

# California Climate Investments

## Department of Forestry and Fire Protection

### Forest Health Program Grant Guidelines 2019-2020



**September 27, 2019**

**Proposals Due: 3 p.m., December 6, 2019**

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## FOREST HEALTH PROGRAM SUMMARY

CAL FIRE's Forest Health Program funds landscape-scale land management projects intended to restore and maintain healthy forests and conserve working forests. Projects funded under the Forest Health Program contribute to the goals of the Forest Carbon Plan, [California's Natural and Working Lands Implementation Plan](#), and [California's Global Warming Solutions Act of 2006](#) (AB32).

Through grants to regionally-based partners and collaboratives, CAL FIRE seeks to significantly increase fuels management, fire reintroduction, treatment of degraded areas and conservation of forests. All Forest Health projects must have calculated climate benefits that account for greenhouse gas emissions (GHG) from 1) treatment activities, 2) avoided future wildfire and fossil fuel use, and 3) reforestation and/or growth and yield of remaining vegetation. Benefits must be validated using the [Forest Health Quantification Methodology and Calculator Tool](#) developed by CAL FIRE and the California Air Resources Board (CARB).

The Forest Health Program is part of California Climate Investments (CCI), a statewide program that puts billions of Cap-and-Trade dollars to work reducing GHG emissions, strengthening the economy, and improving public health and the environment – particularly in disadvantaged communities. The CCI program also creates financial incentives for industries to invest in clean technologies and develop innovative ways to reduce pollution. CCI projects include affordable housing, renewable energy, public transportation, zero-emission vehicles, environmental restoration, more sustainable agriculture, recycling, and much more. As required by AB 1550, at least 35 percent of these investments are to be located within and benefit residents of disadvantaged communities, low-income communities, and low-income households across California. For more information, visit the [California Climate Investments website](#).

## ELIGIBLE ACTIVITIES

No single management activity is going to solve the wide range of threats to California's forests. Fostering healthy forests calls for a balanced approach using a variety of tools including: fuel reduction, pest management, reforestation, research, conservation, and the utilization of biomass in wood products and energy. Such activities must be applied across large landscapes to achieve the intended effect of statewide forest resiliency. Projects that implement a mix of these activities with multiple, experienced partners at a watershed or multi-watershed scale will be given priority. Projects may include planning (e.g., design and environmental review that lead to future implementation), organizational and business capacity-building, and workforce and infrastructure development as components of proposed projects; those activities should not be the main objective of the project.

The following activities are eligible for funding through the Forest Health Program:

- a. **Forest Fuels Reduction** - Eligible activities must focus on treating understory trees and brush with the goals of reducing fire hazards, improving tree growth, stabilizing carbon in retained trees, and increasing forest resilience. Forest thinning activities can be manual or mechanical and must be designed to change stand structure to 1) concentrate carbon storage in widely-spaced and larger trees that are more resilient to wildfire, drought, and insect attacks and 2) reduce the likelihood of wildfire transitioning into the forest canopy. Commercial harvesting activities should focus on promoting carbon storage in remaining trees and must be compatible with achieving resilient forests with stable carbon storage that provide co-benefits such as fish and wildlife habitat, biodiversity, and wildlife adaptation to climate change. Pre-commercial and brush removal activities are also eligible. All revenues collected as a result of activities paid for, in full or in part, with Forest Health Program grant funds must be re-invested into the project.
- b. **Prescribed Fire** – Eligible activities must focus on the need to reintroduce fires to fire-adapted forest ecosystems. Prescribed burns may be completed with private or public burn crews.
- c. **Pest Management** – Eligible activities must address pest control and related forest health improvement, while reducing pest-related mortality, improving tree growth, stabilizing carbon retained in trees, and increasing forest resilience. Activities may include forest thinning and/or brush removal. Forest thinning activities (manual or mechanical) should change stand structure to increase carbon storage in more widely-spaced trees that are more resistant to wildfire, drought, and insect attacks. Harvesting activities should focus on removing dead, diseased, suppressed, or slow-growing trees for the purpose of promoting carbon storage in remaining trees and must be compatible with achieving resilient forests with stable carbon storage that provide co-benefits such as fish and wildlife habitat, increased biodiversity, and wildlife adaptation to climate change. All revenues collected as a result of activities paid for, in full or in part, with Forest Health Program grant funds must be re-invested into the project.
- d. **Reforestation** – Eligible activities should establish a diverse, native forest, which will result in stable carbon sequestration and storage, improved watershed and habitat functions, and forest resilience. Species selection must be appropriate for the site and may be used to address climate adaptation. The Forest Health program does not fund afforestation, or establishment of forests in historically non-forested areas.
- e. **Biomass Utilization** – Eligible activities must: 1) utilize woody biomass for wood products such as post and pole, firewood, dimensional lumber, plywood, etc., which allows for continued carbon storage; 2) generate energy though

combustion or gasification, which displaces carbon-intensive fossil fuel-based energy; or 3) utilize woody biomass to help develop markets for beneficial uses of the material. Beneficial uses include, but are not limited to, animal bedding, biochar, cross-laminated timber, mulch, oriented strandboard, pulp, post, shredding, and veneer products.

- f. **Conservation** – Eligible activities include the purchase or donation of conservation easements or fee title of productive forest lands threatened with conversion to non-forest uses, such as subdivision for residential or commercial development. As with Forest Health Program grants, all conservation projects must also demonstrate GHG emission reduction benefits.

Forest Legacy project applications have different selection criteria and application requirements (**See Appendix A**) than Forest Health projects. Forest Legacy applicants that wish to complete fuels reduction, pest management, reforestation, etc. on the property with grant funds will need to define those proposed treatments in the Forest Legacy application, scope of work, budget, and work plan.

- g. **Research** – Research activities are eligible either as a component of a larger Forest Health project, or as a stand-alone research project funded under the separate Research Program (**See Appendix B**). All eligible research activities, whether component or stand-alone, should seek to improve the scientific understanding of issues related to the objectives of the Forest Health Program, CCI, and the California Forest Carbon Plan.
- Component research activities – Research proposed as a component of a larger Forest Health project should not be the primary focus of the project, but should contribute to the common goals of the project. Component research activities will be evaluated together with all other management activities proposed for that project. Applicants must use the Forest Health Program application.
  - Stand-alone research projects – Where research is the sole or primary objective, applications will be evaluated separately from other Forest Health Program applications, and funded through the Forest Health Research Program (Research Program). Research Program applications have different selection criteria, timeframes for agreements, and other requirements than Forest Health projects. Applicants must use the Research Program application process. Please refer to **Appendix B** for Research Program requirements and application instructions.

## **FUNDING AVAILABILITY – FISCAL YEAR 2019/2020**

In Fiscal Year 2019/2020, up to \$45 million will be awarded to eligible applicants through CAL FIRE's Forest Health Program, with an additional \$7 million for Forest Legacy projects and up to \$2 million for Forest Health Research projects. Forest Legacy and Forest Health Research projects will be evaluated for funding separately from other Forest Health projects; the eligible activities, project eligibility, and funding criteria for these programs are addressed specifically in Appendices A and B. The following is specific to the Forest Health Program.

### **PROJECT ELIGIBILITY – FOREST HEALTH**

All applications will be screened for eligibility. Applications must be complete and submitted by an eligible applicant. Projects should demonstrate GHG emissions benefits, and must be within size and funding limits and be completed within the statutory time limits. Applications that do not meet these criteria will not be scored against the selection criteria and will not be eligible for award.

#### **Eligible Organizations and Partners**

CAL FIRE will grant to local, state, and federal agencies including federal land management agencies; universities; special districts; Native American tribes; private forest landowners; and non-profit 501(c)(3) organizations (e.g., fire safe councils, land trusts.)

Applicants should work cooperatively with local partners to implement projects in a coordinated and expedited manner. Collaboration and support is demonstrated by private and public involvement in the planning, funding, and implementation of the project. Collaboration should leverage resources to achieve an outcome that is larger than the sum of the individual projects that may have been undertaken by each partnering organization independently. Applicants should take care to clearly indicate what work will be completed with funds from this solicitation.

#### **Greenhouse Gas Emissions Reductions**

Forest Health projects must further the regulatory purposes of Division 25.5 (commencing with Section 38500) of the Health and Safety Code. The California Air Resources Board (CARB), in its statutory role, has worked cooperatively with CAL FIRE and other experts to develop the Forest Health Quantification Methodology for individual forest treatment activities, and an accounting strategy for combining the effects of individual treatment activities and their synergistic effects, at the landscape level.

Applicants will be required to include a quantitative estimate of the net GHG benefit in terms of metric tonnes of carbon dioxide equivalent (CO<sub>2</sub>e) per [the 2019 Forest Health Quantification Methodology \(QM\) and Calculator Tool](#). GHG benefit per Forest Health

Program funds requested must be recorded in the Project Application as MTCO<sub>2e</sub>/\$. Some activities, such as planning, research, or education, may not have a measurable GHG emissions benefit. In this case, applicants must provide a justifiable qualitative description of how the activity will ultimately result in emissions reductions, further quantitative assessment of GHG impacts, or improve management actions or policy.

The quantification methodology compares outcomes of a business-as-usual scenario with that of project implementation over the quantification period. The baseline for a project will be the normal land management activities that could be expected to occur in the absence of the project. Project applicants will be required to demonstrate that activities funded through the grant award are activities that would not otherwise occur in the baseline scenario. Forest Health projects most often will consist of a collection of individual activities spread over a large landscape. Each activity need not result in GHG reduction, but the project should be designed to reduce GHG emissions at the project level. Future forest carbon offset projects are allowed if they meet all statutory and regulatory requirements. Projects within an existing offset project shall not supplant the finances of the ongoing operations of the existing project (§III.D.5 of the CARB August 2018 funding guidelines). In other words, the Forest Health project must be additional to normal budgeted operations. Also, no offset credits may be realized from the implementation of the Forest Health project. For example, if the Forest Health project implements fuels reduction treatments, no reduction in the offset project buffer pool may be taken based on the implementation of the forest health project.

## **Project Scale**

Forest Health projects must focus on large, landscape-scale forestlands composed of one or more landowners, which may cover multiple jurisdictions. Large landscapes will usually include watersheds, firesheds, or larger logical management units. The total project area should be no less than 800 to 1,000 acres in size; landscape units do not have to be contiguous.

## **Funding Limits**

Eligible Forest Health projects must be large capacity, landscape-scale, with multiple benefits. The minimum grant amount requested for management activity projects should be no less than \$750,000, with a maximum allowable request of \$5 million.

## **Project Readiness**

Eligible projects must be able to complete grant-related work by March 31, 2024.

Preference will be given to projects that have environmental compliance (CEQA, NEPA, etc.) completed before the project application is submitted (See Appendix D). Applicants must agree to complete all needed environmental compliance work within one year of award and must demonstrate progress toward completing the work within six months of award. CAL FIRE will begin to review all awarded projects in January 2021 and may reallocate awarded funds to a different grantee by July 2021 if

environmental compliance is not complete or reasonable progress cannot be demonstrated.

## **APPLICATION SCORING – FOREST HEALTH**

Projects will be selected through a competitive, single-phase application process. Applicants are required to submit a complete project application including a detailed scope of work, project timeline, detailed budget, project maps and digital spatial data, calculated estimates of GHG emission reductions, and additional supporting documents as listed in the Project Application package described below.

Upon close of the application period, applications will be reviewed to determine if the project meets eligibility requirements. Those that do will be scored to determine how well the project fits the purpose and objectives of the Forest Health Program using the following Grant Selection Criteria.

## **GRANT SELECTION CRITERIA – FOREST HEALTH**

*These criteria are specific to Forest Health grants. See Appendix A for grant selection criteria specific to the Forest Legacy Program and Appendix B for selection criteria specific to the Forest Health Research Program.*

Grant applications will be scored as to how well the project fits the purpose and objectives of the Forest Health Program, using the following criteria as a lens.

### **1. Scope of Work – 10 points**

The project is appropriate for the program with clear, complete articulation of work to be completed. In addition to scoring content, the Scope of Work will be evaluated against amount requested and time available.

The Scope of Work must address the following:

- Project background and statement of need.
- How project is consistent with the goals of the Forest Health Program and California's climate goals (as outlined in the California Forest Carbon Plan, California's Natural and Working Lands Implementation Plan, and Global Warming Solutions Act of 2006.)
- Proposed project activities as outlined in Project Work Plan, expected project deliverables/milestones, and any permits or regulatory approvals needed to complete the project.
- A description of how the project will utilize a diverse mix of management actions that follow industry standards, are appropriate activities for the

project landscape, and how they combine or connect to promote forest health at a landscape scale.

- An explanation of how multiple, experienced partners will collaborate throughout the project, including: planning, funding, implementation, and monitoring.
- The extent to which the project will deliver enduring, sustainable benefits. A proposed plan for long-term maintenance of these benefits including the responsible parties, funding, and volunteer assistance.
- For component research activities, a clear and concise description of research questions and methods and how research questions are related to the overall goals of the larger Forest Health project, and aligned with the current state of science for the topic. Methods should be appropriate for addressing the research questions posed, scientifically rigorous and provide for publishable results. Note: The Scope of Work for stand-alone research projects has different requirements, see **Appendix B**.

