

**State of California
Department of Forestry and Fire Protection
(CAL FIRE)
Urban Forestry and Urban Greening Grant Programs**

**PROCEDURAL GUIDE
2011/2012**



Grant programs made Pursuant to the California Urban Forestry Act of 1978 (Public Resources Code 4799.06 – 4799.12), a copy of which can be found at: <http://www.leginfo.ca.gov/cgi-bin/waisgate?WAISdocID=3857154065+0+0+0&WAISection=retrieve>.

Grant Funds made available from:

Proposition 40, *California Clean Water, Clean Air, Safe Neighborhood, Parks, and Coastal Protection Act of 2002*

Proposition 84, *Safe Drinking Water, Water Quality and Supply, Flood Control, River and Coastal Protection Bond Act of 2006*

TABLE OF CONTENTS

	Page
INTRODUCTION	1
ELIGIBILITY CRITERIA	1
GENERAL GUIDELINES	1
THE REVIEW PROCESS	2
ELIGIBLE PROJECTS	2
DISADVANTAGED/SEVERELY DISADVANTAGED COMMUNITY STATUS.....	2
URBAN FORESTRY GRANT PROGRAM OFFERINGS.....	4
PART I	
CONCEPT PROPOSAL APPLICATION AND SUBMISSION PROCEDURES	5
PART II	
FULL PROPOSAL APPLICATION AND SUBMISSION PROCEDURES	6
IMPORTANT PROVISIONS FOR ALL PROPOSAL APPLICATIONS	7
Complete Application Form	7
Complete and Accurate Budgets.....	7
Supporting Material and Required Forms.....	7
PART III	
PROJECT ADMINISTRATION	9
General Grant Process and Timelines.....	9
Grant Agreement Amendments	10
Scope of Work.....	10
Project Reporting	11
Project Inspections	11
Time Extensions	11
Payment of Grant Funds	11
Accounting Requirements	12
State Audit	12
APPENDIX A - CONCEPT PROPOSAL APPLICATION	13
APPENDIX B - ELIGIBLE COSTS AND SAMPLE BUDGETS	14
APPENDIX C - REQUIRED FORMS.....	18
APPENDIX D - SAMPLE PAYMENT REQUESTS.....	29
APPENDIX E - URBAN FORESTRY PROGRAM CONTACT INFORMATION	31
APPENDIX F - URBAN & COMMUNITY FORESTRY GRANT PROCESS FLOW CHART.....	33

URBAN FORESTRY & URBAN GREENING GRANT APPLICATIONS

Note: If there is any conflict between information contained within this document and a CAL FIRE Urban & Community Forestry Grant Program Request For Proposals (RFP), the information in the RFP shall take precedence.

INTRODUCTION

The Department of Forestry and Fire Protection (*CAL FIRE*) has prepared this guide to assist local governments and non-profit entities in applying for and administering State grants from the *CAL FIRE* Urban & Community Forestry Program. *CAL FIRE* offers these grants to eligible applicants on an annual basis as funding permits. Funding for the grant programs varies from year to year and is based on the availability of Proposition-based bonds, Federal Grants from the USDA Forest Service, State General Funds, and approval of Budgets for each fiscal year. The grants are designed to create or implement projects that benefit urban forestry and urban greening efforts and will vary each year, so it is imperative that the applicant reads the description of each grant RFP to determine whether the proposed project meets the stated conditions.

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. Eligibility information will be available in each RFP. Eligible applicants for most grants would include cities, counties, qualifying districts, or nonprofit organizations as classified under Section 501(c)(3) of the Internal Revenue Code (PRC 5096.605). **Each applicant will be allowed to submit a maximum of two *CAL FIRE* Urban & Community Forestry Grant Proposals in one fiscal year, and only one may be submitted for a specific grant RFP category.**

GENERAL GUIDELINES

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

Applicants are encouraged to work with local *CAL FIRE* Urban & Community Forestry Staff in the planning and development of proposals. Urban & Community Forestry Program staff is available for advice and technical expertise in planning of projects. See APPENDIX E for a list of *CAL FIRE* contacts.

The proposal process has three parts: (Part I) Concept Proposal Application and Submission, (Part II) Full Proposal Application and Submission, and (Part III) Project Administration.

Funding of the proposals submitted 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, so please plan**

project timelines accordingly. Grant funds may be encumbered for up to three years from July 1. All grant funds must be expended and grants must end by March 30 of the third year. **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.**

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.

