3) of the Internal Revenue Code (PRC 5096.605). Districts include, but are not limited to, school, park, recreation, water, and local taxing districts.

Purpose:

The purpose of this grant type is to fund the development and implementation of an Urban Wood or Urban Biomass Utilization project or program. Better utilizing this resource will lead to improved management of urban vegetation. Additionally, utilizing trees and other vegetation that are to be removed for a valid management objective avoids them being taken to a waste disposal location where they decay and emit GHG. The focus of this program is to strive to utilize the tree for its highest and best use(s) that lead to reductions in GHG emissions. It is not the intention of the program to fund removal of trees specifically for the purpose of utilization, or programs that intend to do so.

Project Eligibility:

These criteria must be met for a project to be eligible:

- The project must result in a net GHG benefit calculated using ARB's FY 2016-17 quantification methodology.
- Grant requests must be for the creation, development, and implementation of projects to better utilize trees and/or other vegetation from urban forests.
- The amount requested must be between $150,000 and $750,000.
- Project is located in an "urban area" or "urban cluster" as defined by the U.S. Census Bureau. (http://www.census.gov/geo/www/ua/2010urbanruralclass.html)
- The project must display a sign or other advertisement with the logos and names of all organizations participating in the project, including the CAL FIRE Urban & Community Forestry Program. The sign must also acknowledge the funding source, California Climate Investments. See Appendix G.
- The applicant must comply (or will comply) in all respects with applicable local and county ordinances, and applicable state and federal laws and regulations, including the California Environmental Quality Act (CEQA).
- The project must show that the community where the project will occur was, and will continue to be, authentically engaged about the project.
- Projects shall include an education and outreach component. Not more than 20% of grant funds may be used for this education and outreach component. The education and outreach component as part of the overall project can be shown as project match dollars by the applicant.
- The trees that are utilized must not have been removed solely for purposes of utilization. There must be another valid management objective behind the removal of the trees to be utilized as determined by an ISA Certified Arborist, ASCA Registered Consulting Arborist, SAF Certified Urban Forester, or other qualified professional as determined by CAL FIRE.
- Projects must show that the removed trees were replaced with a tree of similar or improved long term carbon and co-benefits.

- Trees and plant materials selected are climate appropriate, drought-tolerant, and well suited the site.
- Any tree planting within the project shall adhere to Appendix I at a minimum. Failure to follow the Standards in Appendix I will lead CAL FIRE to require replacement of the trees at the grantee's cost. The Standards are also listed at the following web site: http://calfire.ca.gov/resource_mgt/downloads/CALFIRE_Nursery_Standards_and_Specs11_12.pdf
- The applicant must agree to provide maintenance on all trees planted (including replacement) for at least three years after project completion. Evidence of long term care for the trees must also be shown. Projects that meet the criteria for benefiting a disadvantaged community may qualify to receive funds for maintenance in a trust fund at project completion.

Project Scoring (100 points possible):

Disadvantaged Communities:

- The project meets ARB criteria for providing a benefit to a disadvantaged community.
- The degree to which the project creates jobs or job training opportunities for residents of disadvantaged communities.
- The degree to which the applicant has reached out the community about the project and has let the outreach inform the project.
- The degree to which the community was engaged about the project in authentic ways, and will be involved in project implementation.

Greenhouse Gas Benefits:

- The degree to which the project GHG benefit, calculated in accordance with the ARB's FY 2016-17 quantification methodology, is high in relation to the budget requested.
- The reasonableness of the assumptions made by the project proponent in quantifying the GHG benefits of the project.

Project Co-Benefits:

- The co-benefits of the project are high in relation to the requested budget.
- The degree to which the project utilizes the removed trees for their highest and best use, with the least amount of waste.
- The degree to which the project will lead to long term improvement of capacity to utilize urban trees as they are removed for valid management objectives.
- The extent to which the project helps the State meet its climate change adaptation strategies. See: http://www.climatechange.ca.gov/adaptation/.

Best Management Practices:

- The degree to which the replacement tree species selection is diverse and site-appropriate.
- The degree to which the project has a quality business plan that is likely to lead to long term success. It is not desirable for this grant program to fund projects with a one-time effect during the grant period alone.
- The degree to which the project will be replicable elsewhere.

Project Quality:

- The degree to which the project has effective partnerships.
- The degree to which the project is planned/organized based on a community-driven process.
- The degree to which the project will have an education and outreach component that develops public awareness of the need for expanding and managing urban forest resources.

Ineligible practices:

The following practices will not be funded by this grant program:

- No practices other than those described above may be funded by this grant program without prior written approval by CAL FIRE.
- Projects that will not result in a net GHG benefit.
- Trees or materials sourced from non-urban areas or from Timber Production Zones as defined by the California Forest Practice Rules.
- Projects that will be utilizing trees removed solely for the purpose of utilization.
- Projects that will not have any impact beyond the grant period.
- Projects that will supplant a locally funded budget item rather than supplement it.
- Projects that will not result in a net GHG benefit.
- Planting trees that require excessive maintenance such as: excessive long-term watering, fertilizing, exterminating, or controlling plant pests and diseases in order to survive.
- Projects that plant trees that will eventually conflict with overhead or underground utilities or ground-located infrastructure.
- Planting invasive species as determined by referencing the California Invasive Plant Council website (http://www.cal-ipc.org/) or similar reference approved by CAL FIRE.

Eligible and Ineligible Costs (also see Appendix B):

Other than the necessary costs for the mandatory tree planting component, only costs associated with urban wood and/or biomass operations and program administration may be funded. This can include educational and/or marketing costs not to exceed 20% of the budget. Any optional tree planting component costs must comply with the eligible costs of the "*Urban Forest Expansion and Improvement*" grant type above.

Ineligible Costs:

The following are ineligible costs:

- Any costs unrelated to the urban wood or biomass project identified in the application.
- Decorative tree grates and decorative tree guards or other purely aesthetic items.
- Tree removal, unless the tree is dead or dying, or must be removed for some other valid management objective as approved by CAL FIRE U&CF staff prior to tree removal. Removal for the sole purpose of utilization is not eligible.
- Costs that do not meet the objective of highest and best use of the tree that is removed.
- Palms are not eligible.
- Any cost that would make a project a net GHG emitter.
- Inefficient irrigation valves, pumps, sprinkler control timers or overly costly and elaborate irrigation systems.
- Root barriers. (Note: any use of root barriers as part of a project must be approved by a CAL FIRE Regional Urban Forester).
- Trees that rely upon excessive amounts of water to survive.
- Trees that are inappropriate for the chosen site or require excessive maintenance.
- Trees that will be less than 25 feet in height, with equal crown width, at maturity.
- Any cost that will supplant a local budget line item.

APPENDIX A

Concept Proposal Forms

To get the PDF form that you will need to submit for the category or categories you wish to apply for, please visit one of the following two websites:

http://www.fire.ca.gov/resource_mgt/resource_mgt_urbanforestry_grants

Or

http://www.ufei.org/grantinfo.lasso

APPENDIX B

Eligible Costs and Sample Budget

Use the below items as references while filling in the budget for the Concept Proposal. The Project Application Sample Budget below will be provided to and required of those with successful Concept Proposals that are invited to submit a Project Application.

Eligible Costs and Documentation Requirements

Project costs must be consistent with the approved project proposal and incurred during the performance period as specified in the grant agreement. Project elements that do not produce a direct GHG benefit (e.g., education, research, planning, etc.) must be linked with on the ground activities that do, or they will not be eligible costs.

Budget Item	Eligible Cost	Required Documentation
Salaries and Wages	Salaries and wages of employees employed by the grantee whom are DIRECTLY engaged in the execution of the grant project. Limited to actual time spent on the grant project. Examples of expenditures would be time related to site visits, project monitoring, and completion of reporting related to the grant project. Staff time related to accounting, business services, etc. are allowed only if those functions are not included in the grantee's overhead cost. Cost of employee leave (vacation, sick) is eligible only if the employee is working 100% on the grant. Lump sum payment of accrued leave balance is only eligible for reimbursement if the employee was hired for the sole purpose of working on the grant. Volunteer rates for matching funds purposes can be found at the following website: http://www.independentsector.org/programs/research/volunteer_time.html.	Timesheets detailing days and hours worked on the project. Timesheet must be signed by the employee after the fact. Payroll documentation showing wages and hours paid to the employee.
Benefits	Employer contribution share of fringe benefits associated with employees (paid from salaries and wages Budget Item) whom are directly engaged in the execution of the grant project. This will include Social Security, Medicare, Health Insurance, Pension Plan costs, etc. as applicable for the specific employee.	Timesheets detailing days and hours worked on the project. Timesheet must be signed by the employee after the fact. Payroll documentation showing wages and hours paid to the employee and associated fringe benefits.
Contractual	Direct consultant and contractual services necessary to achieve the objectives of the grant. Examples of contractual costs will be RPF supervision/certification, GHG verification contractor, etc. Procurement of contractual services should be documented to ensure selection on a competitive basis and documentation of cost analysis.	Invoices from Consultant/Contractor identifying expenditure, services performed and period of services. Documents related to consultant/contractor selection analysis shall be kept by the grantee but available for audit purposes.