## **2. Project Work Plan – 5 points**

The timeline in the “Work Plan” worksheet is complete with appropriate detail describing the phases of work necessary to successfully implement the project. It is feasible for all phases of work to be completed before the end of the project performance period.

## **3. Budget – 10 points**

Both budget worksheets have been completed, with the “Project Budget” worksheet clearly depicting how grant funds will be spent, and the “Treatment Areas” worksheet specifying the treatment areas, ownership type, and funds to be spent by treatment. Costs are reasonable in proportion to the proposed treatments, deliverables, and Scope of Work. The budget specifies the number of salaried employees and contractors funded under the grant and the cost basis for each. The budget must identify any income received from the sale of forest products or other income generated as a result of the project and how those funds will be reinvested in the project. Requested funds shall be no less than \$750,000 and not more than \$5 million.

## **4. Long Term Forest Management Goals – 10 points**

Project activities should be conducted pursuant to an approved timber harvest plan, nonindustrial timber management plan, or working forest management plan, or appropriate exemptions. CAL FIRE will give funding priority to landowners with a plan to develop or maintain a resilient forest of diverse age, size, and species class within the boundaries of the project. A long-term

maintenance plan for the project should include responsible parties, funding, and volunteer assistance.

#### **5. Net Greenhouse Gas Benefit – 10 points**

The project's greenhouse gas (GHG) benefits are compelling and clearly demonstrated. The project results in a substantial net GHG benefit using the [CCI Quantification Methodology \(QM\) and Calculator Tool](#). The net GHG benefit clearly justifies how the project will further the objectives of AB 32, the California Global Warming Solutions Act of 2006. The numerical calculations can be reviewed and validated and all materials needed for verification have been provided. GHG benefit per Forest Health Program funds requested must be included in the Project Application as MTCO<sub>2e</sub>/\$.

#### **6. Priority Landscapes – 5 points**

The project addresses forestlands where there is a demonstrated need for treatment and where projects will have significant benefit.

CAL FIRE's Fire and Resource Assessment Program (FRAP) has developed a [web map viewer](#) that can be used to assess whether proposed project area overlaps a high priority landscape in which specific actions can be taken to reduce risk to a forest asset. Those actions include: 1) Reducing Wildfire Risks to Ecosystem Services, 2) Restoring Fire Damaged Areas, 3) Restoring Pest Damaged Areas, and 4) Reducing Wildfire Threat to Communities. Applicants should briefly describe which priority area(s) they will be working in and describe how work will reduce risk to the asset in that area. (One point will be given for each priority landscape included in the project.). A fifth priority may be listed if local or regional designations exist (one point).

#### **7. Co-Benefits – 5 points**

California Climate Investments support not only the State's climate change goals, but they also provide socio-economic, environmental, and public health co-benefits.

A brief description of what co-benefits of the project meets is included. Potential co-benefits include, but are not limited to, reduced fire risk and/or facilitated fire suppression; bioenergy and/or wood products produced; biomass diverted from landfill; improved air and/or water quality; improved watershed health; improved wildlife, fish, or native plant habitat; increased recreation, education, or outreach opportunities; improved scenic resources; protected cultural resources; benefits to local economy; jobs created and/or supported.

Applicants must incorporate measures to avoid adverse impacts to fish, wildlife and native plant resources in project design and development. All approved projects must include a plan for identifying and mitigating the risk of exotic and

endemic pests. This includes identifying potential issues in the project area, prevention practices to be implemented, monitoring and amelioration where needed.

**8. Jobs – 5 points**

Applicant has completed [CARB's Job Co-benefit Modeling Tool](#) and included in the application the number of jobs that are to be supported and/or the number of jobs that are to be created with project and CCI funding.

**9. Disadvantaged and/or Low Income Community Benefit – 10 points**

The project 1) provides direct, meaningful, and assured benefits to a disadvantaged community (DAC), a low-income community, or low-income households, and 2) meaningfully addresses an important community need, as summarized in CAL FIRE's [Evaluation Criteria for Providing Benefits to Priority Populations](#). AB 1550 defines "low-income communities" as those census tracts with: 1) median household incomes at or below 80 percent of the statewide median income, or 2) median household incomes at or below the threshold designated as low-income by Department of Housing and Community Development's State Income Limits (HCD State Income Limits). CalEPA has identified [census tract boundaries](#) that satisfy either of these definitions as "low-income" for the purpose of AB 1550 investments.

**10. Local Fire Plan & Other State Plan Compatibility – 5 points**

The project is part of other wildfire planning processes including the 2018 Strategic Fire Plan for California, local CAL FIRE Unit fire plans, or Community Wildfire Protection Plans. Projects should demonstrate how their activities are consistent with or in support of other statewide climate initiatives, landscape conservation efforts and other state actions plans (e.g. California Forest Carbon Plan, Safeguarding California Plan, Natural and Working Lands Climate Change Implementation Plan, CA Wildlife Action Plan, CA Water Action Plan, Habitat Conservation Plans, Natural Community Conservation Plans).

The Applicant has briefed the local CAL FIRE unit(s) on the project.

**11. FMTF/RFFCP Priority Projects– 5 points**

Preference will be given to projects that are identified priorities by the Regional Prioritization Groups of the Forest Management Task Force (FMTF) and/or the Regional Forest and Fire Capacity Program (RFFCP). These groups were established to promote and support collaborative planning and implementation of wildfire resiliency and forest health protection, management, and restoration efforts at the landscape level that meet regional and statewide public safety, ecosystem, and public resource goals, and that are consistent with the California Forest Carbon Plan. Preference will also be giving to projects that are

identified as priorities of a collaborative forest restoration group (such as the Collaborative Forest Landscape Restoration Program) and/or are adjacent to, or further the benefits of, one of [CAL FIRE's 35 priority fuel reduction projects](#). A letter of support from the leadership of the FMTF, RFFCP, or other collaborative forest restoration group must be provided.

**12. Collaboration, Community Benefit and Local Support– 5 points**

The project shows broad community support, partnerships or collaborative efforts to achieve the net GHG benefit. Collaboration and support is demonstrated by private and public partnership involvement in the planning, funding, and implementation of the Project. CAL FIRE will favor those projects that provide a direct benefit to a community and meaningfully addresses an important community need. Letters of commitment from primary project partners must be provided.

**13. Grantee's Administrative Capacity and Past Forest Management History – 10 points**

The Applicant has demonstrated forest management experience with similar landscape level projects and demonstrates a high potential for completing the project. Greater consideration will be given to organizations with the ability to administratively manage large grants and a proven record of success in delivering projects like that proposed in the application.

**14. Readiness and Legal Requirements – 5 points**

The Applicant has completed the “Environmental Compliance” worksheet. “Readiness” is the ability to implement the project and the capability to begin ground disturbing activities on the project within 12 months of the grant award. The project is ready to implement, because all required documents and legal requirements (e.g., CEQA, NEPA, ancillary contracts, agreements, MOUs, etc.) are in place (excluding Forest Legacy Program Applications). All environmental permitting must be completed within one year of the grant agreement (See Appendix E). A Registered Professional Forester or NASP-Certified Silviculturist must oversee vegetation treatments, oversee vegetation removal, and may calculate the net GHG benefit.

## APPLICATION PROCESSES

*These processes are applicable to all programs.*

Applicants to the Forest Health Program, including Forest Legacy and Research Program applicants, must follow the three-step application process described below. This process includes 1) requesting a Project ID and access to CAL FIRE's Box.com content management platform; 2) submitting all required supporting documents and data via the Box.com platform; 3) submitting an online application form.

The **Project Application deadline is 3 p.m. PST on December 6, 2019**. After this time, access to the online application and associated Box.com folder will be closed.

**Step 1 – Request Project ID and link to CAL FIRE Grants Box.com platform:** Prior to applying, interested entities need to request a Project Tracking ID number and be assigned access to CAL FIRE Grants' Box.com platform.

Send email to [CALFIRE.Grants@fire.ca.gov](mailto:CALFIRE.Grants@fire.ca.gov), including:

- Name of organization applying
- Name of the [CAL FIRE Unit](#) in which the project or activity will be located
- Name of the project
- Name of the grant program (Forest Health, Forest Legacy, Research)
- Names and emails of individuals that will need access to Box.com

The Project Tracking ID will be in the form of:

19-FH-UUU-XXX for Forest Health

19-FL-UUU-XXX for Forest Legacy

19-RP-UUU-XXX for Research Program

Where UUU is the 3-letter identifier for the CAL FIRE Unit where the project is located and XXX is a sequentially assigned tracking number.

**Applicants should request this information at the beginning of the grant application process.** Requests that are made less than one week prior to the due date may not be considered.

**Step 2 – Submit Items in Folders to CAL FIRE's Box.com platform:**

Using the link for Box.com received from CAL FIRE Grants in Step 1, create folders using the naming conventions for each folder described below and upload the required documents into the folders. Submit your documents as early as possible as additional time will not be allowed for technical or Internet uploading issues. *Do not submit any other supporting materials as they will not be reviewed.*

**Folder 1: PROJECT DOCUMENTS:** Use the following naming protocol:

Folder 1 Contents	Electronic File Name
A: Scope of Work	19-FH/FL/RP-UUU-XXX-SOW.doc or .pdf
B: Statement of Qualifications	19-FH/FL/RP-UUU-XXX-SOQ.doc or .pdf
C: Budget, Treatment Areas, Work Plan, and Environmental Compliance <a href="#">workbook</a>	19-FH/FL/RP-UUU-XXX-Budget.xlsx
D: Maps / .shp files	19-FH/FL/RP-UUU-XXX-Map.zip
E: Letters of Participation	19-FH/FL/RP-UUU-XXX-Partners.pdf or .zip
F: Letters of Support	19-FH/FL/RP-UUU-XXX-Support.pdf or .zip

A. Scope of Work –

- Forest Health – See Page 6 for required elements in a Scope of Work for Forest Health applications. (MS Word or PDF document limited to 4 pages using 11-point or greater, Arial font or similar.)
- Forest Legacy – See Appendix A, page A-4. The Statement of Applicability must be limited to one page, for each of the four criteria. (MS Word or PDF document, using 11-point or greater, Arial font or similar.)
- Research Program – See Appendix B for required elements in a Scope of Work for stand-alone research projects. (MS Word or PDF document, limited to 10 pages using 11-point or greater, Arial font or similar.)

A. Statement of Qualifications –

- Forest Health and Forest Legacy - Detail the applicant's ability to complete the project as proposed, identify the resources (staff, partners, contractors) intended to complete the tasks described in the work plan, and explain applicant's expertise or experience completing similar forest management projects and managing projects of similar fiscal size. (MS Word or PDF document limited to one page in 11- or 12-point Arial font.)
- Research Program – See Appendix B for required elements in a Statement of Qualifications for stand-alone research projects. (MS Word or PDF document limited to two pages using 11-point or greater Arial font or similar.)

B. Budget, Treatment Areas, Work Plan, and Environmental Compliance worksheets –Submitted as one [Excel workbook](#), using template provided.

- Forest Legacy applicants need not include Environmental Compliance worksheets unless forest treatments are proposed using grant funds.
  - Research Program applicants whose projects are longer than two years should identify two distinct phases in timeline worksheet, and provide separate budgets for phases. See Appendix B for additional information.
- C. Maps of Project Area (Sized to 8 ½” x 11”). Limited to one PDF file for maps or multiple PDF’s in one .ZIP file.
- D. Signed letters of participation from primary project partners listed in under “Collaboration/Partnerships” of the Project Application, and from any land owners or managers where research is being performed. Letters should be addressed to: Chief Helge Eng, Deputy Director, Resources Management, California Department of Forestry and Fire Protection. Submit as a single PDF file or as a .ZIP file with multiple letters.
- E. Signed letters of support from individuals and entities other than primary project partners. This includes letters of support from the leadership of the FMTF, RFFCP, or other collaborative forest restoration group, if applicable. Graduate student applicants to the Research Program should include a letter of support from their major professor. Submit as a single PDF file or as a .ZIP file with multiple letters.

**Folder 2: ORGANIZATION DOCUMENTS:** Use the following naming protocol:

Folder 2 Contents	Electronic File Name
A: Articles of Incorporation	19-FH/FL/RP-UUU-XXX-AOI.pdf
B: Governing Resolution	19-FH/FL/RP-UUU-XXX-Resolution.pdf
C: Non-Discrimination Compliance	19-FH/FL/RP-UUU-XXX-STD19.pdf
D: Drug-Free Workplace Certification	19-FH/FL/RP-UUU-XXX-STD21.pdf
E: Payee Data Record form STD 204	19-FH/FL/RP-UUU-XXX-STD204.pdf
F: UC/CSU Model Agreement Template	19-FH/FL/RP-UUU-XXX-UTC.doc

- A. Articles of Incorporation including the Seal from the Secretary of State. *Only required from non-profit Applicants.*
- B. A signed Resolution by the Applicant’s governing body, which allows the grantee to sign agreements and amendments for a specific project (See Appendix F). *Resolutions are required only from non-profit and local agency Applicants.*
- C. State of California [Non-Discrimination Compliance Statement](#) (STD 19)
- D. State of California [Drug-Free Workplace Certification](#) (STD 21)

- E. State of California [Payee Data Record](#) (STD 204)
- F. University of California and California State Universities are also required to submit their application using the [Model Agreement Template](#) on the Department of General Services' website. Documents must be submitted in MS Word.