THE REVIEW PROCESS

All proposals are to be submitted by the due date to *CAL FIRE* (per the instructions found in the relevant Request For Proposals). Each proposal goes through an internal review process 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 given grant RFP, and these guidelines. Such review may include an inspection of the project area, if applicable. 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* Urban & Community Forestry 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 this procedural guide, each grant program RFP, and all projects must produce a finished and usable product, report or action.

ELIGIBLE PROJECTS

The project area must be located in an urban area or immediately adjacent to an urban area. Urban areas, for the purpose 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>.

Each RFP will specify the type or types of projects that will be considered for funding. **Routine, on-going management activities are not eligible, nor are projects that are designed to supplant rather than supplement existing local agency activities.**

DISADVANTAGED AND SEVERELY DISADVANTAGED COMMUNITY STATUS

The California Urban Forestry Act defines a “*Disadvantaged community*” as: “a community with a median household income less than 80 percent of the statewide average”. It defines a “*Severely disadvantaged community*” as a community with a median household income less than 60 percent of the statewide average. For purposes of these grant programs, the applicant must prove that the majority of the proposed project area(s) meet one of these definitions to receive additional consideration for your project and to be eligible for the reduced cost share rate. Applicants that qualify for either of these status’ may request to be eligible for a reduced

cost share rate of 10%, meaning that CAL FIRE would pay for 90% of the project costs. The California Department of Parks and Recreation has an online tool at <http://www.parkinfo.org/factfinder2011/grantee> that can be used to show the average income of areas you select. For the concept proposal stage, we will not require proof of disadvantaged or severely disadvantaged community status if an applicant claims this status, but proof of this status must be attached to any final proposal that is invited to be submitted. **Failure to attach this proof upon final proposal submittal shall disqualify a final proposal since these status determinations are a criteria used in concept proposal scoring.**

Table 1: Urban & Community Forestry Program Grant Offerings

Project Type	Description	Grant Amount	Match State/Others
“Leafing Out”	Intended to allow for accomplishment of Urban Forestry Projects under the Urban Forestry Act of 1978 in any of the other Urban Forestry Program Grant categories below, but at more modest funding levels. This is an entry level grant program designed to help entities interested in Urban Forestry/Urban Greening take their initial step or early developmental step in Urban Forestry efforts. Eligible entities include local governments, special districts, non-profit organizations, and schools.	\$2,500 – \$30,000	75/25
“Green Trees For The Golden State”	Urban tree planting projects and up to two years of initial maintenance. Preference will be given to the planting of trees to optimize the multiple benefits of Urban Forestry with special attention given to air quality and energy conservation benefits.	\$30,000 - \$100,000	75/25
Education	Creating and developing an educational or training program that features the benefits and advancement of sustainable urban forestry or urban greening efforts.	\$30,000 - \$150,000	75/25
Inventory	For local governments. Establishing or adding to an existing tree inventory. Applicant must have an existing urban forest/street tree protection system (city ordinance, etc.). Applicant must have an existing urban forester, arborist, or other position responsible for urban forest resources.	\$30,000 - \$200,000	75/25
Management Plans	For local governments. Establishing a new management plan or updating an existing management plan. Applicant must have an existing urban forest/street tree protection system (city ordinance, general plan, etc.). Applicant must have an existing and current (updated within last 10 years) tree inventory. Applicant must have an existing urban forester, arborist, or other professional staff position responsible for urban forest resources. Grant recipient must implement and utilize the “Management Plan”.	\$30,000 - \$100,000	75/25
“Leading Edge” Projects	For projects falling within the scope of the Urban Forestry Act of 1978 that are not able to fit in one of the other Urban Forestry Grant Programs above. These projects should be unique and forward-thinking.	\$30,000 - \$500,000	75/25

Note 1: Submissions of under \$30,000 may be considered for programs other than “Leafing Out” on a case by case basis with the approval of the Urban Forestry Program Manager.

Note 2: Disadvantaged or severely disadvantaged communities as described on P. 2-3 can qualify for a 90/10 cost share rate with proof of status.

PART I

CONCEPT PROPOSAL APPLICATION AND SUBMISSION PROCEDURES

Concept Proposal Due Date:

Due dates will vary from year to year and from grant program to grant program. Refer to the grant program Request For Proposals (RFPs) for due dates.