Supplies	Supplies that are used in the direct support of the project are allowable. Supplies exceeding $500 per unit cost shall be documented to ensure procurement of supplies on a competitive basis and documentation of cost analysis.	Receipts identifying items purchased, cost and date of purchase. Documentation related to cost analysis of procurement of supplies exceeding $500 shall be kept by the grantee but available for audit purposes.
Travel	Travel cost associated with travel to and from project sites, meetings, etc. directly related to the grant project and must be considered reasonable and necessary for the completion of the project. Reimbursement rates shall be consistent with the grantee's written travel policy. Absent a written policy, per diem shall not exceed the California Standard Per Diem Rate allowable by the U.S. General Services Administration (http://www.gsa.gov/portal/category/100120). Mileage rates shall not exceed the rates allowable by IRS (http://www.irs.gov/Tax-Professionals/Standard-Mileage-Rates).	Receipts identifying travel cost (i.e. lodging, rental cars). Mileage must be documented by either employee travel claims that are signed by the employee or vehicle mileage logs for vehicles owned by the grantee. Per Diem must be documented by employee travel claims.
Equipment	Equipment consists of items exceeding $5,000 or more per unit cost and a tangible useful life of more than one year. Cost to lease equipment for use during the grant may be charged to the grant. Usage of equipment owned by the grantee may be charged to the grant at a rate set by the California Department of Transportation "Labor Surcharge and Equipment Rental Rate" guide (http://www.dot.ca.gov/hq/construc/equipmnt.html). Purchase of equipment using grant funds is allowable only with prior approval by CAL FIRE. A cost-benefit analysis to justify the cost of purchasing equipment versus leasing must be provided. Procurement of equipment must be done on a competitive basis and include documentation of price analysis. *Note: The grantee must include proposed use and maintenance plans for the equipment after the project performance period in the Project Application. Disposition of the equipment beyond the project performance period is subject to CAL FIRE approval.*	Cost of leased equipment charged to the grant must be substantiated with receipts identifying equipment leased, dates equipment was leased, lease rate and total cost. Usage of grantee equipment must be substantiated with an equipment usage log, equipment used, rate and total rental cost. Cost of equipment purchased shall be substantiated by purchase receipt. Documentation related to price analysis of procurement of equipment shall be kept by the grantee but available for audit purposes. Disposition of the equipment must be approved by CAL FIRE in writing at the end of the grant term.

Other	Other costs that do not fit in any of the above categories. Costs must be directly related to the grant project. Costs such as rent, utilities, phones, general office supplies, etc. that must be apportioned to the grant are considered indirect costs unless written justification is submitted and approved by CAL FIRE.	Invoices or receipts identifying the item and cost charged to the grant.
Indirect Costs (Non-profits only)	Costs associated with doing business that are of a general nature and are incurred to benefit two or more functions within the grantee organization. These costs are not usually identified specifically within the grant agreement, project, or activity, but are necessary for the general operation of the organization. Examples of indirect costs include salaries and benefits of employees not directly assigned to a project; functions such as personnel, accounting, budgeting, audits, business services, information technology, janitorial, and salaries of supervisors and managers; and rent, utilities, supplies, etc. Functions included as direct versus indirect costs must be applied consistently for all activities within the grantee organization, regardless of fund source. Indirect costs are capped at 10% of CAL FIRE share of the budget.	Applied on a percentage (%) basis on direct costs except for equipment.

PROJECT APPLICATION SAMPLE BUDGET

Budget Item	Description	Cost Basis	CAL FIRE Grant Share	Grantee Match	Total
A. Salaries and Wages			*62,600.00*	*5,400.00*	*68,000.00*
	Project Lead	1000 hours x $30/hour	30,000.00		30,000.00
	Worker 1	1000 hours x $20/hour	20,000.00		20,000.00
	Worker 2	1000 hours x $18/hour	12,600.00	5,400.00	18,000.00
					-
B. Employee Benefits			*15,464.00*	*1,746.00*	*17,210.00*
	Project Lead (Monitoring)	500 hours x $10.16/hour	5,080.00		5,080.00
	Worker 1	1 staff x 1000 hrs x $6.31/hr	6,310.00		6,310.00
	worker 2	1 staff x 1000 hrs x $5.82/hr	4,074.00	1,746.00	5,820.00
					-
C. Contractual			*117,000.00*	*120,000.00*	*237,000.00*
	CEQA Compliance		12,000.00		12,000.00
	GHG Emission Tracking		10,000.00		10,000.00
	Certified Arborist		5,000.00		5,000.00
	Concrete Cutting	$300/site x700 sites	90,000.00	120,000.00	210,000.00
D. Travel			*1,120.00*	-	*1,120.00*
	Mileage	2000 miles x $0.56/mile	1,120.00		1,120.00
					-
					-
					-
E. Supplies			*146,180.00*	-	*146,180.00*
	Trees	2,000 #15 trees @ $60/tree	120,000.00		120,000.00
	Tree Stakes	4,000 @ $4.00/tree	16,000.00		16,000.00
	Tree Ties	4,000 @ $0.67/tree	2,680.00		2,680.00
	Mulch	500 Yds. @ $15/Yd.	7,500.00		7,500.00
	Tablets for Inventory	2 x $425.00	850.00		850.00
F. Equipment			-	-	-
					-
					-
					-
G. Other			*250.00*	-	*250.00*
	City Permits		250.00		250.00
					-
					-
TOTAL DIRECT COSTS			**342,614.00**	**127,146.00**	**469,760.00**
INDIRECT COSTS		**10%**	**34,261.40**		**34,261.40**
TOTAL PROJECT COSTS			**376,875.40**	**127,146.00**	**504,021.40**
LESS Program Income			**-**		**-**
TOTAL GRANT PROPOSED COSTS			**376,875.40**	**127,146.00**	**504,021.40**
			75%	**25%**	**100%**

APPENDIX C

Required Forms

Note: the required forms will also be made available upon being invited to submit a Project Application. The below information is for review and reference.

RESOLUTION

(NOTE: non-profit applicants must have this notarized.)

(*Additional Note*: DO NOT DEVIATE FROM THIS VERBIAGE.)

Resolution No.:_____

RESOLUTION OF THE _____ (**Title of Governing Body/City Council/ Board of Supervisor/Board of Directors**) OF _____ **(City/County/District/non-profit)** FOR FUNDING FROM THE URBAN FORESTRY GRANT PROGRAM ENTITLED, "_____", AS PROVIDED THROUGH the CALIFORNIA GREENHOUSE GAS REDUCTION FUND.

WHEREAS, the Governor of the State of California in cooperation with the California State Legislature has enacted the California Greenhouse Gas Reduction Fund, which provide funds to the State of California and its political subdivisions for urban and community forestry programs; and

WHEREAS, the State Department of Forestry and Fire Protection has been delegated the responsibility for the administration of the program within the State, setting up necessary procedures governing application by local agencies and non-profit organizations under the program, and

WHEREAS, said procedures established by the State Department of Forestry and Fire Protection require the applicant to certify by resolution the approval of application before submission of said application to the State; and

WHEREAS, the applicant will enter into an agreement with the State of California to carry out an urban and community forestry project;

NOW, THEREFORE, BE IT RESOLVED that the **(Title of Governing Body):**

1. Approved the filing of an application for "Greenhouse Gas Reduction Fund" grant program funds; and
2. Certifies that funds under the jurisdiction of **(Name Governing Body Here)** are available to begin the project.
3. Certifies that said applicant will expend grant funds prior to March 30, 2020.
4. Appoints **(title and/or designee)** as agent of the **(Governing Body)** to conduct all negotiations, execute and submit all documents including, but not limited to applications, agreements, amendments, payment requests, etc., which may be necessary for the completion of the aforementioned project.

Approved and adopted the ___(day)_____ day of __(month)__, 20_(year)__. I, the undersigned, hereby certify that the foregoing Resolution, number_____ was duly adopted by the following roll call vote: (City Council, Board of Supervisors, Board of Directors, etc.)

Ayes: _____Noes: _____ Absent: _____ _____(Clerk) Notarized Seal:

STANDARD FORMS:

Payee Data Record form (STD. 204): The STD. 204 form indicates that local government entities do not need to fill it out. CAL FIRE utilizes this form internally for all grantees, so it is required that all applicants fill it out. http://www.documents.dgs.ca.gov/dgs/fmc/pdf/std204.pdf

Nondiscrimination Compliance Statement form (STD. 19):
http://www.documents.dgs.ca.gov/dgs/fmc/pdf/std019.pdf

A Drug-Free Workplace Certification form (STD. 21):
http://www.documents.dgs.ca.gov/dgs/fmc/pdf/std021.pdf

APPENDIX D

California Department of Forestry and Fire Protection

Urban & Community Forestry Program

ENVIRONMENTAL CHECKLIST

Part 1: ADMINSTRATIVE INFORMATION

1. Project Title: _____

2. Project Applicant's Name: _____

3. Name and title of checklist preparer: _____

This checklist is intended for use by applicants for California Department of Forestry and Fire Protection (CAL FIRE) Urban & Community Forestry Program projects. It is modeled after the California Environmental Quality Act (CEQA) Environmental Checklist, which has been modified to more closely focus on the types of actions and impacts expected to occur while conducting urban forestry tree planting projects. As the lead agency under CEQA, CAL FIRE must make a determination as to a project's potential environmental impacts, develop mitigations if necessary and determine the level of environmental documentation and review required. The completion of this checklist will assist CAL FIRE in identifying impacts of the proposed project prior to approval. To meet that need someone that is intimately familiar with the project and knowledgeable on potential environmental consequences must complete this checklist. The information in the checklist is meant to supplement the information provided in the application. Maps and photos supplied with the application will assist in CAL FIRE's review. This checklist is available electronically or may be completed manually. For assistance, please contact CAL FIRE's Urban & Community Forestry Program personnel.