**Folder 3: GIS DOCUMENTS:**

Folder 3 Contents	Electronic File Name
A: Project Boundary	19-FH/FL/RP-UUU-XXX-Boundary.zip
B: Treatment and Impact Areas	19-FH/FL/RP-UUU-XXX-TreatmentAreas.zip

- A. Project area boundary: Include all areas considered for inclusion in the project.
- B. Proposed treatment areas within the project boundary: Include a polygon or layer for each treatment and treatment area described in Worksheet 3: Treatment Areas. Clearly label spatial files such that each line in Worksheet 3: Treatment areas can be identified in the spatial files. If optional impact areas are used in GHG quantification, include with treatment areas.

**Spatial data formatting requirements:**

- Shapefile, KMZ, or GDB
- Polygon vector files
- Coordinate reference system: NAD\_1983\_California\_Teale\_Albers (EPSG: 3310)
- Metadata must be provided for any naming convention, coding, etc.
- Include source information and methodology in a note file in each zipped GIS package
- File names:
  - ApplicationNumber\_Boundary\_YYYYMMDD.xxx
    - For example: 19-FH-HUU-XXX\_Boundary\_20191001.shp
  - ApplicationNumber\_Treatment##\_YYYYMMDD.xxx
    - 19- FH-HUU-XXX-HUU\_Treatment01\_20191001.prj
- If the project area boundary is not contiguous, format so that all tracts or treatment areas are polygons in one single layer with the tract/treatment area names in the attribute table.
- Optional, but recommended: include the information in Worksheet 3: Treatment Areas in the attribute table for the proposed treatment areas layer(s). [A sample shape file is provided on the Forest Health grants web page.](#)
- Compile all spatial data into two .zip files, one for Project Boundary and one for Treatment Areas (see Folder 3: Contents chart above).

**Folder 4: GHG CALCULATOR & CALCULATIONS:** *Not required for Research Program applicants.* Use the following naming protocol:

Folder 4 Contents	Electronic File Name
A: GHG Calculator Tool	19-FH/FL/RP-UUU-XXX-Calculator.xlsx
B: GHG Data & Documentation	19-FH/FL/RP-UUU-XXX--GHGData.zip

- A. Completed [CARB Forest Health GHG Calculator Tool](#) in Microsoft Excel format
- B. All data and documentation that support applicant’s entries into the CARB Forest Health Calculator Tool. Appropriate data and documents are listed in the [Forest Health Program Quantification Methodology](#) (available under the “Natural Resources and Waste Diversion” section).

**Folder 5: ENVIRONMENTAL DOCUMENTS:** NEPA/CEQA documents – See Appendix D. *Not required for Forest Legacy applicants, unless forest treatments are proposed using CAL FIRE-CCI grant funds.*

Attachments should be named using the following protocol: 19-FH/FL/RP-UUU-XXX—Environment.pdf or.zip

**Folder 6: FOREST LEGACY DOCUMENTS:** *Only required for Forest Legacy applicants.* Use the following naming protocol:

Folder 6 Contents	Electronic File Name
A: Conservation Easement	19-FL -UUU-XXX-Easement.xlsx
B: Preliminary Title Report	19-FL-UUU-XXX-TitleReport.zip

**Step 2 – Submit Online Application:**

All applications will now be submitted through an online form. No hard copy or emailed applications will be accepted.

Each program has a specific application; *only complete the application that is specific to the program for which you are applying:*

- [Forest Health](#)
- [Forest Legacy](#)
- [Forest Health Research Program](#)

Review the application early in the process, and prepare to fill out and submit the form in a single session. It is highly recommended that applicants compile information for the application before filling out the online form. The application can be copied from the browser and pasted into MS Word or similar word processing application to prepare the responses in advance.

The application form consists of several sections:

- 1) Project Information
- 2) Organization Information
- 3) Forest Health Treatment Types & Treatment Acreage
- 4) Land Ownership
- 5) Scope of Work, Project Timeline & Budget
- 6) Matching Sources of Funding
- 7) Greenhouse Gas Reductions
- 8) Priority Landscapes
- 9) Co-benefits
- 10) Disadvantaged and/or Low Income Community Benefit
- 11) Local & State Compatibility
- 12) Collaboration/Partnerships
- 13) Administrative Capacity and Past Forest Management History
- 14) Attestation

An asterisk (\*) indicates a required response. Prior to submission, ensure all required (\*) fields are filled with data in the appropriate format.

Upon successful submission, a confirmation page will be displayed and the submitter will receive an email confirming receipt of the application and an email with the submitted responses. If the confirmation email is not received, contact [Grants@fire.ca.gov](mailto:Grants@fire.ca.gov) with the Project Tracking ID.

## **Application Review and Awards**

A list of applications received will be posted on the Forest Health grants webpage at least 10 business days prior to award.

CAL FIRE will review completed applications that meet the Program Eligibility Criteria. Eligible applications will be scored by CAL FIRE staff and an inter-agency panel against the Grant Selection Criteria. Final awards will be determined based on project scores, program need, and relative fit of the awarded projects to each other both geographically and with respect to proposed activities.

CAL FIRE reserves the right to fund projects in total or in part, whichever best serves the objectives of the Forest Health Program. Project applicants that are selected to receive partial funding will be provided additional information on their revised funding amount and any other changes to their application as needed.

Project applicants will be notified by mail and email if they have, or have not been, selected to receive funding.

Successful applications will be summarized and posted to CAL FIRE's [Forest Health grants webpage](#) within two weeks of the decision to fund. Applications will be treated in accordance with the Public Records Act requirements, and certain information, subject to those requirements, may be publicly disclosed.

## GENERAL GRANT CONDITIONS AND PROJECT ADMINISTRATION

*These conditions and processes are applicable to all programs.*

### Project Performance Period

- The Project Performance Period is from the time the Grant Agreement is fully signed by the CAL FIRE Deputy Director of designee to the Agreement termination date. Only eligible costs incurred during the Project Performance Period will be paid by the State.
- CAL FIRE will execute all grant Agreements as soon as feasible and no later than June 30, 2022 for land management projects. Research only projects must have grant Agreements executed by June 30, 2020.
- **Project work related to Forest Health and Forest Legacy must be completed by March 31, 2024. Project work related to Research grants must be completed by March 31, 2022.**
- Final invoices for all grant-related work must be submitted to CAL FIRE no later than 30 days after the Project Performance Period.

### Project Reporting

Grant awardees will be required to provide a method, schedule, and reporting mechanism for pre- and post-project monitoring of site conditions and project results.

Grantees will be required to track and report progress to CAL FIRE throughout the grant term. Report contents are determined by CAL FIRE and are consistent with the required project type-specific reporting requirements in CARB's Funding Guidelines. Information to be submitted includes, but is not limited to, project description, project location, CCI dollars allocated, matching funds, acres of land treated, activities completed, number of trees planted and acres planted, bone dry tons of biomass delivered to a renewable energy facility, tons of biomass delivered to a sawmill, renewable energy produced, job or job training information, and other co-benefits achieved, and [benefits to disadvantaged and/or low income communities](#). Such reports will be provided consistent with [CARB Funding Guidelines](#), for the duration of the performance period, throughout the life of the project agreements.

Grantees will also be required to provide project information to CAL FIRE for entry into CalMAPPER, CAL FIRE's geospatial database that facilitates mapping and monitoring of CCI and other CAL FIRE vegetation treatment projects. Information from grantees will include shapefiles or feature class of project boundary (use Esri Arc GIS, Esri ArcView geodatabase, or Google Earth KMZ file types), project type, grantee contact information, project activities and costs, and other information. CAL MAPPER information from grantees will be required at specific times throughout the effective period of the grant, including at initial grant award and at periodic invoice billing submissions. Some reported project information will be publicly available on the CARB website and/or CAL FIRE website.

Grantees are required to report on progress toward completion of the Scope of Work included in the Grant Agreement with each invoice, or quarterly, whichever is more frequent, using the Forest Health Progress Report template.

Grantees are required to submit a final project report to CAL FIRE with the final invoice. Final report will include final summary of all metrics reported in prior periodic progress reports, as well as narrative summary of project outcomes and photographic documentation of project activities and outcomes. See Appendix B for additional Research Program requirements for final reports.

A subset of randomly selected funded projects will be required to report results of the project and permanence conditions for ten years after project completion in accordance with the CARB Funding Guidelines. CAL FIRE will collect monitoring data on these projects during that period.

## **Changes to an Approved Project**

A grantee wishing to change the scope of work, budget, or project performance period of an approved project must submit the proposed change in writing to CAL FIRE for review and approval. Any change must be consistent with the statutes, regulations, and guidance governing the program. Requested budget changes may not increase the amount of funds awarded, unless such changes are initiated by CAL FIRE. The following scope of work revisions may require the project Grant Agreement to be amended: change in project end date (as allowed by legislation only); adjust budget categories by more than 10% of the total grant amount; change in physical project location; any changes to project area or treatment type that result in a difference of more than 10% of expected GHG sequestration. CAL FIRE reserves the right to reject proposed changes to an approved project and/or budget.

## **Project Amendments and Termination**

Once signed, a Grant Agreement may only be amended with advanced written consent of CAL FIRE and the grantee. A Grant Agreement may only be terminated by CAL FIRE or the grantee upon 30 days advanced written notice to the other party. Further details on this process will be provided in the Grant Agreement.

## **Accounting Requirements**

The grantee must maintain an accounting system that accurately reflects fiscal transactions. The accounting system must provide an adequate audit trail, including original source documents, such as receipts, progress payments, invoices, purchase orders, time cards, cancelled checks, etc. The accounting system must document the total cost of the project. The grantee must maintain accounting records for one year following the duration of the Project Performance Period 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 years following Project completion and one year following an audit.

## **Loss of Funding**

CAL FIRE reserves the right to withdraw funding award if stated requirements are not met. The following are examples of actions that may result in a grantee's loss of funding. This is not a complete list and is intended only to show examples.

1. Grantee fails to obtain an executed Grant Agreement by June 30, 2022.
2. Grantee has not satisfied all legal requirements (e.g., CEQA, NEPA, ancillary contracts, agreements, MOUs, etc.) necessary to initiate ground disturbing project work within 1 year of grant agreement execution or by January 1, 2021.
3. Grantee fails to use all the grant funds.
4. Grantee withdraws from the grant program.
5. Grantee fails to complete the funded project.
6. Grantee fails to submit all documentation within the time periods specified in the Grant Agreement.
7. Grantee changes the Project Scope of Work without CAL FIRE's prior written approval.
8. Grantee or CAL FIRE terminates the Agreement.
9. Any activity that results in significant change to the expected GHG impacts of the project.

## Eligible Costs

Project costs must be consistent with the approved Project Application and incurred during the Project Performance Period as specified in the Grant Agreement. With the exception of stand-alone research, project elements that do not produce a direct GHG benefit (e.g., education, 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 who are DIRECTLY engaged in the execution of the grant project. Limited to actual time spent on the grant project. Examples of expenditures include time related to site visits and 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.	Timesheets or similar documentation detailing days and hours worked on the project. Payroll documentation should show a nexus between time worked on the project and wages paid to the employee after the fact.
Benefits	Employer contribution share of fringe benefits associated with employees (paid from salaries and wages Budget Item) who 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.	Same documentation as Salaries and Wages. 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, professional/consultant services (the costs of consultant services necessary for project planning and implementation), fire prevention contractor, etc. Procurement of contractual services should be documented to ensure selection on a competitive basis and documentation of price 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 price 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 <a href="#">U.S. General Services Administration</a> . Mileage rates shall not exceed the <a href="#">rates allowable by IRS</a> .	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 is an item exceeding \$5,000 or more per unit cost and has a tangible useful life of more than one year. Cost to lease equipment to use in the grant project may be charged to the grant. Use of equipment owned by the grantee may be charged to the grant at a rate set by the California Department of Transportation " <a href="#">Labor Surcharge and Equipment Rental Rate</a> " guide. 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. Grantee must include in the application package the proposed use and maintenance plans for equipment after the performance period of the grant. Disposition of 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. Cost must be directly related to the grant project. A cost (such as rent, utilities, phones, general office supplies, etc.) that must be apportioned to the grant is considered indirect cost unless written justification is submitted and approved by CAL FIRE.	Invoices or receipts identifying the item and cost charged to the grant.
Indirect Costs	Indirect Costs are 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 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. The maximum allowable indirect charge for this grant program is 12%.	Applied on a percentage (%) basis on direct costs <u>except for equipment</u> . Documentation related to the determination of the grantee's indirect cost rate must be retained by the grantee for audit purposes.

## Ineligible Costs

The following are ineligible for reimbursement under the grant:

1. Costs incurred before or after the Project Performance Period.
2. Cost of preparing the Project Application or other grant proposals.
3. Late fees, penalties and bank fees.
4. Any activity that would lead to the project not achieving a GHG reduction.
5. Any practice or activity that, in CAL FIRE's judgment, is not a best management practice or that is, or could be, harmful to the forested landscape.
6. Any indirect costs based on percentage of equipment costs (see above).