Application Package:

To access the grant program RFPs and concept proposal application package please go to one of the following web sites:

<http://www.ufe.org/grantinfo.lasso>

or

http://www.fire.ca.gov/resource_mgt/resource_mgt_urbanforestry.php

Where to Send:

Concept proposal applications will be submitted electronically through an automated process. This is the preferred method of submission. If there is a compelling reason that an electronic submission can not be made, please write or call at least two weeks in advance to:

California Department of Forestry and Fire Protection (*CAL FIRE*)
Urban & Community Forestry Program
P.O. Box 944246
Sacramento, CA 94244-2460
(916) 651-6423

Notification:

Applicants will be notified as soon as is reasonably possible whether or not their Concept Proposal has been approved, deferred or not approved. Those that are approved will be asked to develop a full proposal application package (See Part II).

IMPORTANT: Please be sure to download the latest version of the free Adobe Acrobat Reader (<http://get.adobe.com/reader/>) before filling out your concept proposal application.

Approval of “Concept Proposals” is not a guarantee that your proposed project will be funded.

PART II

FULL PROPOSAL APPLICATION AND SUBMISSION PROCEDURES

Full Proposal 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 items of the full proposal application.

Application Package:

Applicants that are invited to submit a full proposal can get the full proposal format from the appropriate *CAL FIRE* Urban & Community Forestry Program Staff in APPENDIX E.

Where to Send:

The applicant must mail **two hard copies** of the full proposal and **one electronic copy** on CD or USB drive (*note: USB drives will not be returned*). All full proposals, 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.

Full proposal applications shall be sent to the Regional Urban Forester for your area. See APPENDIX E for a listing of the Regional Urban Forester for your area.

Notification:

Applicants will be notified of the final selections as soon as the state's fiscal circumstances allow and authority to award funds is given to *CAL FIRE* following full proposal submission and acceptance. Please note that a period of heavy wildfire activity will likely delay the time of notification to applicants.

Invitation to submit or acceptance of “Full Proposals” is not a guarantee that your proposed project will be funded.

Important Provisions for All Full Proposal Applications

A complete full proposal package will include the following:

Complete Application Form (*Provided upon successful concept proposal notification*):

Project proposals 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.

Complete and Accurate Budget (Appendix B):

Project full proposals must include a detailed line item budget. 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 must be listed. Full proposals shall provide information specifically identifying any funding match requirements from any other entity.

CAL FIRE recognizes that project proposals 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 in the project description. 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 shall 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 may be met with in-kind activities or materials related to the project, as well as with any non-state funding source related to the project.

Supporting Material and Required Forms (APPENDIX C):

After applicants are notified of funding awards, a Grant Agreement will be prepared and executed. The applicable forms described in this section are for information purposes only.

Applicants shall be required to complete, sign, and return the forms listed below in order to enter into a grant agreement. It is required that these forms be provided with the full application package to expedite processing of grant agreements. Failure to submit all forms shall result in funds not being awarded.

- ☐ **Authorizing Resolution from governing body** - All applicants that have a governing body must submit a resolution of project approval and matching funds. This is a requirement of the Grant Agreement. It is suggested that the governing body be made aware of the Concept Proposal and be prepared to submit the resolution with the Full Proposal. The person or position designated in the resolution should be the same person that signs the Full Proposal Application. No changes may be made to the resolution format without prior written permission of CAL FIRE staff.
- ☐ **Payee Data Record form (STD. 204)** 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 can be found at <http://www.documents.dgs.ca.gov/osp/pdf/std204.pdf>. Please note that the form directions state that cities are not required to submit the STD. 204, however, grant agreements will not be prepared and funds will not be encumbered without submission of a completed STD. 204 for each applicant. 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)** 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 can be found at <http://www.documents.dgs.ca.gov/osp/pdf/std019.pdf>.
- ☐ **A Drug-Free Workplace Certification (STD. 21)** will be required for all agreements, except Federal and State agencies and public entities that are excluded from this requirement. This form can be found at <http://www.documents.dgs.ca.gov/osp/pdf/std021.pdf>.
- ☐ **Non-profit applicants** will be required to submit a 501(c)(3) Certification. A copy of the Articles of Incorporation, and a copy of the Bylaws will be required.
- ☐ **CAL FIRE Environmental Checklist**
- ☐ **A diagram or picture with a description of required signage.**
- ☐ **Map or Maps (where applicable)**
- ☐ **Representative project location photographs (where applicable)**
- ☐ **If claiming disadvantaged or severely disadvantaged community status, attach proof of the status being claimed.** <http://www.parkinfo.org/factfinder2011/grantee> is a resource to assist in proving this status.