It is the intent of CAL FIRE and the Urban & Community Forestry Program to approve urban and community forestry projects that are categorically exempt from further environmental review under CEQA. In order for a project to qualify for a categorical exemption CAL FIRE must find that there are no "unusual circumstances" associated with the project that lead to the project having impacts on environmental resources (e.g., threatened or endangered species, aesthetics, cultural resources, water quality, etc.). CEQA does not allow for a project's impacts to be minimized or compensated under a categorical exemption; the project must be designed to avoid significant effects. To meet that end, the following questions were designed to identify environmental impacts that may occur in various tree-planting settings and encourage project applicants to design their projects to avoid significant effects. In the event that potential significant effects to a resource are identified it is recommended that the project applicant redesign or reconfigure their project proposal to avoid significant effects to the resource. Failure to fully avoid significant effects will result in your project requiring a "higher level" of environmental review such as the preparation of a negative declaration or environmental impact report (EIR). This could be costly and delay your project. Because of the time and cost associated with the preparation of a negative declaration or environmental impact report CAL FIRE encourages applicants to change the project in order to qualify for a categorical exemption.

A brief explanation is required for "Yes" responses to the following questions. Responses must be supported by facts, not merely the personal opinion of the checklist preparer.

All responses must take account of the whole action involved, including off-site as well as on-site, cumulative as well as project-level, indirect as well as direct, and construction as well as operational impacts. Earlier analyses may be used where an impact has been adequately analyzed in an earlier EIR or negative declaration. In this case, a brief discussion should identify the earlier analysis, describe the mitigations that were developed and supply copies of relevant sections/pages. A source list should be attached and other sources used or individuals contacted should be cited in the discussion sections where necessary.

Part 2: PROJECT DESCRIPTION

1. Project Location:
(City, County, Nearest Town, etc.) _____

2. Description of Project: Describe the entire project, including but not limited to size and numbers of trees, size and depth of excavations, planting site preparation (i.e., land clearing), equipment to be utilized in planting and preparing the planting site (e.g., backhoes, power augers, heavy equipment), later phases of the project, and any secondary, support, or off-site features necessary for the project's implementation. Emphasis should be placed on activities that will potentially impact the environment rather than describing project benefits.

_____

3. Identify the type(s) of setting(s) where the project will be located.

Urban or Developed Settings	Rural, Undeveloped or Wildland Settings
☐ Street (parkways, medians, sidewalks, etc.)	☐ Undeveloped land
☐ Existing landscaped city/county park	☐ New or rural park
☐ Existing landscaped school grounds	☐ New school grounds
☐ Urban trail, bike trail	☐ Agricultural land
☐ Public building grounds	☐ Historic district, railroad right-of-way
☐ Other similar urban or developed setting. Describe setting: _____	☐ Riparian area (within 100 ft. of a stream, lake or wetland)
	☐ Other similar rural, undeveloped or wildland setting. Describe setting: _____

Projects confined to <u>urban</u> or <u>developed</u> settings must address questions in Checklist, Part 4.

Projects that include <u>rural</u>, <u>undeveloped</u> or <u>wildland</u> settings must address questions in Checklist, Parts 3 and 4.

Part 3: ENVIRONMENTAL IMPACT ANALYSIS FOR PROJECTS IN RURAL, UNDEVELOPED OR WILDLAND SETTINGS

Projects, or portions of projects, planned for rural, undeveloped or wildland settings may have impacts on various resources (e.g., threatened or endangered species, cultural resources, water quality, etc.). Therefore, project applicants must conduct the following resource studies to determine if resources exist that warrant protection.

Resource Studies:

Conduct a Natural Diversity Data Base Search

Contact a CAL FIRE Regional Urban Forester to determine how to conduct a Natural Diversity Data Base (NDDB) Search. Submit a copy of the search results along with this Environmental Checklist. If the NDDB search identifies any threatened or endangered species of animals or plants that may be present describe how the project will be designed to avoid such species in the appropriate discussion section.

Conduct an archaeological records check

Contact a CAL FIRE Regional Urban Forester to determine how to conduct an Archaeological Records Check. Submit a copy of the results along with this Environmental Checklist. If the Records Check identifies cultural resources within the project site describe how the project will be designed to avoid significant effects in the appropriate discussion section.

Conduct an archaeological survey

Contact a CAL FIRE Regional Urban Forester to determine how to conduct an archaeology survey. Submit a copy of the survey results along with this Environmental Checklist. If the archeological survey identifies cultural resources within the project site describe how the project will be designed to avoid significant effects in the appropriate discussion section.

Based on the results of the resource studies please respond to the following questions for projects located in rural, undeveloped or wildland settings.

1. Discuss the results of the resource studies and briefly describe the archaeological and biological resources identified within your project site.

_____

Will the project:

2. Require the removal of native vegetation (trees, shrubs) prior to planting, thereby potentially causing a significant effect to threatened or endangered plant or animal species or cultural resources?

   ☐ Yes ☐ No

3. Require extensive soil disturbance, thereby potentially causing soil erosion and causing a significant effect tothreatened or endangered species or cultural resources?

   ☐ Yes ☐ No

4. Require the use of large equipment (i.e. backhoe) thereby potentially causing a significant effect to threatened or endangered species or cultural resources?
   ☐ Yes ☐ No

5. Occur within 100 feet of a perennial watercourse, riparian zone or wetland thereby potentially causing a significant effect to threatened or endangered species, cultural resources or riparian values?
   ☐ Yes ☐ No

6. Convert Prime Farmland, Unique Farmland, or Farmland of Statewide Importance to non-agricultural use?
   ☐ Yes ☐ No

7. Discuss any "Yes" responses and describe measures to how the project will be designed to avoid significant effects.

   _____

Part 4: ENVIRONMENTAL IMPACT ANALYSIS FOR ALL PROJECTS

Please answer the following questions for all projects and discuss all "Yes" responses.
Will the proposed project:

1. Require approval from other public agencies (e.g., permits, financing approval, or participation agreement [e.g., grading permits, CALTRANS encroachment permits, right-of-way easements, etc.])
   ☐ Yes ☐ No

   _____

2. Include activities that were identified in other environmental documents or analyses and support findings of no significant effect (e.g., CEQA documents, environmental surveys, general plans, studies, reports, etc.)
   ☐ Yes ☐ No

   _____

3. Conflict with any applicable land use plan, policy, or regulation of an agency with jurisdiction over the project (including, but not limited to general plans, specific plans, local coastal programs, or zoning ordinances)?
   ☐ Yes ☐ No

   _____

4. Conflict with any ordinances protecting biological resources, such as tree preservation ordinance, Habitat Conservation Plan, or other policy?
   ☐ Yes ☐ No

   _____

5. Be located on a site which is included on a list of hazardous materials sites compiled pursuant to Government Code Section 65962.5 and, as a result, would it create a significant hazard to the public or the environment?

☐ Yes ☐ No

_____

6. Result in trees, once mature, coming into contact with power lines?

☐ Yes ☐ No

_____

7. Expose people or structures to the risk of loss, injury or death involving wildland fires, including where wildlands are adjacent to urbanized areas or where residences are intermixed with wildlands?

☐ Yes ☐ No

_____

8. Have sufficient water supplies available to serve the project from existing entitlements and resources or substantially deplete groundwater supplies or interfere substantially with groundwater recharge such that there would be a net deficit in aquifer volume or a lowering of the local groundwater table level (e.g., the production rate of pre-existing nearby wells would drop to a level which would not support existing land uses or planned uses for which permits have been granted)?

☐ Yes ☐ No

_____

9. Result in substantial change to public services for tree pruning and maintenance, which causes a significant effect on the environment?

☐ Yes ☐ No

_____

10. Substantially increase the use of existing neighborhood and regional parks or other recreational facilities or require the construction of additional recreational facilities resulting in significant effects?

☐ Yes ☐ No

_____

11. Include trees known to produce pollen/allergens/odors that are irritants or objectionable to large numbers of people?

☐ Yes ☐ No

_____

12. Substantially damage a scenic resource or vista or degrade the existing visual character or quality of the site and its surroundings including, but not limited to, trees, rock outcroppings, and historic buildings within a state scenic highway?

☐ Yes ☐ No

_____

13. Result in, once trees are mature, undesirable shading of nearby property, including residences, offices, swimming pools, solar energy collectors, recreational facilities, etc. or subject adjoining properties to excessive amounts of litter and/or debris?

☐ Yes ☐ No

_____

14. Obscure public safety improvements such as streetlights, traffic signals, signs, etc.?

☐ Yes ☐ No

_____

15. Greenhouse Gas Emissions
☐ This topic does not apply to this project and was not evaluated further.
☐ Yes ☐ No Would the project generate significant greenhouse gas (GHG) emissions?
☐ Yes ☐ No Would these GHG emissions result in a significant impact on the environment? Discuss below:
☐ Yes ☐ No Would the project conflict with an applicable plan, policy or regulation adopted for the purpose of reducing the emissions of greenhouse gases? Discuss below:
_____

If you checked “No” to all preceding questions or checked “Yes” and have provided the required Resource Studies and identified measures sufficient to protect all resource values the project may be categorically exempt from further environmental review. Sign the Certification, below, and submit this Checklist with your application to the CAL FIRE, Urban & Community Forestry Program office. CAL FIRE will review your responses and determine whether additional environmental review is necessary prior to project approval.