## Payment of Grant Funds

Funds will be disbursed only once there is a fully executed Grant Agreement between CAL FIRE and the grantee. **Payments will be made on a reimbursement basis** (i.e., the grantee pays for services, products or supplies; invoices CAL FIRE for the same; and the State reimburses the grantee upon approval of the invoice). No work prior to or after the grant period will be reimbursable. Advance funds may be provided (see Advances below) in lieu of reimbursement.

The grantee will submit to CAL FIRE an invoice form consistent with invoice guidance in Appendix H when requesting payment of any type and to include appropriate documentation to support the costs (e.g., paid vendor receipts, payroll documents, other back-up documentation of expenses). An invoice template is available on the [Forest Health grants webpage](#).

A Forest Health Grant Project Progress Report or Final Report shall accompany all requests for payment CAL FIRE may conduct a site inspection to verify that work invoiced has been satisfactorily completed. The invoice will then be forwarded to Sacramento Headquarters for review and subsequent approval of payment. **Expect payment to be issued 45 calendar days from the time an acceptable invoice is received.** If an invoice is incomplete or non-reimbursable, it will be returned to the grantee.

## Advances

Advance payments may be considered for nonprofit organizations, local agencies, special districts (including RCDs), private forest landowners, and Native American Tribes. Advance payments are solely at CAL FIRE's discretion and eligibility expires January 1, 2024.

A written request must be submitted identifying how funds may be used over a six-month period. No single advance payment shall exceed 25% of the total grant award. Advances must be fully utilized within a six-month period unless additional time is approved by CAL FIRE. 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. In addition, an accountability report must be submitted to CAL FIRE every four months upon receipt of funds.

CAL FIRE processes for approving and managing advance payments are subject to change.

## Prevailing Wage Requirements

CAL FIRE provides no opinion as to whether projects may be subject to prevailing wages. For determination for prevailing wages, please contact the [Department of Industrial Relations](#). It is the applicant's responsibility to budget for prevailing wages in their project cost when applicable.

## **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 to the audit commencing. 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 Performance Period and three years following Project completion.

In an effort to expedite the audit, the grantee shall have the project records, including the source documents, and cancelled checks 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 years following Project completion and one year following an audit unless the grantee has a longer retention policy.

## **Research Sites, Data and Publications**

### Site Access

During the grant period, access to research field sites is at the discretion of the Project Manager (Principal Investigator) and shall be coordinated with the owner or manager of the land where the research occurs. Following the conclusion of the grant period, access to field sites is at the discretion of the owner or manager of the land where the research occurs.

### Data Management and Use

Scientific findings from publicly funded research should be broadly disseminated and shared with both the funding entity and the general public. Grantees are required to provide CAL FIRE with paper or electronic copies of: datasets; study/plot locations; GPS/GIS information; progress reports; final reports; theses; dissertations; and publications. Grantees must provide for long-term storage and access to these data and records. Interim or preliminary datasets can be shared after quality checking and at the discretion of the Project Manager or Principal Investigator. Final reports, publications and final authoritative datasets may be made publicly available upon the completion of the grant period. All datasets, whether interim or final, should include: metadata; version information, descriptions of sample design and data collection methods; point of contact; and credit to research team and funding sources.

### Publications

Pursuant to [California Assembly Bill No. 2192](#) (“The California Taxpayer Access to Publicly Funded Research Act”), a grantee that receives funding, in whole or in part, in the form of a research grant from a state agency shall provide for free public access to any publication of a peer-reviewed manuscript describing state-agency-funded knowledge, a state-agency-funded invention, or state-agency-funded technology. Forest Health Program grantees must ensure that an electronic version of peer-reviewed manuscripts is available to CAL FIRE and on an appropriate publicly accessible repository approved by CAL FIRE including, but not limited to, the University of California’s eScholarship Repository at the California Digital Library, or the California State University’s ScholarWorks at the Systemwide Digital Library. Grantees must report to CAL FIRE the final disposition of any peer-reviewed manuscripts arising from the grant work, including, but not limited to, if it was published, date of publication, where it was published, and, after a 12-month time period from official date of publication, where the peer-reviewed manuscript will be available for open access. For other types of publications, including scientific meeting abstracts, the grantee shall comply by providing the manuscript to the CAL FIRE not later than 12 months after the official date of publication.

### Scientific Integrity

Scientific integrity is vital to all CAL FIRE activities under which scientific research, data, summaries, syntheses, interpretations, presentations, and/or publications are developed and used. Failure to uphold the highest degree of scientific integrity will result not only in potentially flawed scientific results, interpretations, and applications but will damage CAL FIRE’s reputation and ability to uphold the public’s trust. All work performed must conform to the highest standards of scientific integrity, as well as all Federal, State and municipal laws. Suspected violations of scientific integrity will be investigated by CAL FIRE staff and may result in cancellation of grant agreement.

## **APPENDIX A – FOREST LEGACY PROGRAM**

*This content in Appendix A is specific to the Forest Legacy Program*

The purpose of the Forest Legacy Program is to protect environmentally important forest land threatened with conversion to non-forest uses. Protection of California’s forests through this program ensures they continue to provide such benefits as sustainable timber production, wildlife habitat, recreation opportunities, watershed protection and open space. Intact forests also contribute significantly to the storage and sequestration of carbon. All projects funded by this program must demonstrate the potential for GHG emission reduction benefits.

Under this competitive grant program, CAL FIRE will provide funding for purchases of conservation easements or fee title of productive forest lands to encourage their long-term conservation. Organizations must find an eligible entity that is willing to hold the conservation easement and perform the monitoring and protection of the easement. Eligible entities include land trusts, other state agencies or conservation organizations. This eligible entity shall be identified as the applicant on the application and is subject to scrutiny based on the entity’s ability to hold and protect the easement. Any partnering entities facilitating the purchase of the conservation easement must work through the eligible entity for reimbursement of costs and may be included in the proposed budget. Indirect costs may be applied to the due diligence costs but not the acquisition cost.

Eligible properties include those with working forest and rangelands, where the property is managed for the production of forest products and traditional forest uses are maintained and where the land contains at least 75% forest cover. Landowners who wish to participate may sell or transfer certain rights, such as the right to develop the property or to allow public access, while retaining ownership of the property and the right to use it in any way consistent with the terms of the conservation easement and management plan.

### **Forest Legacy Applicant Eligibility**

Below is a partial list of applicant eligibility; a complete list of eligibility and conditions are found in the Public Resource Code §12200-12276 and the California Code of Regulations (CCR), Title 14, Division 1.5, Chapter 9.9, §1570-76.

1. Eligible participants are “landowners” as defined in 14 CCR §1571 meaning an individual; partnership; private, public, or municipal corporation; Native American Tribe; state, county, or local government agency; educational institution, or association of individuals that own private forest lands or woodlands.
2. The area eligible for funding is non-federal forest lands as defined in 14 CCR §1571.

3. To be eligible for funding under this program, a project must further the goals of AB 32 and include a quantitative estimate of the net GHG benefit in terms of metric tonnes of carbon dioxide equivalent per the [FY 2018-19 quantification methodology approved by CARB](#).

The quantification methodology will compare outcomes of a business-as-usual baseline scenario with that of project implementation over the quantification period. The baseline for a project will be the normal land management activities that could be expected to occur in the absence of the project. Project applicants must demonstrate that activities funded by the GGRF are activities that would not otherwise occur in the baseline scenario. Forest health projects most often will consist of a collection of individual activities spread over a large landscape. Each activity however, must be part of a logical plan to reduce GHG emissions at the project level.

4. California Forest Legacy projects funded through this solicitation will have to comply with Section 815.11 of the Civil Code:

For any conservation easement purchased with state funds on or after January 1, 2019, wherein land subject to the easement includes some forest lands, or consists completely of forest lands, to the extent not in conflict with federal law, the terms of any applicable bond, or the requirements of any other funding source, the landowner shall agree, as part of the easement management plan, to maintain and improve forest health through promotion of a more natural tree density, species composition, structure, and habitat function, to make improvements that increase the land's ability to provide resilient, long-term carbon sequestration and net carbon stores as well as watershed functions, to provide for the retention of larger trees and a natural range of age classes, and to ensure the growth and retention of these larger trees over time.

5. **All project work related must be completed by March 31, 2024.**

## Conveyances

There are two options to convey lands or interests in lands with grants from the Forest Legacy Program:

- **Facilitated Donation:** The Forest Legacy Program will pay for the due diligence incurred by the landowner in making the donation. This could include cost of developing the easement, cost of developing the management plan, legal costs, surveys, title work, etc.

- **Purchase:** The Forest Legacy Program will provide funding for a qualified entity to purchase the land or conservation easement with any combination of federal, state and private funding, including partial donation by the landowner.

## **Conservation Easement and Carbon Project Eligibility**

1. If the conservation easement project area does not have a registered project (defined as credits issued having a serial number and transferred to account designed by Offset Project Operator per CARB regulation §95982) or for a non-CARB carbon project having no credits have been issued, the terms of the easement must be included in the baseline for any future carbon projects except for reforestation (to allow reforestation after a wildfire or other natural disturbance). Easement projects applying for CCI funding are not eligible for the one-year exemption under the CARB forest offset protocols (§3.b.a.2.C.2 of the 2015 CARB protocol), or other similar term in another carbon program.
2. If a conservation easement project has a carbon project that has been registered or already been issued any environmental credits (as defined above), the project is not eligible for CCI funding. This is due to §III.D.5 of the CARB August 2018 funding guidelines states, "...for existing environmental credit projects (...), GGRF monies cannot supplant the ongoing operations of an existing project."
3. If the conservation easement is in the process of developing a carbon project, but has not yet been registered or issued credits (as defined above), then the project is eligible for potential funding.

The terms of the easement can either be included in the baseline for the carbon project, or the restrictions in the easement above the California Forest Practice Act and associated regulations will not be paid for as part of the conservation easement valuation.

## **Funding Options**

There are a variety of State funding sources that may also be available. All other funding sources have their own application process. Please discuss the various options with your Land Trust Representative or the State Forest Legacy Program (FLP) Director or Coordinator.

## **Required Field Visit**

A field visit will be scheduled with the landowner if one has not already been done prior to the submittal of an application. It is the responsibility of the applicant to schedule a field visit prior to submitting an application. The field visit gives the FLP Coordinator an opportunity to ask additional questions and further explain the program to the landowner. It also provides the landowner with a chance to get to

know the FLP Coordinator and ask questions about the program. This is also a good time for the landowner to discuss the legal aspects if s/he has not discussed this with an attorney. The FLP Coordinator will advise the landowner to seek legal counsel if s/he has not already done so and wishes to proceed with the application.

## **Forest Legacy Scoring Criteria**

Forest Legacy applications are scored separately from the Forest Health applications and ranked out of 100 and on how well the project meets the criteria: Importance, Threat, Strategic Value, Readiness, Location, and Matching Funds

More points will be given to projects that demonstrate multiple public benefits of significance. Significance of attributes is demonstrated by the quality and scope of the attributes. More points will be given to projects that exemplify a particular attribute or combination of attributes.

## **Statement of Applicability to Criteria**

Forest Legacy applicants must submit a statement of the proposed project's applicability to four of the Forest Legacy Scoring Criteria: 1) Importance, 2) Threat, 3) Strategic Value, and 4) Readiness. The final two criteria, Location and Matching Funds, will be scored based on information provided in the online application. The Statement of Applicability must be limited to one page, for each of the four criteria (MS Word document, 11- to 12- point Arial font.)

### **1. Importance – 30 points**

This criterion focuses on the attributes of the property and the environmental, social, and economic public benefits gained from the protection and management of the property and its resources. This criterion reflects the ecological assets as well as the economic and social values conserved by the project and its level of significance.

A project that solidly represents a majority of the attributes outlined is viewed as significant because of its strong alignment with the purposes and value to the Forest Legacy Program. A project need not have all the attributes listed to receive maximum points for this category, but projects that contain more attributes will receive a higher score. A project brief that discusses the majority or all the attributes, but demonstrates only limited importance for each attribute, will not receive maximum or perhaps even medium ranking.

- High importance (21-30 points) - The project contains a majority of the attributes and those attributes are very significant and of high-quality.
- Medium (11-20 points) - The project contains a majority of attributes, several of which are very significant and of high-quality.

- Low (0-10 points) - The project contains only a few attributes or it could contain all of them, but does so in a limited, marginal, or tertiary way.

Please note: Discussion about how the project fits within a landscape conservation initiative can also be included under the "strategic" category.

Attributes to consider. The descriptions listed below represent the ideal project for each attribute. Note that the attributes are not listed in priority order.