PART III

Project Administration

General Grant Process and Timelines

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

<http://www.ufe.org/grantinfo.lasso> or
http://www.fire.ca.gov/resource_mgt/resource_mgt_urbanforestry.php

I. Concept Proposal Application Package

Year-round: Applicants may work with local *CAL FIRE* Urban & Community Forestry Staff to develop concept proposals.

Early to Mid-Summer:

Requests For Proposals (RFP's) for the next fiscal year 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.

Late Summer- Early Fall:

Applicants will submit their concept proposals to *CAL FIRE* by the date specified in the RFP. RFP's 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 regional staff for review. If the concept proposal application is complete, then regional staff and *CAL FIRE* staff will score the proposal.

Early to Mid-Fall:

Review and scoring will typically be completed. *CAL FIRE* will determine which concept proposals will be selected for development into full proposals.

Mid-Fall to Early Winter:

CAL FIRE will notify applicants whether their proposal has been approved, deferred until the next funding cycle, or not approved. Those that are approved will be asked to complete and submit a full application package.

II. Full Proposal Application Package

Mid to Late Winter:

Applicants will submit their full applications by mail to *CAL FIRE*. The due date will be specified in a letter that invites a full proposal.

Late Winter:

Review of full proposals will be completed as soon as reasonably possible.

Early Spring:

Applicants are notified whether or not their full application has been approved or not approved. *CAL FIRE* staff will begin grant agreement or contract preparation for those that are approved. Note: delays can occur if state budget is not in place or authorization for *CAL FIRE* to award grants is not received by this time.

ASAP thereafter:

Grant Agreement sent to applicant, applicant returns signed agreement to *CAL FIRE*.

Normally within two weeks after signed agreement returned to *CAL FIRE*: Estimated start date for projects.

Please note that summer and fall are typical times of high wildfire incidents and CAL FIRE staff may be responding to these incidents, which can delay the review period.

III. Grant Administration

Upon grant agreement approval *CAL FIRE* will notify the Grantee that work may commence on the project. *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 complete the project and submit all deliverables and payment requests by April 30th of the third year of the grant period that begins on July 1 of the fiscal year being applied for (e.g., projects receiving 2011/2012 funding must be completed by March 30, 2014 and final invoices received by April 30, 2014). **Invoices received after this date can not be guaranteed payment.** The *CAL FIRE* Urban & Community Forestry Program staff will arrange for periodic and final project inspections and authorize payments. *CAL FIRE* may perform an audit of the completed project.

Grant Agreement Amendments

Grant Agreement amendments may be allowed, at the discretion of *CAL FIRE*, for minor changes or to the project budget. Time extensions beyond the 3 year window are currently not available for any reason. The total amount awarded to the grantee can never be increased during the project for any reason.

Scope of Work

A Grantee wishing to change the scope of an approved project shall submit the proposed change via official letter on organizational letterhead to the *CAL FIRE* Urban & Community Forestry

Program field staff for approval. If the proposed change is submitted after a formal agreement has been established between *CAL FIRE* and the Grantee, a formal amendment may be required. All correspondence relating to grant projects must have the grant agreement number featured prominently, and be dated.

Project Signage and Recognition

All grant projects shall have one of the following:

- 1) At least one sign at a highly visible project location, or have signage on all project publications or other media. All signage shall refer to the funding source that is funding the grant and shall include the names and/or logos of all of the project cooperating entities (including CAL FIRE Urban & Community Forestry Program).
- 2) Recognition of the funding source 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.

Project Reporting

Grantees shall report on all projects quarterly. At a minimum, the due dates shall be: July 15, October 15, January 15, and April 15. If a grantee chooses to bill more often than quarterly, a project report must be included with the billing package.

Reporting shall include a description of work performed, any challenges faced, any assistance required, any photographs of the project, and any deliverables developed if applicable.

Project Inspections

The Regional Urban Forester assigned to your 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, inspections will occur once per fiscal year of the project.