Part 5: CERTIFICATION

I certify that I have reviewed the proposed project’s description and inspected the project site(s). I have provided accurate and factual responses to the questions and have supplied accurate information when requesting database searches. In my opinion the proposed project will not have any significant effects on the environment.

Signature of Checklist Preparer

Date

Part 6: DETERMINATION

DETERMINATION

(To be completed by CAL FIRE Urban and Community Forestry Program Personnel)

As a representative of CAL FIRE and as lead agency for environmental review under CEQA I have determined that an environmental impact evaluation for the proposed project has been satisfactorily completed.

On the basis of this evaluation:

☐ I find that the proposed project will not have a significant effect on the environment and meets the Class 4 (Minor Alterations to Land) categorical exemption requirements. This project is therefore exempt from the requirement for the preparation of environmental documents. CAL FIRE will prepare a Notice of Exemption (NOE).

☐ I find that the proposed project could not have a significant effect on the environment and does not meet the Class 4 categorical exemption requirements; therefore a negative declaration will be prepared.

☐ I find that although the proposed project could have a significant effect on the environment, there will not be a significant effect in this case because mitigations have been incorporated into the project have been made by or agreed to by the applicant. A mitigated negative declaration will be prepared.

☐ I find that the proposed project may have a significant effect on the environment, and an environmental impact report is required.

☐ I find that the proposed project may have a “potentially significant impact” or “potentially significant unless mitigated impact” on the environment, but at least one effect 1) has been adequately analyzed in an earlier document pursuant to applicable legal standards, and 2) has been addressed by mitigation measures based on the earlier analysis as described on attached sheets. An environmental impact report is required, but it must analyze only the effects that remain to be addressed.

☐ I find that although the proposed project could have a significant effect on the environment, because all potentially significant effects (a) have been analyzed adequately in an earlier EIR or Negative Declaration pursuant to applicable standards and (b) have been avoided or mitigated pursuant to an earlier EIR, including revisions or mitigation measures that are imposed upon the proposed project, nothing further is required.

_____
Signature of Authorized CAL FIRE Reviewer

Print Name	Title	Date

APPENDIX E

Required Invoice Format

Grantee Name
Street Address
Street Address2
City, ST ZIP Code

INVOICE

Submit invoice and supporting documentation to:
California Department of Forestry & Fire Protection (CAL FIRE)
ATTN: NAME, PROGRAM
Street Address2
City, ST ZIP Code

DATE: Month DD, YYYY
INVOICE #: 100

Grant Number: 8XX14XXX
Grant Period: MM/DD/YYYY to MM/DD/YYYY
Project Name:

Invoice Period: MM/DD/YYYY to MM/DD/YYYY
Payment Type: ☐ Advance Request ☐ Interim Payment ☐ Final Payment

BUDGET ITEM	BUDGETED AMOUNT	CURRENT COST	EXPENDED TO DATE	MATCH TO DATE
Salaries and Wages				-
Employee Benefits				-
Contractual				-
Travel				-
Supplies				-
Equipment				-
Other				-
Indirect Cost 10%				
TOTAL	-	$ -	$ -	$ -
Less Outstanding Advance		$ -		
Less Program Income		$ -		
	CURRENT DUE	**$ -**		

Check all those that apply:
☐ Supporting documentation attached (required for Interim & Final Payment)
☐ Project Progress Report (Interim) or Project Completion Report (Final)

Direct questions to: Name
XXX-XXX-XXXX Ext. XXXX
Email address

CERTIFICATION: I certify that I have the full authority to execute this payment request on behalf of the Grantee. I declare under penalty of perjury, under the laws of the State of California, that this request and accompanying documents for the above referenced grant is true and correct to the best of my knowledge, and represents actual allowable disbursements made for the work performed in accordance with the conditions of the grant.

Signature of Authorized Official | Date | Printed Name | Title

CAL FIRE USE ONLY						
Payment approval signature (Unit/Field Staff)				Title		Date
Payment approval signature (Program Manager)				Title		Date
Payment approval signature (Grants Management Unit)				Title		Date
CAL FIRE Coding:	FY	Index	Object	PCA	Amount	Vendor #

APPENDIX F
Grantee Reporting Form

Instructions for the form will be distributed to grantees. The below is only for applicant reference.

CAL FIRE Urban & Community Forestry Program
California Climate Investments Grant Progress Report

Calendar Year [ ] ☐ Between quarters, with interim billing. Or, quarter ending : ☐ June 30 ☐ Sept. 30 ☐ Dec. 31 ☐ March 31

Grantee [ ]

Grant Agreement #8GG [ ] Reporting Date (mm/dd/yyyy): [ ]

Reporting Individual: [ ]

Email Address: [ ]

Phone Number: [ ] Title of reporting Individual: [ ]

GGRF funds expended this period: [ ] GGRF funds expended project to date: [ ]

Match funds expended this period: [ ] Match funds expended project to date: [ ]

Total funds expended this period: [ ] Total funds expended project to date: [ ]

Number of trees planted this period: [ ] Number of trees planted project to date: [ ]

Number of other plants planted this period: [ ] Number of other plants planted to date: [ ]

Attach the CAL FIRE provided spreadsheet of trees planted by species for this period with all information included. For other plants, provide number of plants by species and project site locations (XY coordinate and address of the site).

Describe and quantify tree and plant maintenance activities completed during this period: [ ]

Please provide GHG reduction numbers for the project as described below. Note that all GHG numbers must be determined using the Air Resources Board approved Quantification Methodology.

GHG reductions from trees this period (MTCO2e): [ ] GHG reductions from trees project to date (MTCO2e): [ ]

GHG reductions from other activities this period (describe and quantify if applicable): [ ]

Please indicate what co-benefits and deliverables the project had during the project period by checking the box below. Describe the co-benefits and/or quantify them in the box below.

- ☐ Stormwater runoff reduced (report in acre feet).
- ☐ Stormwater runoff treated (report in acre feet).
- ☐ Air quality improvement. Quantify.
- ☐ Reduced vehicle miles travelled. Describe how.
- ☐ Jobs created. Report in FTE or man hours. Indicate if person employed is from DAC.
- ☐ Individuals trained. Indicate if certificate earned.
- ☐ Public health benefits. Describe below.
- ☐ Acres of urban land acquired. Quantify acres and describe.
- ☐ Trees inventoried. Only include if the CAL FIRE data collection criteria are met.
- ☐ Policies improved.
- ☐ Mapping conducted or analyses undertaken.
- ☐ Publications produced/web pages created, etc. Describe.
- ☐ Bone dry tons of urban woody biomass diverted from landfills. Quantify. Describe products.
- ☐ Renewable energy generated (kWh)
- ☐ Other benefits/deliverables: describe and/or quantify below to the best of your ability.

Describe co-benefits achieved during this period. Quantify whenever possible :	

Attach pictures/products if applicable.

Partnerships: please describe the role of project partners during this period. Be sure to indicate successes from the partnership. Challenges should be captured in the last box below.	

Disadvantaged Communities: please list the CES 2.0 census tracts served durign the project reporting period. Refer to the ARB disadvantaged community guidance for descriptions of how DACs are served for urban forestry projects.

ARB Criteria IA: List the census tract numbers of the CES2.0 DACs worked in.	
ARB Criteria 2A, 2B, 2C, 2D: List CES 2.0 tracts served and ARB criteria each tract meets.	

Attach a list (sign up sheet or similar), from your organization or a partner organization, of residents (with address) that participated in the project during the period.

Additional description of activities completed during this period:	
Describe challenges faced. If they were overcome, please explain how:	

Attach pictures/products if applicable.

Urban and Community Forestry Program - California Climate Investments Grant
Minimum Data Attributes for Planted Trees

Grant Number: **Grantee Name:** **Report Date:**

Tree #	Species	Address	City	Y Coordinate	X Coordinate	Census Tract	DAC Status	Date Planted	Stock Size	Grow Space

APPENDIX G

Signage Information

Additional signage designs may be approved on a case by case basis by CAL FIRE staff. The content demonstrated below is the minimum information required. For California Climate Investments logo and usage guidelines, please visit:

http://www.arb.ca.gov/cc/capandtrade/auctionproceeds/fundingguidelines.htm

Funding for this California Climate Investments grant project has been provided through the California Department of Forestry and Fire Protection (CAL FIRE), Urban and Community Forestry Program.