- A. Economic Benefits from Timber and Potential Forest Productivity - This category includes two independent components: (1) Landowner demonstrates sustainable forest management in accordance with a management plan. Additional points should be given to land that is third party certified (such as Sustainable Forestry Initiative, Forest Stewardship Council, and American Tree Farm System). (2) Forestry activities contribute to the resource-based economy for a community or region.
- B. The property contains characteristics (such as highly productive soils) to sustain a productive forest.
- C. Economic Benefits from Non-Timber Products - Provides non-timber revenue to the local or regional economy through activities such as hunting leases, ranching, non-timber forest products, guided tours (fishing, hunting, birdwatching, etc.), and recreation and tourism (lodging, rentals, bikes, boats, outdoor gear, etc.).
- D. Threatened or Endangered Species Habitat - The site has documented threatened or endangered plants and animals or designated habitat. Documented occurrence and use of the property will be given more consideration in point allocation than if it is habitat without documented occurrence or use. Federal or State listed species occurrences should provide more consideration when evaluating the significance of this attribute.
- E. Fish, Wildlife, Plants, and Unique Forest Communities - The site contains unique forest communities and/or important fish or wildlife habitat as documented by a formal assessment or wildlife conservation plan or strategy developed by a government or a non-governmental organization. The importance of habitat to an international initiative to support and sustain migratory species can be viewed as important if conserving the property will make a significant contribution. The mere occasional use of the property or a modest contribution to an international initiative does not raise the property to a high level of importance.
- F. Water Supply, Aquatic Habitat, and Watershed Protection - (I) Property has a direct relationship with protecting the water supply or watershed, such as

providing a buffer to public drinking water supply, containing an aquifer recharge area, or protecting an ecologically important aquatic or marine area, and/or (2) the property contains important riparian area, wetlands, shorelines, river systems, salmonid habitat or sensitive watershed lands. When allocating points consider the importance of the resource, the scope and scale of the property, and the magnitude and intensity of the benefits that will result from protection of the property. Merely being located within an aquifer recharge area or in a water supply area should not be given the same consideration as a property that makes a significant conservation contribution to water, riparian, and aquatic resources and habitats.

- G. Public Access - Protection of the property will maintain or establish access by the public for recreation; however, restrictions on specific use and location of recreational activities may exist.
- H. Scenic - The site is located within a viewshed of a government designated scenic feature or area (such as a trail, river, or highway). Federal and State designation will be given more consideration when evaluating the significance of this attribute.
- I. Historic/Cultural/Tribal - The site contains features of historical, cultural, and/or tribal significance, formally documented by a government or a non-governmental organization.

## **2. Threat – 20 points**

This criterion estimates the likelihood for conversion. More points will be given to projects that demonstrate multiple conditions; however, a project need not have all the conditions listed to receive maximum points for this category.

During the evaluation of a threat, a landowner interested in conserving their land will not be penalized because they are not marketing their land, have not subdivided their land, or sought approval for a subdivision plan. Also, a property with an approved subdivision plan will not, without question, receive a high score in the Threatened section. The attributes outlined below must be considered to determine if the conditions exist to make conversion of a property likely and points will be allocated accordingly.

If the property has been acquired by a third party with the support of the State, threatened will be evaluated based on the situation prior to the third-party acquisition.

- Likely (11-20 points) - Multiple conditions exist that make conversion to non-forest uses likely;

- Possible (1-10 points) - A few conditions exist that make conversion to non-forest uses possible; or
- Unlikely (0 points) - Current conditions exist that make conversion to non-forest uses unlikely.

Please note: Discussion about what project attributes will be threatened if the project is converted can also be included under the "importance" category.

Attributes to consider: The descriptions listed below represent the ideal project for each attribute. Note that the attributes are not listed in priority order.

- A. Lack of Protection - The lack of temporary or permanent protections (e.g. current zoning, temporary or permanent easements, moratoriums, and encumbrances that limit subdivision or conversion) that currently exists on the property and the likelihood of the threat of conversion.
- B. Land and Landowners Circumstances - Land and landowner circumstances such as property held in an estate, aging landowner, future property by heirs is uncertain, property is for sale or has a sale pending, landowner anticipates owning property for a short duration, landowner has received purchase offers, land has an approved subdivision plan, landowner has sold subdivisions of the property, etc.
- C. Adjacent Land Use - Adjacent land use characteristics such as existing land status, rate of development growth and conversion, rate of population growth (percent change), rate of change in ownership, etc.
- D. Ability to Develop – Physical attributes of the property that will facilitate conversion, such as access, buildable ground, zoning, slope, water/sewer, electricity, etc.

### **3. Strategic Value – 30 points**

This criterion reflects the project's relevance or relationship to conservation efforts on a broader perspective. When evaluating strategic, four considerations should be made: 1) the scale of a conservation initiative, strategy, or plan; 2) the scale of the project's contribution to that initiative, strategy, or plan; 3) the placement of the parcel within the area of the initiative, strategy, or plan; and 4) how the project complements protected lands.

- High (21-30 points) - The property significantly advances a conservation initiative, strategy, or plan and complements protected lands.
- Average (11-20 points) - The property makes a modest contribution to a conservation initiative, strategy, or plan and is near already protected lands.

- Low (0-10 points) - The property is not part of a conservation initiative, strategy, or plan or near already protected lands, but will lead to locally-focused conservation effort.

Please note: The submitted project map should support this category and it is important to make sure the application text and map are consistent.

Attributes to consider: The descriptions listed represent the ideal project for each attribute. Note that the attributes are not listed in priority order.

- A. Conservation Initiative, Strategy, or Plan - How the project fits within a larger conservation plan, strategy, or initiative as designated by either a government or non-governmental entity.
- B. Complement Protected Lands - How the project is strategically linked to enhance already protected lands including past FLP projects, already protected Federal, State, or non-governmental organization lands, or other Federal land protection programs (NRCS, NOAA, etc.).
- C. Anchor point for future initiatives - Does the land represent a potential for a future initiative for protection or is in a region that represents a unique landscape type?

#### **4. Readiness – 6 points**

This criterion is defined as the degree of due diligence completed. To demonstrate project readiness, completed items need to be specified (including completion date) in the application and credit will only be given to those items completed (one point for each completed item, with a maximum of 6 points. Projects with multiple tracts will need to have the majority of their tracts have the task completed before a point is given.):

- Documented support for the cost estimate, such as completed market analysis or preliminary appraisal.
- Cost Share commitment has been obtained from a specified source.
- A signed option or purchase and sales agreement is held by the State or at the request of the State OR At the request of the State, conservation easement or fee title is held by a third party.
- Title search is completed, including identifying any temporary or permanent protections.
- Minerals determination is completed.

- For conservation easement properties, a stewardship plan or multi-resource management plan is completed.

## 5. Project Location – 7 points

Additional scoring is available to California Forest Legacy Program projects that are proposed in locations where Forest Legacy projects are not well represented or established. These are areas of the state that may have high population pressure, rare forest types, exist in isolated regions, or have other values that are not usually considered for their conservation value.

The Forest Legacy program acknowledges that the program scoring criteria includes points for strategic value which benefits already established regional efforts. The program also seeks to encourage and support the creation of new landscape level conservation strategies by offering a scoring advantage to those projects that may serve as an anchor point for future conservation of forested landscapes. Projects can gain up to 7 additional points if they meet both criteria.

- 3 points - Projects that exist in regions where Forest Legacy Program conservation efforts are not established or well represented, and where establishing projects that serve as anchor points for future conservation is important to the Forest Legacy Program.
- 4 points - Projects that exist in the above regions, where a large-scale conservation effort is planned, of which the project in the application is a part. If a project meets this criterion, it will also be awarded the 3 points for the regional location from above for a total of 7 points.

## 6. Matching Funds – 7 points

The Forest Legacy Program seeks to encourage projects to increase the level of matching funding by offering a scoring criterion for increased matching funding. To receive these points, the matching funds must be secured and applications must include the award letters from other funding agencies/entities. Donated easement value also constitutes a match. Landowner donations must include a signed letter from the landowner stating the amount of donation. A total of 7 points is available to projects that meet both criteria.

Note: The landowner may *increase* a donation percentage without consequence however, if the landowner chooses to *decrease* the proposed donation after the application is submitted, the project may be terminated. Donations may constitute a charitable income tax contribution, depending on applicable IRS guidelines and regulations.

- 3 points - Projects that include a match of at least 25% of the value of the easement. This can include secured funding from outside entities, and/or landowner donation.
- 4 points - Projects that include a match of at least 50% of the value of the easement. This can include secured funding from outside entities, and/or landowner donation. If a project meets this criterion, it will also be awarded the 3 points for the 25% match, for a total of 7 points.

## Forest Legacy Application Process

For a Forest Legacy application to be considered complete, applicants must submit the following:

1. [Online application](#) specific to the Forest Legacy Program
2. Statement of Applicability to Forest Legacy Criteria (See pages A-4 to A-8). Saved and submitted to Box.com as 19-FH/FL/RP-UUU-XXX-SOW.doc or .pdf.
3. Required Forest Health attachments (See page 11, “Application Processes”)
4. Draft conservation easement, if applying for funding for a conservation easement
5. Preliminary title report

The Project Application must be received by CAL FIRE no later than **3:00 p.m. PST on December 6, 2019.**

## Forest Legacy Contacts

Stewart McMorrow, Forest Legacy Program Director  
 (530) 226-8940  
[Stewart.McMorrow@fire.ca.gov](mailto:Stewart.McMorrow@fire.ca.gov)

Brook Darley, FLP Coordinator  
 (530) 224-1420 (office),  
 (916) 704-6074 (cell)  
[Brook.Darley@fire.ca.gov](mailto:Brook.Darley@fire.ca.gov).

## Project Funding Process

1. In order for a project to close the project must go through a number of additional steps to ensure that the monies have been spent wisely and to comply with State laws and regulations.

- A current **appraisal** must be conducted by an approved appraiser to State standards.
  - The **appraisal must be reviewed** and approved by the Department of General Services review appraisers.
  - If applicable, a **final conservation easement must be** approved. *(Note: a draft conservation easement must accompany the Project Application for it to be considered complete).*
  - Preliminary **Title Report-** if the title report shows exceptions that would not allow the State to take title (such as surface mineral rights owned by a third party) those exceptions must be removed from title before the purchase of the property interest. This may add years to project completion. *(Note: a preliminary title report is required for all Project Applications).*
  - A **Baseline**, documenting the current property conditions must be done completed and approved by the state before closing the project.
  - A current **Forest Stewardship/Management Plan** or equivalent (e.g., Non-Industrial Timber Management Plan or Ranch Management Plan) must be completed and approved by the state before closing the project. A Timber Harvest Plan is not an acceptable document.
  - Any conservation easement must address requirements in Section 815.11 of the California Civil Code.
  - A **Monitoring Plan** must be developed to State Standards.
  - A **Property Acquisition Agreement** is signed.
  - **Escrow instructions must be** given to the title company.
2. Once all the above have been satisfied an escrow account is opened at a title company and all documents and funds are transferred there.
  3. If due diligence costs are awarded as part of the grant budget, an invoice with supporting documentation must be submitted to CAL FIRE in order to be reimbursed.
  4. A Notice of Unrecorded Grant Agreement (NOUGA) may need to be submitted to CAL FIRE after escrow has closed.

## **APPENDIX B – FOREST HEALTH RESEARCH PROGRAM**

*This content in Appendix B is specific to the Forest Health Research Program*

### **Program Overview**

The Forest Health Research Program (hereafter “Research Program”) was established as part of CAL FIRE’s plan for implementing the California Forest Carbon Plan. It is one of several CAL FIRE programs funded through the California Climate Investments (CCI) program, Greenhouse Gas Reduction Fund. The intent of the Research Program is to identify outstanding questions, prioritize needs, and fund sound scientific studies that support forest landowners, resource agencies, and fire management organizations in California, and to further the goals of the California Forest Carbon Plan, CCI, and AB 32 Global Warming Solutions Act.

The Research Program operates in conjunction with the Forest Health Program, but draws from a separate source of funds. The program, processes and requirements described herein apply only to “stand-alone research” projects, where research-related activities are the only activities proposed. Research activities that are proposed as a component of larger Forest Health Program projects (referred to as “component research”) are not addressed in this appendix, but will instead be evaluated according to the main Forest Health Program procedures and criteria described on pages 6-10 above, and considered collectively with all other management activities proposed for that project.

### **Priority Research Topics**

The following topics have been identified as priorities for study for the Research Program for FY 2019-20. Proposed research must address one or more of these priority topics. Research projects should be focused on and relevant to California ecosystems and their management.

1. Implementation, effectiveness and impacts of significantly increased pace and scale of fuel reduction and forest health treatments;
2. Public health and ecological implications of significantly increased use of prescribed fire and managed wildfire;
3. Utilization of forest residues and forest products related to fuel reduction and forest health treatments;
4. Wildfire mechanics, spread and associated impacts in wildland-urban interface landscapes;
5. Post-wildfire impacts, recovery and resilience in an altered future climate;

6. Natural, historical and contemporary range of variation in fire regimes (i.e. frequency, seasonality, size, spatial complexity, intensity, severity, and fire type) and wildfire-related greenhouse gas emissions in California ecosystems, particularly those less well studied.