If developing any media materials (print, digital, video or audio), such materials must be reviewed by *CAL FIRE* Urban & Community Forestry staff prior to publication. Allow 30-60 days for review of such materials.

Time Extensions

Due to current fiscal restrictions, grant agreements cannot be extended for any reason.

Payment of Grant Funds

Payments will be made by *CAL FIRE* to the Grantee on a reimbursement basis. The Grantee can choose to receive progress payments or to be paid one time upon completion of the project. If progress payments are desired, each Request for Payment must be accompanied by a written description of the Grantee's performance under the agreement since the time the previous such

report was prepared. Grantee may submit progress payment requests to the CAL FIRE Urban & Community Forestry program no more frequently than monthly. If progress payments are requested, CAL FIRE will reimburse all expenses upon receipt of an acceptable Request for Progress Payment. Vendor receipts and a progress report or final report shall accompany any Request for Progress Payment or Lump Sum Payment Request. CAL FIRE will reimburse the Grantee for all eligible costs under the terms of the agreement.

APPENDIX D contains Payment Request Information. A Grantee should allow a minimum of six weeks after a **complete billing package** is received for arrival of a reimbursement check after submitting a request for payment. Incomplete billing packages will be returned or have additional information requested, and may take longer to process.

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 a good 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 three years after final payment is made by the state. AVOID AUDIT EXCEPTIONS - KEEP ACCURATE RECORDS.

State Audit

After completion of the project, the State may audit the project records. 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, all project transactions have been completed, and the Grantee has made the necessary payments.

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 audited at any time up to three years after project completion.

To expedite the audit, the recipient shall have the project records, including the source documents and poise of 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, etc. requested by the State auditor.

All project records must be retained by the Grantee for a period of not less than three years after the State audit or final disposition of any disputed audit findings.

APPENDIX A

Concept Proposal Application

To get the PDF form that you will need to submit for the program(s) you wish to apply for, please visit one of the following two websites:

<http://www.ufe.org/grantinfo.lasso>

OR

http://www.fire.ca.gov/resource_mgt/resource_mgt_urbanforestry.php

APPENDIX B

Eligible Costs and Sample Budget

Note: Use the below items as references while filling in the task budget for the concept proposal. The full proposal budget format will be provided to those with successful concept proposals.

ELIGIBLE COSTS

Only project-related costs associated with an eligible project activity incurred during the project performance period specified in the grant agreement may be funded. All such costs must be supported by appropriate invoices, purchase orders, canceled warrants, and other records. An example cost estimate is provided in Appendix B.

1. Personal services - Services of the Grantee's employees directly engaged in project execution are eligible costs. These costs must be computed according to the Grantee's prevailing wage or salary scales, and may include fringe benefit costs such as vacations, sick leave, social security contributions, etc. that are customarily charged to the recipient's various projects. Costs charged to the project must be computed on actual time spent on a project and shall be supported by time and attendance records describing the work performed on the project. Volunteer rates for matching funds purposes can be found at the following website:
http://www.independentsector.org/programs/research/volunteer_time.html.
2. Consultant services - The costs of consultant services necessary for the project are eligible.
3. Equipment - Equipment owned by the Grantee may be charged to the project for each use. Equipment use charges must be made in accordance with the Grantee's normal accounting practices. The equipment rental rates published by the State Department of Transportation may be used as a guide. These rates may be found at:
<http://www.dot.ca.gov/hq/construc/equipmnt.html>. If the Grantee's equipment is used, a report or source document must describe the work performed, indicate the hours used, relate the use to the project, and be signed by the operator and supervisor.

Equipment may be leased, rented, or purchased, whichever is most economical. Written justification for this decision must be provided. Any equipment and any nonexpendable materials, supplies, or property of any kind purchased from State funds under the terms of the grant agreements, and not fully consumed in the performance of the agreements, may become the property of the State or disposed of pursuant to instruction from the State at the termination of the agreement. Equipment is generally defined as all moveable articles of nonexpendable property that have a value of \$500 or more and a useful life of four years or more. Mileage rates will follow the State of California's current mileage rate. For some vehicles, this can be found at: <http://www.dpa.ca.gov/personnel-policies/travel/personal-vehicle-mileage-reimbursement.htm>.

4. Supplies and materials – Supplies and materials appropriate for the specific project are eligible costs.
5. Miscellaneous expenses – grant project related expenses such as communications, printing, and transportation costs (not to exceed rates established by the Department of Personal Administration) are eligible costs.