APPENDIX H

Regional Urban Foresters

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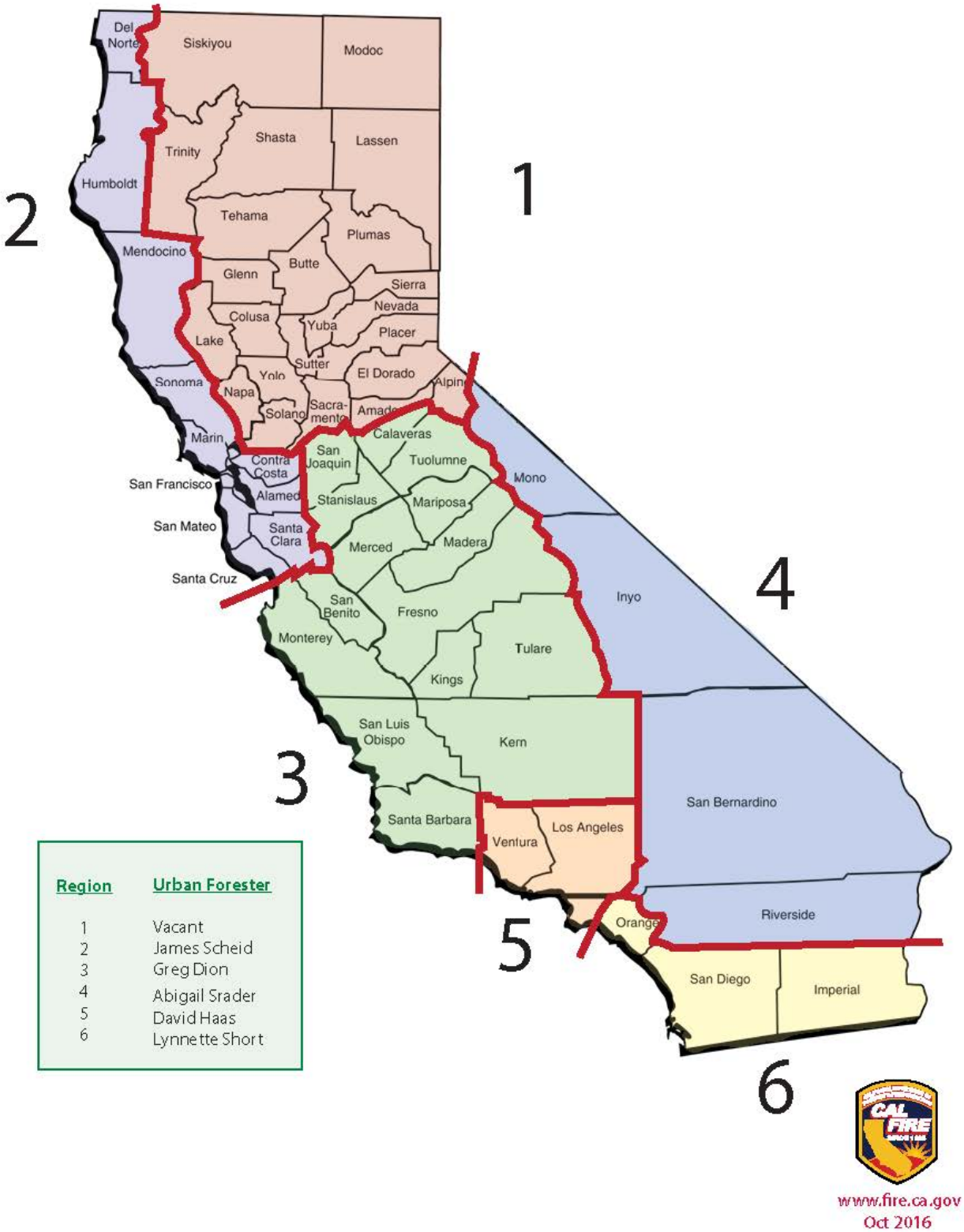
For more information visit:
http://www.fire.ca.gov/resource_mgt/resource_mgt_urbanforestry.php

CAL FIRE
Regional Urban Foresters



APPENDIX I

Guideline Specifications for Selecting, Planting, and Early Care of Young Trees

This document is a compilation of the ***Guideline Specification for Nursery Tree Quality: Strategies for Growing a High-Quality Root System, Trunk, and Crown in a Container Nursery***, and the ***Tree Care Cue Cards***. It has been prepared to help green industry professionals in the efforts to select, plant, and care for young trees.

Illustrations by Edward F. Gilman, Professor, Environmental Horticulture Department, IFAS, University of Florida; adaptions from *Arboriculture: Integrated Management of Landscape Trees, Shrubs and Vines*, 4th ed., by R. W. Harris, J. R. Clark, and N. P. Matheny (Prentice Hall, 2003).

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Nursery Tree Quality

I. GENERAL SPECIFICATIONS

Proper Identification: All trees shall be true to name as ordered or shown on planting plans and shall be labeled individually or in groups by species and cultivar (as appropriate).

Compliance: All trees shall comply with federal and state laws and regulations requiring inspection for plant disease, pests, and weeds. Inspection certificates required by law shall accompany each shipment of plants. Clearance from the local county agricultural commissioner, if required, shall be obtained before planting trees originating outside the county in which they are to be planted. Even though trees may conform to county, state, and federal laws, the buyer may impose additional requirements.

Inspection: The buyer reserves the right to reject trees that do not meet specifications as set forth in these guidelines or as adopted by the buyer. If a particular defect or substandard element can be corrected easily, appropriate remedies shall be applied. If destructive inspection of a root ball is to be done, the buyer and seller shall have a prior agreement as to the time and place of inspection, number of trees to be inspected, and financial responsibility for the inspected trees.

Delivery: The buyer shall stipulate how many days prior to delivery that delivery notification is needed. Buyer shall stipulate any special considerations to the nursery prior to shipment.

II. HEALTH AND STRUCTURE SPECIFICATIONS

These specifications apply to deciduous, broadleaf evergreen, and coniferous species. They do not apply to palms. Note that leaf characteristics will not be evident on deciduous trees during the dormant season.

Crown: The form and density of the crown shall be typical for a young specimen of the species or cultivar. The leader shall be intact to the very top of the tree.

Leaves: The size, color, and appearance of leaves shall be typical for the time of year and stage of growth of the species or cultivar. Trees shall not show signs of moisture stress as indicated by wilted, shriveled, or dead leaves.

Branches: Shoot growth (length and diameter) throughout the crown shall be appropriate for the age and size of the species or cultivar. Trees shall not have dead, diseased, broken, distorted, or otherwise injured branches.

Trunk: The tree trunk shall be relatively straight, vertical, and free of wounds (except properly made pruning cuts), sunburned areas, conks (fungal fruiting bodies), wood cracks, bleeding areas, signs of boring insects, cankers, girdling ties, or lesions (mechanical injury). The terminal bud on the leader shall be intact to the very top of the tree, and it shall be the highest point on the tree.

Roots: The root system shall be substantially free of injury from biotic (e.g., insects and pathogens) and abiotic (e.g., herbicide toxicity and salt injury) agents. Root distribution shall be uniform throughout the container substrate, and shall be appropriate for the species or cultivar. At time of inspection and delivery, the root ball shall be moist throughout. Roots shall not show signs of excess soil moisture conditions as indicated by stunted, discolored, distorted, or dead roots.

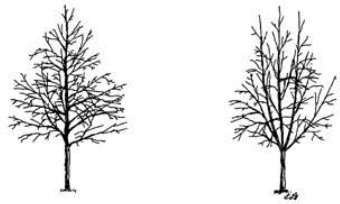
Shade trees that grow to be large shall have one relatively straight central leader (Figure 1). Heading the tree is acceptable provided the central leader is reestablished in the nursery.

Figure 1.

Desirable Desirable Not desirable

Main branches (Figure 2) shall be well distributed along the central leader, not clustered together. They shall form a balanced crown appropriate for the cultivar or species.

Figure 2.

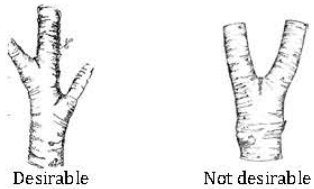


Desirable Not desirable

The diameter of branches (Figure 3) that grow from the central leader, or trunk, shall be no larger than two-thirds (one-half is preferred) the diameter of the trunk measured just above the branch.

The largest branches shall be free of bark inclusions that extend into the branch union (Figure 4 A and B).

Figure 3.

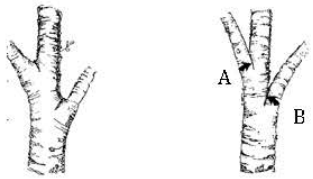


Desirable Not desirable

Small-diameter branches (Figure 5, left), particularly on trees less than 1 inch caliper, should be present along the lower trunk below the lowest main branch. These branches shall be no larger than 3/8 inch in diameter.

The trunk shall be free of wounds, sunburned areas, conks (fungal fruiting bodies), wood cracks, bleeding areas, signs of boring insects, cankers, or lesions. Properly made recent or closed pruning cuts are acceptable.

Figure 4.

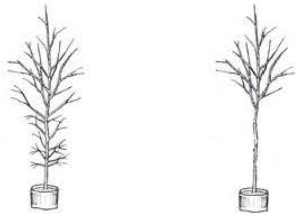


Desirable Not desirable

The trunk caliper (diameter) and taper (Figure 6) shall be sufficient so that the tree remains vertical without a stake.

The root collar (the uppermost roots) (Figure 7) shall be within the upper 2 inches of the soil media (substrate). The root collar and the inside portion of the root ball shall be free of defects, including circling, kinked, and stem-girdling roots. Roots at the surface should grow mostly straight to the side of the container. You may need to remove soil near the root collar to inspect for root defects.