## Funding Availability

Stand-alone research projects will be funded from the Research Program budget, which is independent of the larger Forest Health Program budget. The following information applies only to the Research Program for FY 2019-20:

Estimated Total Research Program Funding (subject to change): \$2,000,000

Research Program funding will be allocated to four projects types, approximately as follows (subject to change):

	<b>Research Project Type</b>	<b>Approximate Budget Allocation</b>	<b>Expected Number of Awards</b>	<b>Maximum Award Amount</b>
1	General	\$850,000 (42.5%)	2-3	\$500,000
2	State Forests	\$850,000 (42.5%)	2-3	\$500,000
3	Graduate Student	\$250,000 (12.5%)	2-3	\$150,000
4	Synthesis and Tool Development	\$50,000 (2.5%)	1-2	\$50,000

### Research Project Type Descriptions

- *General:* Projects must include original research, and may occur or focus on any land in California that is relevant to the vision, goals and objectives outlined in the California Forest Carbon Plan, [California Strategic Fire Plan](#), or other large scale forest, fire or ecosystem management planning documents for areas within the state.
- *State Forests:* Projects must include original research, and must include at least one study site on a [Demonstration State Forest](#) or other CAL FIRE-managed land.
- *Graduate Student:* Research proposal must be written by a graduate student, and project must include original research which will be led by the student and contribute both to their program of graduate study and to the goals of the Research Program. Note that grant awards do not go directly to students;

agreements for these grants will typically be between CAL FIRE and the student's academic advisor or university.

- *Synthesis and Tool Development:* Project should be solely or primarily focused on the synthesis of current scientific information and literature, and/or distribution of current scientific data and information for land owners, managers, and the public. Projects funded under this category should not include original research as the core focus. Examples include, but are not limited to literature reviews and development of innovative web tools for accessing data.

### Project Phasing

Due to the constraints associated specifically with Research Program funds, grants that exceed two years in length will need to be funded through multiple grant agreements. Therefore, applicants proposing projects that will include work to be completed after March 31, 2022 should develop projects in 2 distinct phases, as follows.

Phase 1 should be proposed for work for work that will be completed prior to March 31, 2022; Phase 2 should be proposed for work that will be completed between April 1, 2022 and March 31, 2024. For projects that are selected for grant award, CAL FIRE will agree to fund Phase 1, and will fund Phase 2 but is subject to the availability of the Research Program budget in subsequent fiscal years. CAL FIRE will not make awards for which there is not reasonable expectation that both phases can be funded. However, funding for the Research Program is dependent upon the appropriation in the annual State Budget Act, where priorities can change year-over-year. This is not currently expected, but is a possibility of which applicants should be aware.

Upon selection of a Research Program application for award, a grant agreement will be written for Phase 1 of the project during the current fiscal year. An agreement for Phase 2 will be written in a subsequent (usually the next) fiscal year, contingent upon funding availability. Applicants that have been awarded Phase 1 funds will not have to compete for Phase 2 funds. *Applicants requesting funding over two phases will need to submit both the Project Budget and Phase 2 Budget worksheets in the [Excel workbook](#) provided.*

### **Project Eligibility**

All applications will be screened for completeness and whether they meet the Research Program Eligibility Criteria. Applications must be complete and submitted by an eligible applicant before the application deadline in order to be considered. Applications that do not meet the Research Program Eligibility Criteria described below will not be scored against the selection criteria and will not be eligible for award.

#### Research Program Eligibility Criteria

Applications will be evaluated according to the Research Program Eligibility Criteria described below.

- *Eligible Activities*

Original research may be based on empirical data (i.e. collection and analysis of field or remotely sensed data), model development or application, technology development or testing, or any combination thereof. Development and testing of new technologies is allowed, but must be associated with formal scientific investigation and/or hypothesis testing typical of academic research, and provide results appropriate for publication in peer reviewed scientific journals.

Projects may physically manipulate resources (e.g. thinning, prescribed burning, etc.) in an experimental fashion, but any ground disturbing activity must comply with all federal, state and local regulations, including CEQA and NEPA (see Appendix D). While scientific rigor is paramount, research activities themselves must not significantly degrade ecosystem health, function or services over large areas. Applicants must incorporate reasonable and legally required measures to avoid adverse impacts to fish, wildlife and native plant resources in project design and development. A California Registered Professional Forester or NASP-Certified Silviculturist must design and oversee any forest vegetation treatments and removal.

Scientific syntheses and tool development are allowed either as part of original research projects or as the sole or primary focus of the project (see additional information about project types in Funding Availability section above).

Proposals for scientific syntheses such as literature reviews should identify a clear question or set of questions related to the Research Program priority topics, and be directly relevant to long-term forest and fire management strategies, planning and policy for CAL FIRE or other land management agencies. Topics or questions to be reviewed and synthesized should be ones of current importance that have not previously had a publicly available synthesis or literature review performed, or where there has been considerable scientific advancement on the topic since any prior reviews. Proposed tool development must facilitate distribution to and utilization of current scientific information and data to land owners, land management agencies, and the public.

- *Eligible Organizations and Partners*

CAL FIRE will grant to local agencies (e.g. counties and special districts), state agencies including universities and other academic institutions, and federal agencies including federal land management agencies; Native American tribes; private forest landowners; and non-profit 501(c)(3) organizations (e.g. fire safe councils, and land trusts).

- *Eligible Study Areas*

Research projects must be focused on and relevant to California forests and other ecosystems and their management. A significant portion of the geographic area proposed for study must be contained within California. Study areas may include land in adjacent US states, but should be contiguous with and representative of study areas within California. If additional proposed study

areas are outside of California and discontinuous with study areas within California, ample justification must be provided as to why these areas should be included, and how they support project research questions and hypotheses relevant to California ecosystems. Study areas may not be located outside the United States.

- *Greenhouse Gas Emissions Reductions*

Research projects need not demonstrate a direct or immediate GHG benefit on their own, but applicants must provide sound justification within their application as to how the knowledge gained will ultimately result in emissions reductions, improve quantitative assessment of GHG impacts, or improve management actions or policy related to the California Forest Carbon Plan or other State climate mitigation and adaptation strategies. For research projects and activities that CAL FIRE deems may have significant GHG impact, or that physically manipulate carbon on more than 500 acres of ground, grantees may be required to quantify their impact following the CARB-approved methodology, as described in the Forest Health Program guidelines. If funded, CAL FIRE will contact and work with designated grantees to quantify GHG impacts.

- *Project Scale*

Research activities need not be physically of “landscape-scale” or meet the minimum project size under the broader Forest Health Program. However, the information derived must be relevant and ultimately applicable to land management at these scales.

- *Funding Limits*

The maximum allowable request for Research Program projects varies by project type, as follows: 1) General: \$500,000; 2) State Forests: \$500,000; 3) Graduate Student: \$150,000; 4) Synthesis and Tool Development: \$50,000. Please see the information about project types, funding allocations and expected number of awards in the “Funding Availability” section above. There is no minimum allowable request.

- *Partner and Landowner Commitment*

For any on-the-ground activities proposed, applicants must have approval from land owners or managers where the research activities will occur. Applicants must demonstrate that relevant landowners are willing to provide access to study sites and allow proposed research activities to occur. Where persons or organizations other than the primary applicant will do substantive work (either paid, in-kind, or unpaid) critical to the grant deliverables and within the grant period, applicants must list partners and demonstrate their understanding and willingness to participate in the project. A brief, signed letter of commitment from each relevant landowner, land manager or project partner identified in the application should be provided submitted with the online application.

- *Project Readiness*

Where applicable, applicants must be able to complete all environmental

permitting, including fulfilling CEQA/NEPA requirements within one year of executing grant agreement (see Appendix D). Eligible stand-alone research projects must be able to complete grant-related work by March 31, 2024.

- *Eligible Costs*

All eligible and ineligible cost rules listed on pages 20-22 for the Forest Health Program also apply to the Research Program. Additionally, please note the following:

- Tuition and other education-related expenses associated with graduate student research assistantships or equivalent appointments at California public universities (University of California and California State University) are allowed for stand-alone research projects. This applies to both graduate-student led projects (as described above), as well as projects where a graduate student researcher is proposed as a team member under the Principal Investigator. Please list tuition and other non-labor, education-related expenses in the “other” category of the project budget proposal. If labor and tuition/education expenses cannot be split into discrete budget items, list total proposed costs for graduate student research appointments in the “other” category.
- Labor-related expenses (salaries, wages and benefits) for university employees other than official graduate student research appointments (e.g. field or lab technicians), whether at a California public university or other institution, are allowed.
- Costs associated with the development and testing of new technologies is allowed, but must be associated with formal scientific investigation and hypothesis testing typical of academic research, and provide results appropriate for publication in peer reviewed scientific journals.

## **Project Merit**

Complete and eligible applications will be scored as to how well the proposed project fits the purpose, objectives, and priority topics of the Research Program, the soundness of the research plan, compatibility with State fire and land management goals and objectives, and likelihood of project success.

### Scoring Criteria

Applications will be evaluated according to the Research Program Scoring Criteria and maximum possible point values described below (total possible points = 100).

- Problem Statement, Research Questions, and Relevance (20 points)  
Research Program applications should include a clearly articulated problem statement providing context and background for specific research questions posed. Specific research questions to be investigated must be clearly identified, aligned with the current state of science for the topic, and address one or more

of the current priority topics for the Research Program. Priority topics addressed should be identified, and a clear nexus should be made between the research questions posed and the priority topics. A compelling case should be made for how the information gained from the project will further our understanding of one or more of the priority topics, and ultimately provide information useful and relevant to management of California forests or other ecosystems.

- Methodology (20 points)

Research program applications should include a clear description of methods for addressing the research questions posed, including but not limited to study/experimental design, data collection methods, and intended analytics. The methods proposed should be well described, appropriate for addressing the research questions posed, scientifically rigorous and provide for publishable results.

- Workplan and Budget (15 points)

Research Program applications should include clear description of the plan for completing the project, including identification of key project steps or phases, an achievable timeline and list of specific deliverables. Delivery of a final project report and final project data to CAL FIRE must be included in the deliverables. Work plan should include a clear and achievable plan for scientific knowledge transfer, including but not limited to: preparation of refereed scientific journal publications, CAL FIRE or other governmental publications, websites, webinars, and workshops. Project budget should clearly show how grant funds will be spent. Costs should be reasonable in proportion to the proposed deliverables and Statement of Work. The budget must include the cost of the grant minus any income received from the sale of forest products or other goods.

- State and Local Management Plan Relevance (5 points)

Applicants should demonstrate how their activities will ultimately support the goals and objectives of the state, as identified in documents such as the California Forest Carbon Plan, California Strategic Fire Plan, or other landscape conservation and management plans (e.g. Habitat Conservation Plans, Natural Community Conservation Plans, CA Wildlife Action Plan, CA Water Action Plan, Safeguarding California) or collaborative groups (CA Forest Management Task Force, CA Regional Forest and Fire Capacity Program). Applicants may also demonstrate the project's relevance to any local/regional established research and management needs and priorities. For projects occurring on Demonstration State Forests or other state-managed lands, additional consideration will be given to projects that address research needs identified in Demonstration State Forest management plans or identified by the Forest Manager.

- Priority Landscapes and Projects Relevance (5 points)

Research Program applicants should evaluate their proposed study areas against [CAL FIRE-FRAP Priority Landscape Maps](#). Additional consideration will

be given for projects that either take place within one or more high priority landscapes, directly address issues of concern identified therein, or have a clear and demonstrated nexus to one of [CAL FIRE's 35 priority fuel reduction projects](#) or projects identified by the CA Forest Management Task Force [Regional Prioritization Groups](#).

- Greenhouse Gas Benefits (10 points)  
Research Program applications should provide sound and compelling justification for how the knowledge gained will directly or ultimately result in emissions reductions, further quantitative assessment of GHG impacts, or improve ecosystem management or policy in an altered future climate.
- Project Co-Benefits (5 points)  
Applicant should demonstrate how the project relates or contributes to long-term ecosystem management strategies that provide for multiple economic, environmental and/or public health benefits. Research activities need not directly achieve multiple benefits beyond the topic of study, but applicants should justify the importance of the proposed study in the context of multi-objective forest and ecosystem management. Benefits may include, but are not limited to: disadvantaged or low-income community benefits, jobs supported, public health, air quality, water quality and/or yield, fish and wildlife habitats, native plant values and others. Disadvantaged or low-income community benefits should be determined using CAL FIRE's [Evaluation Criteria for Providing Benefits to Priority Populations](#) (Appendix F). Supported Jobs should be calculated using the [CCI Job Co-benefit Modeling Tool](#).
- Applicant History and Qualifications (10 points)  
Research Program applicants should demonstrate a strong history of scientific investigation, as evidenced by successful completion of past projects, grants and peer reviewed publications. Graduate students are not required or expected to have a long history of past projects, but should list or demonstrate the experiences, achievements and skills they possess which will provide for successful completion of their proposed project. Research Program applications must include *Curricula Vitae* for all identified primary project staff and partners, including graduate students.
- Readiness and Legal Requirements (5 points)  
Applicants should demonstrate the capacity to begin work promptly after execution of grant agreement, but no later than 12 months after award, and to complete grant-related work by March 31, 2024. Preference will be given to projects that can begin work immediately, and have completed any required environmental compliance (CEQA, NEPA, etc.) work before the project application is submitted. Any ancillary agreements, sub-awards, MOU's or other documents should be in place prior to commencement of work.