6. Overhead (for non-profit applicants only) - means 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 overhead 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; and rent, utilities, supplies, etc. **These costs must not be more than 5% of the grant total.**
7. Administration (for non-profit applicants only) – Direct administrative costs that can be tied to the specific grant project are eligible.

SAMPLE LINE ITEM BUDGET

Description of Activity	Rate	# Units	CAL FIRE \$	Matching \$	Match Source	Total Project \$
Personnel			\$13,500.00	\$32,000.00		\$45,500.00
Arborist (lump sum)	\$7,000.00	1	\$3,500.00	\$3,500.00	City Funds	\$7,000.00
Program Manager (hourly)	\$35.00	500	\$10,000.00	\$7,500.00	City Funds	\$17,500.00
Volunteers (hourly)	\$21.00	1,000	\$0.00	\$21,000.00	in-kind	\$21,000.00
						\$0.00
						\$0.00
						\$0.00
						\$0.00
						\$0.00
						\$0.00
General Expenses			\$54,900.00	\$8,170.00		\$63,070.00
#15 Tree Stock	\$55.00	250	\$13,750.00	\$0.00		\$13,750.00
#5 Tree Stock	\$22.00	200	\$4,400.00	\$0.00		\$4,400.00
24" Boxed Tree Stock	\$135.00	50	\$6,750.00	\$0.00		\$6,750.00
Planting Supplies (ex.:stakes, ties)	\$20.00	500	\$10,000.00	\$0.00		\$10,000.00
shovels	\$17.00	10	\$0.00	\$170.00	in-kind	\$170.00
Concrete Cuts	\$400.00	70	\$20,000.00	\$8,000.00	in-kind	\$28,000.00
						\$0.00
						\$0.00
						\$0.00
						\$0.00
						\$0.00
						\$0.00
						\$0.00
Education			\$2,750.00	\$1,500.00		\$4,250.00
Flyers	\$0.75	1,000	\$750.00	\$0.00		\$750.00
Signage	\$500.00	4	\$1,000.00	\$1,000.00	City funds	\$2,000.00
Volunteer Training	\$500.00	3	\$1,000.00	\$500.00	Federal Grant	\$1,500.00
						\$0.00
						\$0.00
						\$0.00
Overhead (non-profit only)			\$10,400.00	\$16,840.00		\$27,240.00
rent	\$1,100.00	24	\$5,400.00	\$21,000.00	in-kind	\$26,400.00
office supplies	\$500.00	1	\$0.00	\$500.00	in-kind	\$500.00
copying	\$0.17	2,000	\$0.00	\$340.00	in-kind	\$340.00
						\$0.00

						\$0.00
						\$0.00
	Grand Totals =	\$76,550.00	\$63,510.00			\$140,060.00
	Percentages =	55%	45%			100%

APPENDIX C

Required Forms

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

RESOLUTION

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

(Additional Note: DO NOT DEVIATE FROM THIS FORMAT OR 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 PROPOSITIONS 40 and 84.

WHEREAS, the Governor of the State of California in cooperation with the California State Legislature has enacted Propositions 40 and 84, which provide funds to the State of California and its political subdivisions for urban 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 forestry project;

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

1. Approved the filing of an application for “Propositions 40 and 84” grant program funds; and
2. Certifies that said applicant has or will have sufficient funds to operate and maintain the project; and,
3. Certifies that funds under the jurisdiction of **(Name Governing Body Here)** are available to begin the project.
4. Certifies that said applicant will expend grant funds prior to March 30, 2014.
5. Appoints **(staff position 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)

Nondiscrimination Compliance Statement form (STD. 19)

A Drug-Free Workplace Certification form (STD. 21)

Important Note: The STD. 204 says that local government entities do not need to fill it out. CAL FIRE utilizes this form internally for ALL grantees, so we do require that all applicants fill it out.

The above standard forms may be found at the link below. Once at the site, enter the form number into the appropriate search box, and click on the .PDF version of the form when the results are displayed.