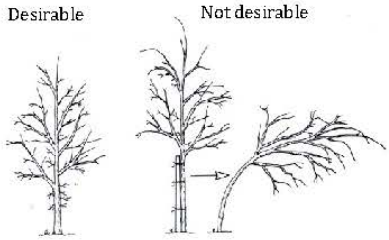
Figure 5.



Desirable Not desirable

The tree shall be well rooted in the soil media. Roots shall be uniformly distributed throughout the container, meaning that roots should not be concentrated at the bottom of the root ball. Some roots should contact the container wall in the top half of the root ball (Figure 7, left). When the container is removed, the root ball shall remain intact. When the trunk is lifted, both the trunk and root system shall move as one. The imprint of the liner or smaller container shall not be visible (Figure 7, left).

Figure 6.



Desirable Not desirable

The root ball shall be moist throughout at the time of inspection and delivery. The roots shall show no signs of excess soil moisture as indicated by poor root growth, root discoloration, distortion, death, or foul odor. The crown shall show no signs of moisture stress as indicated by wilted, shriveled, or dead leaves or branch dieback.

Figure 7.

Desirable Not desirable

Tree Planting

Selecting quality trees: Planting quality trees begins by selecting the right tree for the right location and choosing vigorous, structurally sound trees from the nursery.

Digging the hole: A firm, flat-bottomed hole will prevent trees from sinking. Dig the hole only deep enough to position the root collar even with the landscape soil surface (Figure 8). Use a rototiller or shovel to loosen soil in an area three times the size of the root ball. This loose soil promotes rapid root growth and quick establishment.

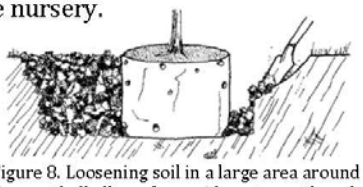


Figure 8. Loosening soil in a large area around the root ball allows for rapid root growth and quick establishment.

Installing the tree: Remove soil and roots from the top of the root ball to expose the root collar; cut away any roots that grow over the collar (Figure 9). Also cut any roots that circle or mat along the sides and bottom of the root ball (Figure 10). The root collar shall be even with the landscape soil after planting (see Figure 9). Backfill with soil removed from the hole. Minimize air pockets by packing gently and applying water. Build a berm 4 inches tall around the rootball to help force water through the root ball. Enlarge the berm as the tree establishes.

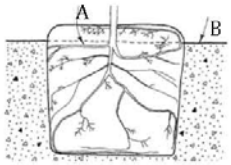


Figure 9. Remove soil and roots growing over the root collar (A) and place collar level with soil surface (B).

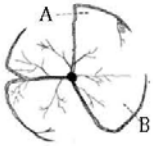


Figure 10. Cut roots at (A) to form new roots that grow away from the trunk. Do not cut roots at (B), since the root defects will regrow.

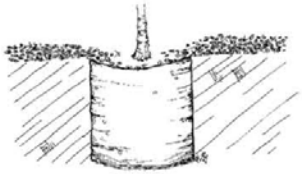


Figure 11. Mulch shall taper to a slightly thinner layer on top of the rootball.

Mulching: A layer of organic mulch, such as leaf litter, shredded bark, or wood chips, helps protect tree roots from temperature extremes and conserves soil moisture. Mulch also helps prevent grass from competing with the tree for water and nutrients. The mulched area makes it easier to operate mowers and weed eaters without hitting the trunk and compacting soil. Apply mulch to a depth of 3 to 4 inches (slightly thinner on top of the root ball) (Figure 11).

Staking: The method of staking is dependent on a tree's ability to stand on its own and the location of the planting site. Staking is used to hold trees erect, allow the root ball to anchor, and protect the trunk from damage by equipment. Stakes should be removed when the tree can stand on its own and the root ball is anchored. Stakes should be positioned away from the tree and secured to the trunk at the point where the tree stands straight. Do not use wire or any strap that will girdle the tree or damage the bark. If a tree cannot stand straight on its own after staking, a splint stake tied directly to the trunk made of bamboo, spring steel, or a fiberglass rod may be used to straighten the upper trunk and/or leader. Avoid using square wood secondary stakes.

Figure 12. Double staked

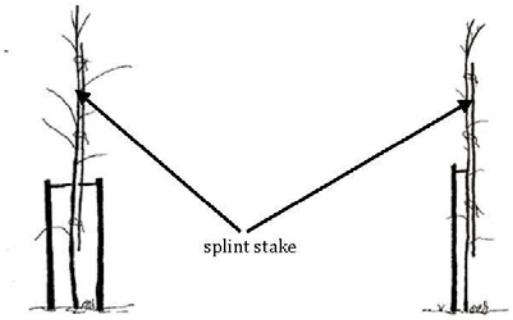


Figure 13. Double staked with splint stake.

Figure 14. Single staked with splint stake.

Tree Training at Planting and in the Early Years

Trees that grow to be large are more structurally sound and cost-effective to maintain when trained with a central dominant leader that extends 30 feet or more into the crown (Figure 15, left). Vigorous, upright branches and stems that compete with the central leader can become weakly attached (Figure 15, right).

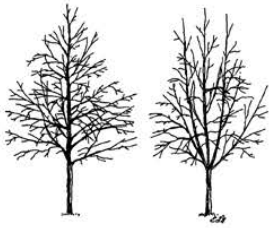


Figure 15. Good tree structure (left); poor structure (right).

Trees with branches spaced along the central leader, or trunk (Figure 15, left) are stronger than trees with branches clustered together (Figure 15, right). Prune trees at planting to one central leader by removing or shortening (shown) competing stems (Figure 16). All branches and stems shall be considerably shorter than the central leader after pruning is completed (Figure 16, right).

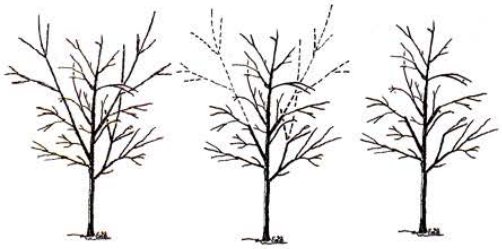


Figure 16. Shorten competing stems to improve structure.

Remove or shorten branches that are larger than half the trunk diameter at planting and every few years thereafter. Shorten them by cutting back to a live lateral branch (Figure 17, right). This lateral branch shall be pointed away from the trunk and it should not be growing upright. The central leader shall be more visible in the crown center after pruning. Only large-diameter branches need to be pruned because they compete with the leader and could be weakly attached (Figure 17, L). Small branches (Figure 17, S) do not need pruning because they will not compete with the leader.

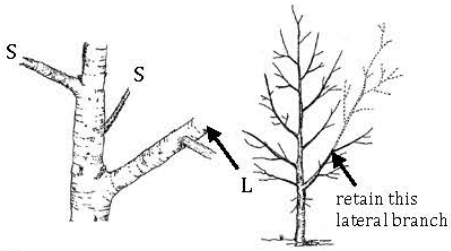


Figure 17. Only large branches need pruning (L). Small branches (S) do not need to be pruned.

Shorten or remove the largest low branches when the tree is young to keep them small (Figure 18). This ensures that only a small wound is created when they are eventually removed from the trunk.

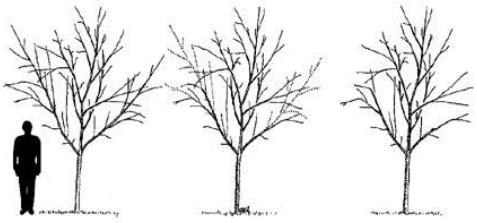


Figure 18. Shortening larger low branches concentrates growth in the leader and improves tree structure.

The best way to shorten large or long stems and branches is to cut them back to a live lateral branch (Figure 19). This slows growth on the pruned parts and encourages growth in the dominant leader creating sound structure.

Remove larger branches by making three cuts. This prevents the bark from peeling or splitting off the trunk below the cut. Make the final cut back to the branch collar (enlarged area around union of branch where it joins the trunk).

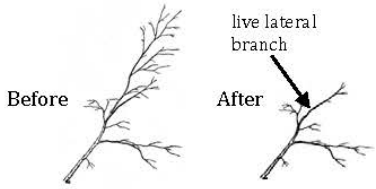


Figure 19. Reduce a stem back to a live lateral branch to slow its growth.

Structural Pruning Checklist

1. Develop and maintain a central leader.
2. Identify the lowest branch in what will become the permanent crown.
3. Prevent branches below the permanent crown from growing larger than half the trunk diameter.
4. Space main branches along the central leader.
5. Reduce vigorous upright stems back to lateral branches or remove entirely (Figure 20).

Reduction cuts can be used on trees at planting to subordinate branches that are codominant (Figure 20). Some upright stems and branches can be removed entirely back to the trunk. Heading cuts may have to be used occasionally.