- Project and Personal Support (5 points)  
Research Program applicants should demonstrate support for the proposed project from land owners, managers, agencies and/or subject matter experts beyond simple approval of project activities. At least one signed letter of support for the project or primary project staff should be provided with the application from individuals or organizations other than primary project partners, participants or landowners. For graduate student applicants, this letter should come from their academic advisor, major professor or other guiding academic faculty. Additional letters of support are allowed. Letters should be addressed to: Chief Helge Eng, Deputy Director, Resource Management, California Department of Forestry and Fire Protection.

## **Application Submission Process**

Applicants to the Research Program must follow the three-step application process and deadlines for the Forest Health Program described on page 11 above. Be sure to note requirements specific to Research Program applications.

### Special Requirements for Research Program Applications

In addition to the noted requirements in the Forest Health Application Procedures, please note the following special requirements for Research Program applications.

- *Scope of Work*  
The Scope of Work for Research Program applications will differ from other Forest Health Program applications. The Scope of Work is limited to 10 pages using 11-point or greater Arial font or similar, including figures and tables. It should include the following, at minimum (please note point values listed in the scoring criteria described above):
  - Problem statement, including research questions and/or hypotheses
  - Relevance to Research Program priority topics
  - Methods
  - Workplan, including brief budget summary and timeline (detailed budget and timeline will be supplied separately in required spreadsheet).
  - Knowledge transfer and outreach plan
  - Relevance to state and local plans and strategies
  - Relevance to state priority landscapes and projects
  - Description of greenhouse gas benefits
  - Relevance to long-term forest management and project co-benefits

- List of any citations referenced throughout the document. Include at end of document. *Does not count towards page limit.*
- **Statement of Qualifications**  
The Statement of Qualifications for Research Program applications will differ from other Forest Health Program applications. The Statement of Qualifications is limited to two pages using 11-point or greater Arial font or similar. It should include the following, at a minimum (please note point values listed in the scoring criteria described above):
  - Detail the applicant's ability to complete the project as proposed, identify the resources (staff, partners, contractors) intended to complete the tasks described in the Scope of Work, and explain applicant's expertise or experience completing similar forest management projects.
  - Describe the applicant's readiness, including capacity to begin work promptly after execution of grant agreement, but no later than 12 months after award, and to complete grant-related work by March 31, 2024. Describe status of any required environmental review (CEQA, NEPA, etc.) or other permitting required to begin project work, as well as any hiring, ancillary agreements or sub-awards, or other required steps.
  - Include curricula vitae for Project Manager or Principal Investigator and each primary project partner identified in the application (excluding landowners not otherwise participating in the study.) *Curricula vitae do not count towards page limit.*

## **Application Review and Selection Process**

A list of applications received will be posted on the [Forest Health grants webpage](#) at least 10 business days prior to award.

### Eligibility Review

CAL FIRE will review submitted Research Program applications for completeness and whether they meet the Research Program Eligibility Criteria. Applications must be complete, submitted by an eligible applicant before the application deadline, and meet all Research Program Eligibility Criteria in order to be considered for Merit Review.

### Merit Review

Eligible applications will be reviewed and scored by CAL FIRE staff and an inter-agency panel of reviewers against the Research Program Scoring Criteria.

### Program Review

The highest scoring applications for each Research Program project type will be reviewed by Forest Health Program and Research Program staff. Final awards will be determined based on project scores, program need, funding availability, and relative fit

of the awarded projects to each other and with Research Program goals and priority topics.

CAL FIRE reserves the right to fund projects in total or in part, whichever best serves the objectives of the Research Program. Project applicants that are selected to receive partial funding will be provided additional information on their revised funding amount and any other changes to their application as needed.

#### Award Notification

Project applicants will be notified by mail and email if they have, or have not been, selected to receive funding.

Successful applications will be summarized and posted to CAL FIRE's [Forest Health grants webpage](#) within two weeks of the decision to fund. Applications will be treated in accordance with the Public Records Act requirements, and certain information, subject to those requirements, may be publicly disclosed.

### **General Grant Conditions and Project Administration**

All general conditions and requirements for project administration under the Forest Health Program (see page 18) also apply to the Research Program. In addition, please note the following.

#### Project Reporting

All project reporting requirements for the Forest Health Program also apply to the Research Program. Final reports for Research Program projects should be of similar rigor and quality to a manuscript prepared for a peer-reviewed academic journal, and should include methods, results, and discussion, at a minimum. There is no page limit for Research Program final reports, and as such any photo documentation and relevant supplemental information such as maps, tables and figures that might not otherwise be included in a journal manuscript are allowed and encouraged where deemed important by the Project Manager (Principal Investigator).

#### Scientific Integrity

Scientific integrity is vital to all CAL FIRE activities under which scientific research, data, summaries, syntheses, interpretations, presentations, and/or publications are developed and used. Failure to uphold the highest degree of scientific integrity will result not only in potentially flawed scientific results, interpretations, and applications but will damage CAL FIRE's reputation and ability to uphold the public's trust. All work performed must conform to the highest standards of scientific integrity, as well as all Federal, State and municipal laws. Suspected violations of scientific integrity will be investigated by CAL FIRE staff and may result in cancellation of grant agreement.

#### Site Access

During the grant period, access to research field sites is at the discretion of the Project Manager (Principal Investigator) and shall be coordinated with the owner or manager of the land where the research occurs. Following the conclusion of the grant period,

access to field sites is at the discretion of the owner or manager of the land where the research occurs.

#### Data Management and Use

Scientific findings from publicly funded research should be broadly disseminated and shared with both the funding entity and the general public. Grantees are required to provide CAL FIRE with paper or electronic copies of: datasets; study/plot locations; GPS/GIS information; progress reports; final reports; theses; dissertations; and publications. Grantees must provide for long-term storage and access to these data and records. Interim or preliminary datasets can be shared after quality checking and at the discretion of the Project Manager or Principal Investigator. Final reports, publications and final authoritative datasets may be made publicly available upon the completion of the grant period. All datasets, whether interim or final, should include: metadata; version information, descriptions of sample design and data collection methods; point of contact; and credit to research team and funding sources.

#### Publications

Pursuant to [California Assembly Bill No. 2192](#) (“The California Taxpayer Access to Publicly Funded Research Act”), a grantee that receives funding, in whole or in part, in the form of a research grant from a state agency shall provide for free public access to any publication of a peer-reviewed manuscript describing state-agency-funded knowledge, a state-agency-funded invention, or state-agency-funded technology. Forest Health Program grantees must ensure that an electronic version of peer-reviewed manuscripts is available to CAL FIRE and on an appropriate publicly accessible repository approved by CAL FIRE including, but not limited to, the University of California’s eScholarship Repository at the California Digital Library, or the California State University’s ScholarWorks at the Systemwide Digital Library. Grantees must report to CAL FIRE the final disposition of any peer-reviewed manuscripts arising from the grant work, including, but not limited to, if it was published, date of publication, where it was published, and, after a 12-month time period from official date of publication, where the peer-reviewed manuscript will be available for open access. For other types of publications, including scientific meeting abstracts, the grantee shall comply by providing the manuscript to the CAL FIRE not later than 12 months after the official date of publication.

### **Forest Health Research Program Contacts**

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## APPENDIX C – EXPLANATION OF TERMS

TERM	EXPLANATION
<b>Agreement</b>	A legally binding agreement between the State and another entity.
<b>Amendment</b>	A formal modification or a material change of the agreement, such as term, cost, or scope of work.
<b>Application</b>	The form identified as Attachment A and supporting attachments for grants required by the enabling legislation or program, or both.
<b>Authorized Representative</b>	The designated position identified in a resolution as the agent to sign all required grant documents including, but not limited to, grant agreements, application forms and payment requests.
<b>CEQA</b>	The California Environmental Quality Act is a law establishing policies and procedures requiring 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 a proposed project.
<b>Contractor</b>	An entity contracting with the grantee for services and generally receives a Form 1099 for tax purposes.
<b>Employee</b>	Individuals employed directly by the grantee and generally receives a W-2 for tax purposes.
<b>Forestland</b>	As in Public Resources Code § 4793, land at least 10% occupied by trees of any size that are native to California.
<b>Indirect Costs</b>	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. Indirect costs include salaries and benefits of employees not directly assigned to a project, which provide functions such as personnel, business, information technology or janitorial services, and salaries of supervisors and managers. Indirect costs may only be applied as a % of direct costs within the agreement.

<b>Modification</b>	An informal agreement that moves dollars in the line-item and task budgets not to exceed 10% of the budget line item total grant amount, changes deliverable due dates, or makes a minor change in the work of a grant agreement. It does not require a formal amendment of the grant agreement.
<b>Net GHG Benefit</b>	The sum of the GHG emission reductions and sequestration less any GHG emissions resulting from project implementation.
<b>Non-profit Organization</b>	Any California corporation organized under Section 501(c)(3) of the Federal Internal Revenue Code.
<b>Operating Expenses (Direct Cost)</b>	Any cost that can be specifically identified as generated by, and in accordance with, the provisions or activity requirements of the grant agreement.
<b>Payee Data Record (Std. 204)</b>	A form required for non-governmental entities to establish a vendor number for payment and to have funds encumbered.
<b>Project Performance Period</b>	The Project Performance Period is from the time the Grant Agreement is fully signed to the Agreement termination date. Only eligible costs incurred during the project performance period will be paid by the State.
<b>Project</b>	The activity, activities, or work to be accomplished utilizing grant and matching funds (if applicable).
<b>Project Scope of Work</b>	The detailed description of the proposed tasks identified as Attachment B, as described in enabling legislation and detailed in the grant agreement.
<b>Project Budget Detail</b>	The proposed detailed budget plan identified as Attachment E.
<b>Resolution</b>	A signed resolution by the grantee's governing body, which allows the grantee to sign agreements and amendments for a specific project.

# APPENDIX D – PROJECT BUDGET, TREATMENT AREAS, WORK PLAN, ENVIRONMENTAL COMPLIANCE

Using the [Excel workbook](#) provided on the Forest Health Grants webpage, applicants must complete all worksheets unless otherwise noted (see ReadMe page of the workbook for more information). CAL FIRE reserves the right to fund only a portion of the proposed budget items. Up to 12% of the total direct costs, *excluding equipment costs*, is allowable as indirect costs.

## Worksheet #1: Budget

CAL FIRE Tracking # (as assigned)  
Project Title

CAL FIRE Forest Health Program  
California Climate Investments

Organization

Worksheet 1: Grant Info

Budget Item	Description	Units <i>(if applicable)</i>	Rate <i>(if applicable)</i>	CAL FIRE Grant Share	Program Income	Grantee Match	Total
<b>A. Salaries and Wages</b>							
<i>(Job title/Classification/Role)</i>		<i>(# hours)</i>	<i>(\$/hour)</i>	-	-	-	-
							-
							-
<b>B. Employee Benefits</b>							
<i>(Job title/Classification/Role)</i>		<i>(# hours)</i>	<i>(\$/hour)</i>	-	-	-	-
							-
							-
<b>C. Contractual</b>							
<i>(Role in project)</i>		<i>(e.g., # hours, # acres, # BDT)</i>	<i>(e.g., \$/hour, \$/acre, \$/BDT)</i>	-	-	-	-
							-
							-
<b>D. Travel</b>							
		<i>(e.g., # miles)</i>	<i>(e.g., \$/miles)</i>	-	-	-	-
							-
							-
<b>E. Supplies</b>							
				-	-	-	-
							-
							-
<b>F. Equipment</b>							
				-	-	-	-
							-
							-
<b>G. Other</b>							
				-	-	-	-
							-
							-
<b>TOTAL DIRECT COSTS</b>				-	-	-	-
<b>INDIRECT COSTS</b>		<i>(12% max for CAL FIRE Grant Share and Program Income, excluding equipment)</i>		-			-
<b>TOTAL GRANT PROPOSED COSTS</b>				-	-	-	-

## Worksheet #1B: Phase 2 Budget

Required only from Research Program applicants seeking funding over two phases.  
Forest Health and Legacy applicants need not complete.

CAL FIRE Tracking # (as assigned)  
Project Title

**CAL FIRE Forest Health Program**  
**California Climate Investments**  
*Required only from Research Program applicants seeking  
funding over two phases. Forest Health and Legacy  
applicants need not complete.*

Organization

Worksheet 1: Grant Info

Budget Item	Description	Units <i>(if applicable)</i>	Rate <i>(if applicable)</i>	CAL FIRE Grant Share	Program Income	Grantee Match	Total
<b>A. Salaries and Wages</b>							
<i>(Job title/Classification/Role)</i>		<i>(# hours)</i>	<i>(\$/hour)</i>	-	-	-	-
							-
							-
<b>B. Employee Benefits</b>							
<i>(Job title/Classification/Role)</i>		<i>(# hours)</i>	<i>(\$/hour)</i>	-	-	-	-
							-
							-
<b>C. Contractual</b>							
<i>(Role in project)</i>		<i>(e.g., # hours, # acres, # BDT)</i>	<i>(e.g., \$/hour, \$/acre, \$/BDT)</i>	-	-	-	-
							-
							-
<b>D. Travel</b>							
		<i>(e.g., # miles)</i>	<i>(e.g., \$/miles)</i>	-	-	-	-
							-
							-
<b>E. Supplies</b>							
				-	-	-	-
							-
							-
<b>F. Equipment</b>							
				-	-	-	-
							-
							-
<b>G. Other</b>							
				-	-	-	-
							-
							-
<b>TOTAL DIRECT COSTS</b>				-	-	-	-
<b>INDIRECT COSTS</b>		<i>(12% max for CAL FIRE Grant Share and Program Income, excluding equipment)</i>					
				-	-	-	-
<b>TOTAL GRANT PROPOSED COSTS</b>				-	-	-	-



## Worksheet #3: Work Plan

Complete with appropriate detail describing the phases of work necessary to successfully implement the project.