<http://www.dgs.ca.gov/osp/Forms/Search.aspx>



California Department of Forestry and Fire Protection Urban & Community Forestry Program ENVIRONMENTAL CHECKLIST

Part 1: ADMINISTRATIVE 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 your application. Maps and photos supplied with your application will assist in *CAL FIRE*'s review. This checklist is available electronically (MS Word 97) or may be completed by hand. If you need 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; avoiding impacts to resources is the only mitigation permitted. 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 develop measures to avoid those impacts. In the event that potential impacts to a resource are identified it is recommended that the project applicant redesign or reconfigure their project proposal to avoid impacts to the resource. Failure to fully avoid impacts will result in your project requiring a "higher level" of environmental review such as the preparation of a negative declaration or environmental impact report. 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 you to change your 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 your project will be located.

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

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

Projects that include rural, undeveloped or wildland 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 *CAL FIRE* Urban & Community Forestry Program staff to determine how to conduct a Natural Diversity Data Base (NDDDB) Search. Submit a copy of the search results along with this Environmental Checklist. If the NDDDB search identifies any threatened or endangered species of animals or plants that may be present describe avoidance measures in the appropriate discussion section.

Conduct an archaeological records check

Contact *CAL FIRE* Urban & Community Forestry Program staff 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 measures to avoid impacts in the appropriate discussion section.

Conduct an archaeological survey

Contact *CAL FIRE* Urban & Community Forestry Program staff 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 measures to avoid impacts 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 impacting threatened or endangered plant or animal species or cultural resources?

☐ Yes

☐ No

3. Require extensive soil disturbance, thereby potentially causing soil erosion and impacting, threatened or endangered species or cultural resources?

☐ Yes

☐ No

4. Require the use of large equipment (i.e. backhoe) thereby potentially impacting threatened or endangered species or cultural resources?

☐ Yes

☐ No

5. Occur within 100 feet of a perennial watercourse, riparian zone or wetland thereby potentially impacting 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 avoid impacts.

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 impact (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 adverse impacts to public services for tree pruning and maintenance?

☐ 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 environmental impacts?

☐ 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

<input type="checkbox"/> This topic does not apply to this project and was not evaluated further.
<input type="checkbox"/> Yes <input type="checkbox"/> No Would the project generate significant greenhouse gas (GHG) emissions?
<input type="checkbox"/> Yes <input type="checkbox"/> No Would these GHG emissions result in a significant impact on the environment? Discuss below:
<input type="checkbox"/> Yes <input type="checkbox"/> 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 negative impacts on the environment.

Signature of Checklist Preparer

Date

Part 6: DETERMINATION

DETERMINATION (To be completed by CAL FIRE, Urban 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 revisions in 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 D

Payment Request Information

CAL FIRE PAYMENT REQUEST INFORMATION

1. The word “Invoice” should appear in a prominent location on the envelope that is sent;
2. The word “Invoice” should appear in a prominent location at the top of the page(s);
3. Printed name of the Contractor;
4. Business address of the Contractor including P.O. Box, City, State, and Zip Code;
5. It should be addressed and sent to the appropriate Regional Urban Forester in APPENDIX E.
6. The date of the invoice and the time period covered (i.e., the term “from” and “to”);
7. The grant agreement number upon which the claim is based, and;
8. An itemized account of the services for which **CAL FIRE** is being billed that follows the approved grant budget. Include all of the following:
 - a. A description of the services performed;
 - b. The method of computing the amount due based on contract provisions (e.g., lump sum or line item budget/cost reimbursement method – see description below):

Lump sum method

Upon satisfactory performance, the State agrees to pay the Contractor on a lump sum basis for all work described herein for the total specified amount.

Or

Line item budget or cost reimbursement method (no more often than monthly)

Progress payments will be made by the State to the Contractor, in arrears, upon receipt of an itemized invoice showing the time period covered and the work items accomplished. The invoice must be itemized using the categories and following the format of the budget contained in the agreement. The total amount due should be in a prominent location in the lower right-hand portion of the last page and clearly distinguished from other figures or computations appearing on the invoice; the total amount due shall include all costs incurred by the Contractor under the terms of this agreement.

- c. The original signature of the Contractor (not required of established firms or entities using preprinted letterhead invoices).
- d. All invoices or receipts for the items being billed for.
- e. A progress report of what has been accomplished since the last billing.

APPENDIX E

CAL FIRE Urban & Community Forestry Advisor Contact Information

Area is per the map on the next page.

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CAL FIRE

Regional Urban Foresters



APPENDIX F: CAL FIRE Urban & Community Forestry Program Grant Process Flow Chart