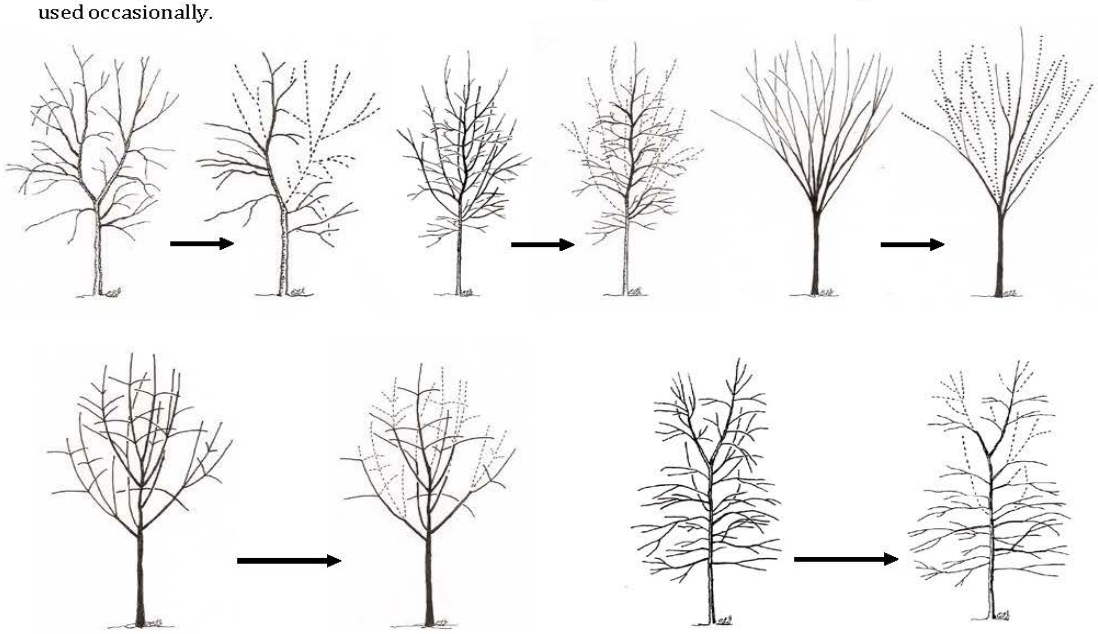


Figure 20. Before and after pruning at planting for structure

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IMPORTANT NOTE: Tree species selected must be classified as very low, low, or moderate water use species in the WUCOLS IV website at http://ucanr.edu/sites/WUCOLS/ or must be justified for the planting site(s) selected.

Urban Forestry

Water-Wise Young Landscape Tree Care

Help your trees live through the drought.

Benefits of Trees

- Trees provide many benefits and cannot be easily replaced.
- Trees provide tremendous benefits in terms of better air quality, reduced storm water runoff, energy savings, and better quality of life.

Trees and Drought

- If planting trees during a drought, only do so during the cooler months, not during summer months.
- Do not over-prune trees during drought. Doing so can create additional stress on the trees.
- Water trees with greywater if possible. Make certain the water is free of non-biodegradable detergents and other harmful chemicals.

Guidelines for Irrigating Young Trees During a Drought

- Only water on days permitted by your local water agency, and then only in the early morning or late evening.
- Young trees (from planting until 3 years old) require more frequent watering than established trees.
- Provide a watering basin roughly 4 to 5 feet in diameter by creating a berm of soil around the planting hole.
- Place a layer of mulch 4 to 6 inches deep extending to the drip line of the tree to help retain soil moisture and conserve water.
- Keep mulch at least 2 to 3 inches away from the tree trunk. The mulch ring should appear donut-shaped. Rocks, gravel and rubber mulch are discouraged around trees.
- The amount and frequency of watering will vary by tree species and weather.
- When watering trees use 5 gallons of water 2 to 4 times per week, depending on the soil (sandy soil needs more frequent watering, clay soil less frequent).

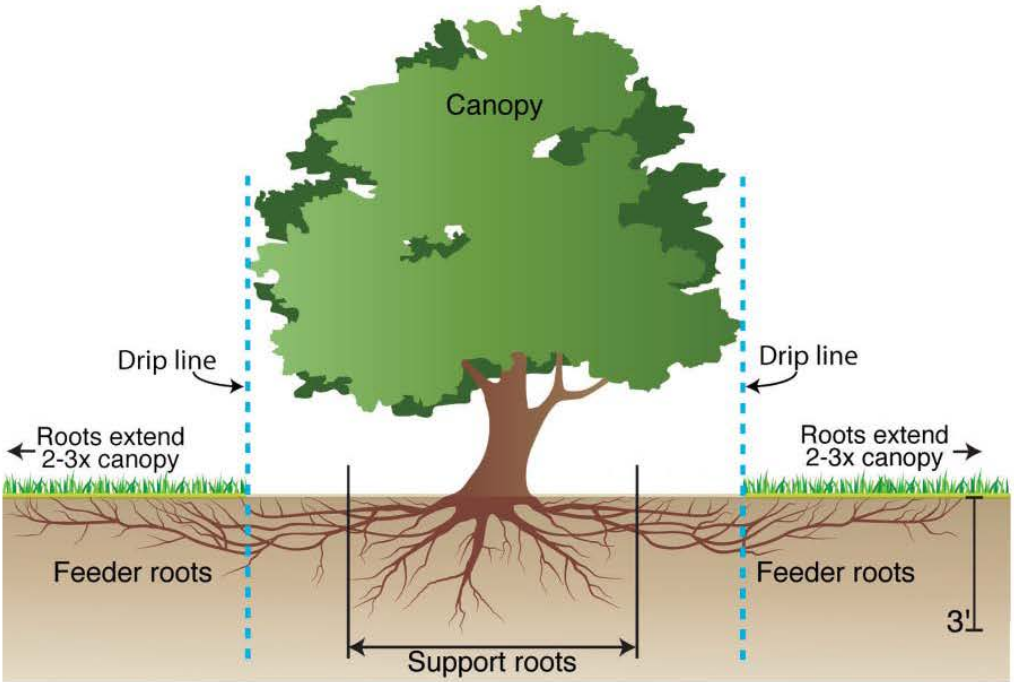
Save Our Water and Our Trees!
saveourwater.com/trees

Guidelines continued...

- If you have an automatic irrigation system, remember to check for leaks and/or breaks at least once a week. If possible, use separate irrigation zones/valves for trees than zones/valves for lawns and shrubs.

Hand-Watering Options

- Fill a bucket with water and apply slowly.
- Place a soaker hose in a spiral pattern outward from around the base of the tree. Do not fill your tree basin to the point of overflowing.
- Use a slow stream of water from a regular hose for an extended period. Do not fill your tree basin to the point of overflowing. Use a wind-up faucet timer to control the run time.
- Check the soil by plunging a long screwdriver or similar tool into the soil. The soil should be moist to at least 18 inches deep, but not soggy. The majority of absorbing roots are within the first 3 feet of soil.



For more information, please visit: www.SaveOurWater.com/trees

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Urban Forestry

APPENDIX J

Minimum Data Collection Attributes for CAL FIRE Grant-Funded Urban Tree Inventories

IMPORTANT NOTE:

Failure to gather data to the below attributes will result in the denial of reimbursement of grant funds unless specific written authorization to deviate from the attributes has been provided by a CAL FIRE Regional Urban Forester or the Program Manager prior to invoice submittal.

- **Mapping coordinate.** X and Y coordinate locations (latitude and longitude). Each tree and planting site will be located using GIS and/or GPS equipment.

- **Block side.** The location of each street tree and planting site so that they can easily be identified for future work. Street trees and planting sites will be located using a street name, side of lot, tree number, and block side information (on street, from street, and to street).

- **Location.** The tree's physical location in relation to public Right of Way and/or public space will be recorded.

- **Species.** Trees will be identified by *genus* and *species,* and by common name.

- **Diameter.** Tree trunk diameter will be recorded. This should be to the nearest 1-inch.

- **Stems.** The number of stems a tree has will be recorded.

- **Condition.** In general, the condition of each tree will be recorded in one of the following categories adapted from the rating system established by the International Society of Arboriculture:

Excellent	100%
Very Good	90%
Good	80%
Fair	60%
Poor	40%
Critical	20%
Dead	0%

- **Maintenance need.** The following maintenance categories (*or similar approved by CAL FIRE prior to collection*) will be collected:

  1. Priority 1 Removal. Trees designated for removal have defects that cannot be cost-effectively or practically treated. The majority of the trees in this category will have a large percentage of dead crown, and pose an elevated level of risk for failure. Any hazards that could be seen as potential dangers to persons or property and seen as potential liabilities

would be in this category. Large dead and dying trees that are high liability risks are included in this category. These trees are the first ones that should be removed.

2. Priority 2 Removal. Trees that should be removed but do not pose a liability as great as the first priority will be identified here. This category would need attention as soon as "Priority One" trees are removed.
3. Priority 3 Removal. Trees that should be removed, but that pose minimal liability to persons or property, will be identified in this category.
4. Priority 1 Prune. Trees that require priority one pruning are recommended for trimming to remove hazardous deadwood, hangers, or broken branches. These trees have broken or hanging limbs, hazardous deadwood, and dead, dying, or diseased limbs or leaders greater than four inches in diameter.
5. Priority 2 Prune. These trees have dead, dying, diseased, or weakened branches between two and four inches in diameter and are potential safety hazards.
6. Large Tree Routine Prune. These trees require routine horticultural pruning to correct structural problems or growth patterns, which would eventually obstruct traffic or interfere with utility wires or buildings. Trees in this category are large enough to require bucket truck access or manual climbing.
7. Small Tree Routine Prune. These trees require routine horticultural pruning to correct structural problems or growth patterns, which would eventually obstruct traffic or interfere with utility wires or buildings. These trees are small growing, mature trees that can be evaluated and pruned from the ground.
8. Training Prune. Young, large-growing trees that are still small must be pruned to correct or eliminate weak, interfering, or objectionable branches in order to minimize future maintenance requirements. These trees, up to 20 feet in height, can be worked with a pole-pruner by a person standing on the ground.
9. Stump Removal. This category indicates a stump that should be removed.
10. Plant Tree. During the inventory, vacant planting sites will be identified by street and address. The size of the site is designated as small, medium, or large (indicating the ultimate size that the tree will attain), depending on the growing space available and the presence of overhead wires.

- **Clearance Required.** Trees, which are causing or may cause visibility or clearance difficulties for pedestrians or vehicles, will be identified, as well as those trees blocking clear visibility of signs or traffic signals.

- **Hardscape Damage.** Damage to sidewalks and curbs by tree roots are noted. Notes on potential fixes for the problem are encouraged (redesign options etc.…)

- **Overhead Utilities.** The inventory indicates whether overhead conductors or other utilities are present at the tree site that could result in conflicts with the tree.

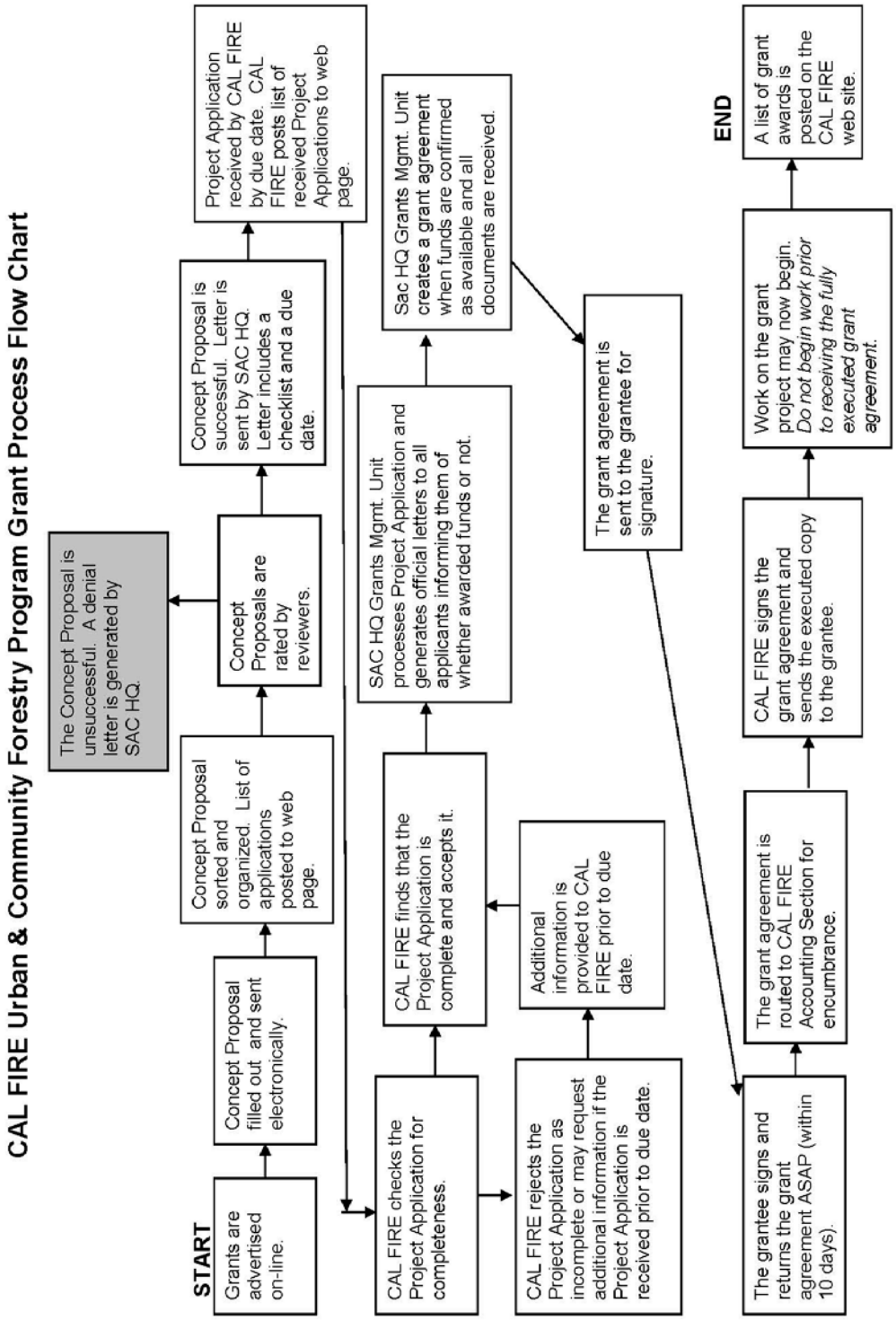
- **Grow space.** The area within the growing space is categorized as:

  T Tree Lawn
  W Well/Pit
  M Median
  P Raised Planter
  O Open/Unrestricted
  I Island
  U Unmaintained Area

- **Space Size.** The narrowest dimension of the Grow Space, in feet. (I.e., 3'x3' cut-out, 4' parkway strip, open parkland, etc……)

- **Notes.** Additional information regarding disease, insect, mechanical damage, etc. can be included in this field.

APPENDIX K


CAL FIRE Urban & Community Forestry Program Grant Process Flow Chart
START
Grants are advertised on-line.
Concept Proposal filled out and sent electronically.
Concept Proposal sorted and organized. List of applications posted to web page.
Concept Proposals are rated by reviewers.
The Concept Proposal is unsuccessful. A denial letter is generated by SAC HQ.
Concept Proposal is successful. Letter is sent by SAC HQ. Letter includes a checklist and a due date.
Project Application received by CAL FIRE by due date. CAL FIRE posts list of received Project Applications to web page.
CAL FIRE checks the Project Application for completeness.
CAL FIRE rejects the Project Application as incomplete or may request additional information if the Project Application is received prior to due date.
Additional information is provided to CAL FIRE prior to due date.
CAL FIRE finds that the Project Application is complete and accepts it.
SAC HQ Grants Mgmt. Unit processes Project Application and generates official letters to all applicants informing them of whether awarded funds or not.
Sac HQ Grants Mgmt. Unit creates a grant agreement when funds are confirmed as available and all documents are received.
The grant agreement is sent to the grantee for signature.
The grantee signs and returns the grant agreement ASAP (within 10 days).
The grant agreement is routed to CAL FIRE Accounting Section for encumbrance.
CAL FIRE signs the grant agreement and sends the executed copy to the grantee.
Work on the grant project may now begin. Do not begin work prior to receiving the fully executed grant agreement.
END
A list of grant awards is posted on the CAL FIRE web site.

Appendix L

Funding Guidelines for Agencies that Administer California Climate Investments
Volume 2: Investments to Benefit Disadvantaged Communities

Appendix 2.A

Table 2.A-7 Urban Forestry and Urban Greening
Projects will achieve GHG reductions through net increases in carbon sequestration as a result of planting, cultivating, and maintaining trees and related vegetation in urban areas. Projects may also reduce energy usage by improving the green canopy and providing shade. Potential administering agencies: CAL FIRE, SGC
CRITERIA TO EVALUATE PROJECTS *Agencies can also use criteria in other applicable tables.* When selecting projects for a given investment, give priority to those that maximize benefits to disadvantaged communities (e.g., use scoring criteria that favor projects which provide multiple benefits or the most significant benefits).
Step 1 – Located Within. *Evaluate the project to see if it: meets at least one of the following criteria for being located in a disadvantaged community census tract*; provides direct, meaningful, and assured benefits to a disadvantaged community; and meaningfully addresses an important community need**.* Project must meet the following criteria focused on environmental improvements for disadvantaged community residents: A. The majority of the project is in a publically accessible area within a disadvantaged community and the project terms provide for maintenance of the trees and related vegetation.
Step 2 – Provides Benefits To. *If the project does not meet the above criteria for "located within," evaluate the project to see if it: meets at least one of the following criteria for providing direct, meaningful, and assured benefits to a disadvantaged community; and meaningfully addresses an important community need**.* Project must meet at least one of the following criteria focused on economic opportunities, or providing green space or open space, for disadvantaged community residents: A. The majority of trees planted by the project are accessible by walking within ½ mile of a disadvantaged community and the project terms provide for maintenance of the trees and related vegetation; or B. Project significantly reduces flood risk to one or more adjacent disadvantaged communities; or C. Project includes recruitment, agreements, policies or other approaches that are consistent with federal and state law and result in at least 25% of project work hours performed by residents of a disadvantaged community; or D. Project includes recruitment, agreements, policies or other approaches that are consistent with federal and state law and result in at least 10% of project work hours performed by residents of a disadvantaged community participating in job training programs which lead to industry-recognized credentials or certifications.

** For maps of disadvantaged community census tracts, refer to: http://www.calepa.ca.gov/EnvJustice/GHGInvest/.*
*** To determine community needs, agencies or applicants can use a variety of approaches such as: looking at the factors in CalEnviroScreen that caused an area to be defined as a disadvantaged community; hosting community meetings to get local input; referring to the list of common needs in Table 2-2; or receiving documentation of community support (e.g., letters or emails).*