### Worksheet 3: Work Plan & Timeline

Applicant: \_\_\_\_\_

Application ID: \_\_\_\_\_

**For each project or treatment area included in this application, list the major phases of work show timeline by quart Add more rows if needed. All treatment areas, research, or other projects must be included.**

		2020	2020	2020	2020	2021	2021	2021
Treatment Area	Activity and Treatment Number	Jan-Mar	Apr-Jun	Jul-Sep	Oct-Dec	Jan-Mar	Apr-Jun	Jul-Se
Example Area 1	Planning	X	X	X	X	X		
	Contracting					X	X	
	Treatment 1: site prep by machine pile						X	X
	Treatment 2: planting							
Example Area 2	CEQA	X	X	X	X			
	Planning					X	X	
	Contracting							X
	Treatment 3: understory burn							

# Worksheet #4: Environmental Worksheet

CAL FIRE Tracking # (as assigned)  
Project Title

## Worksheet 4: Environmental Compliance

Date: *(Forest Legacy applicants need not complete, unless forest treatments are being proposed using CCI grant funds.)*

Total funding for completing CEQA in CCI budget (if applicable):

**Environmental Documents Completed and Filed:** Use this form for treatment activities covered by environmental documents that have been completed the State Clearinghouse.

Treatment Area	Treatment Type	Month, Year work will be completed	Lead Agency (federal)	Federal Env'tl. Compliance Doc.	Lead Agency (state)	State Env'tl. Compliance Doc.	Doc #	Date fil
E.g., "Climate Ridge"	E.g., Mastication, reforestation		E.g., USFS	E.g., NEPA	E.g., CAL FIRE	E.g., exemption		

Notes:

**Environmental Documents Not Completed:** Use this form for treatment activities for which environmental documents have NOT been completed.

Treatment Area	Treatment Type	Month, Year work will be completed	Lead Agency (federal)	Federal Document Being Prepared	Lead Agency (state)	State Document Being Prepared	Contractor completing documentation	Comple

Notes:

## APPENDIX E – ENVIRONMENTAL COMPLIANCE

**NOTE:** Grantee must submit proof of California Environmental Quality Act and/or National Environmental Policy Act compliance **within one year** of the execution of the grant agreement. To ensure this occurs in a timely manner, the grantee should contact CAL FIRE environmental compliance staff as soon as possible after receiving the executed agreement.

### CEQA Compliance

- 1) If the applicant or a willing project partner is a public agency, they will assume the role of lead agency. For these projects, CAL FIRE will be a responsible agency, if necessary, and as such will review the lead agency's CEQA documents and any supporting documentation in order to develop its own CEQA findings and make a discretionary decision for a project.
- 2) If the applicant or any project partner is not a public agency, CAL FIRE will assume the role of lead agency. For these projects, the GRANTEE will be required to work with CAL FIRE and provide information as necessary to ensure compliance with CEQA. This includes performing the necessary environmental effects analysis and preparation of environmental documents for projects and following CAL FIRE processes. Grantee will be responsible for the costs of the analyses and document preparation.

### NEPA Compliance

Project work involving Federal actions must comply with NEPA.

If the requirements of Public Resources Code section 4799(d) are met, CEQA may not apply to the project. This means that prescribed fire, thinning, or fuel reduction on federal lands to reduce the risk of high-severity wildfire may not need to comply with CEQA.

For more detailed info on CEQA for CAL FIRE grants, please see [CAL FIRE Forest Health Environmental Compliance](#) on the Forest Health grants website.

## APPENDIX F – PRIORITY POPULATIONS

### Evaluation Criteria for Providing Benefits To Priority Populations CAL FIRE FOREST HEALTH GRANTS



California Climate Investments  
2018 Funding Guidelines  
Benefit Criteria Tables

Project Types:  
**LAND RESTORATION & FOREST HEALTH**  
**LAND CONSERVATION**



As part of California Climate Investments (CCI), a portion of CAL FIRE's Forest Health grants are required to meet minimum levels of investments in projects that benefit residents of disadvantaged communities, low-income communities, and low-income households, collectively referred to as "priority populations."

In order for a project to count toward these minimums it must be located within an identified community and benefit individuals living within that community, or directly benefit residents of low-income households anywhere in the State. In its evaluation of Forest Health applications, CAL FIRE will determine if a project meets the criteria for providing direct, meaningful, and assured benefits to priority populations using the following evaluation approach:

- Step 1: Identify the Priority Population(s).** Be located within a census tract identified as a disadvantaged community or low-income community, or directly benefit residents of a low-income household;
- Step 2: Address a Need.** Meaningfully address an important community or household need for the disadvantaged community, low-income community, or low-income household; and
- Step 3: Provide a Benefit.** Using the evaluation criteria, identify at least one direct, meaningful, and assured benefit that the project provides to priority populations. The benefit provided must directly address the identified need.

Only investments that meet these three criteria will be given full credit (10 points) for the Forest Health Grant Selection Criteria, "Disadvantaged and/or Low Income Community Benefit." CAL FIRE can and will fund projects that otherwise provide meaningful benefits, but do not meet these criteria; however, those projects will not be counted toward CCI investment minimums.

Attached are two criteria tables designed to enable applicants to make an objective "yes" or "no" decision about whether their proposed project provides a benefit to a priority population. The LAND RESTORATION & FOREST HEALTH table is to determine priority population benefit for land management treatment activities, while the LAND CONSERVATION table is to determine the benefit for acquisitions and conservation easements.

CAL FIRE refers to CARB's Funding Guidelines ([www.arb.ca.gov/cci-fundingguidelines](http://www.arb.ca.gov/cci-fundingguidelines)) for direction on how to use these criteria table in program design and implementation, project evaluation, project selection, and reporting.

**Table 1** should be used to evaluate the benefits of all FOREST HEALTH projects

<p><b>Table 1 LAND RESTORATION &amp; FOREST HEALTH:</b> Projects will increase carbon storage through restoration and management of natural lands.</p>
<p>Projects must satisfy the applicable criteria through <b>Step 3</b> to be considered to provide direct, meaningful, and assured benefits to priority populations and count toward CCI's statutory investment minimums. <i>Only those projects that satisfy all three Steps will be given full credit (10 points) for the Forest Health Grant Selection Criteria, "Disadvantaged and/or Low Income Community Benefit."</i></p>
<p><b>Step 1 – Identify the Priority Population(s).</b> Evaluate the project against each of the following criteria. Check all boxes that apply.</p>
<p><b>Note:</b> For this project type, the majority of the project must be located within a disadvantaged or low-income community census tract. An online mapping tool and a "look-up" tool list of "low-income" thresholds by county and household size are available at: <a href="https://www.arb.ca.gov/cci-communityinvestments">https://www.arb.ca.gov/cci-communityinvestments</a>.</p>
<p><input type="checkbox"/> A. Is the project located within the boundaries of a <b>disadvantaged community census tract</b>?</p> <p><input type="checkbox"/> B. Is the project located within the boundaries of a <b>low-income community census tract</b>?</p> <p><input type="checkbox"/> C. Is the project located outside of a disadvantaged community, but <b>within ½-mile of a disadvantaged community and within a low-income community census tract</b>?</p> <p><input type="checkbox"/> D. Is the project located within the boundaries of a <b>low-income household</b>?</p>
<p><i>If a project does not meet at least one of the qualifying criteria in <b>Step 1</b>, the project does not meet the "Disadvantaged and/or Low Income Community Benefit," and no further evaluation is needed. If the project meets at least one <b>Step 1</b> criterion, continue the evaluation in <b>Step 2</b>.</i></p>
<p><b>Step 2 – Address a Need.</b> Identify an important community or household need and evaluate whether the project provides a benefit that meaningfully addresses that need.</p>
<p>To identify a need that the project will address, agencies and/or applicants can use a variety of approaches:</p> <p><input type="checkbox"/> A. <b>Recommended Approach:</b> Host community meetings, workshops, outreach efforts, or public meetings as part of the planning process to engage local residents and community groups for input on community or household needs, and document how the received input was considered in the design and/or selection of projects to address those needs;</p> <p><input type="checkbox"/> B. <b>Recommended Approach:</b> Receive documentation of support from local community-based organizations and/or residents (e.g., letters, emails) identifying a need that the project addresses and demonstrating that the project has broad community support;</p>

## Table 1 Cont'd: LAND RESTORATION & FOREST HEALTH

**Step 2 – Address a Need (continued).** Identify an important community or household need and evaluate whether the project provides a benefit that meaningfully addresses that need.

- C. **Alternative Approach:** Where direct engagement is infeasible, look at the individual factors in [CalEnviroScreen 3.0](#) that are most impacting an identified disadvantaged or low-income community (i.e., factors that score above the 75<sup>th</sup> percentile), and confirm that the project will reduce the impacts of at least one of those factors; or
- D. **Alternative Approach:** Where direct engagement is infeasible, refer to the list of needs for priority populations in [CARB's Funding Guidelines](#) Table 5 (see attached) and confirm that the project addresses at least one listed need.

**Describe identified community or household need(s):**

*If the project addresses a community or household need as described in **Step 2**, proceed to **Step 3**. If the project does not address a community or household need, it will not meet the "Disadvantaged and/or Low Income Community Benefit," and no further evaluation is needed.*

**Step 3 – Provide a Benefit.** Evaluate the project against each of the following criteria to determine if it provides direct, meaningful, and assured benefits to priority populations. The benefit provided must directly address the identified need.

Project must meet at least one of the following benefit criteria:

- A. Project restores a site that allows public access;
- B. Project significantly reduces flood risk to households within one or more disadvantaged or low-income communities;
- C. Project significantly reduces fire risk to households within one or more disadvantaged or low-income communities;
- D. Project provides regular and ongoing educational opportunities through partnerships with schools or non-profit organizations located in disadvantaged or low-income communities and site access to residents of these communities.

*If the project meets the criteria in **Steps 1, 2, and 3**, it will be considered as providing direct, meaningful, and assured benefits to priority populations and will be given full credit (10 points) for the Forest Health Grant Selection Criteria, "Disadvantaged and/or Low Income Community Benefit."*

**Table 2** should be used to evaluate the benefits of all FOREST LEGACY projects

<p><b>Table 2 LAND CONSERVATION:</b> Projects will protect natural and working lands from GHG-intensive development or conversion through acquisition of an agricultural land conservation easement, forest conservation easement or other protective measures such as a change to zoning ordinances, adoption of an urban limit line or agricultural greenbelt.</p>
<p>Projects must satisfy the applicable criteria through <b>Step 3</b> to be considered to provide direct, meaningful, and assured benefits to priority populations and count toward CCI statutory investment minimums. <i>Only those projects that satisfy all three Steps will be given full credit (10 points) for the Forest Health Grant Selection Criteria, "Disadvantaged and/or Low Income Community Benefit."</i></p>
<p><b>Step 1 – Identify the Priority Population(s).</b> Evaluate the project against each of the following criteria. Check all boxes that apply.</p>
<p><u>Note:</u> For this project type, the majority of the project must be located within a disadvantaged or low-income community census tract. An online mapping tool and a "look-up" tool list of "low-income" thresholds by county and household size are available at: <a href="https://www.arb.ca.gov/cci-communityinvestments">https://www.arb.ca.gov/cci-communityinvestments</a>.</p> <p><input type="checkbox"/> A. Is the project located within the boundaries of a <b>disadvantaged community census tract</b>?</p> <p><input type="checkbox"/> B. Is the project located within the boundaries of a <b>low-income community census tract</b>?</p> <p><input type="checkbox"/> C. Is the project located outside of a disadvantaged community, but <b>within ½-mile of a disadvantaged community and within a low-income community census tract</b>?</p> <p><input type="checkbox"/> D. Is the project located within the boundaries of a <b>low-income household</b>?</p>
<p><i>If a project does not meet at least one of the qualifying criteria in <b>Step 1</b>, the project does not meet the "Disadvantaged and/or Low Income Community Benefit," and no further evaluation is needed. If the project meets at least one <b>Step 1</b> criterion, continue the evaluation in <b>Step 2</b>.</i></p>
<p><b>Step 2 – Address a Need.</b> Identify an important community or household need and evaluate whether the project provides a benefit that meaningfully addresses that need.</p>
<p>To identify a need that the project will address, agencies and/or applicants can use a variety of approaches:</p> <p><input type="checkbox"/> A. <b>Recommended Approach:</b> Host community meetings, workshops, outreach efforts, or public meetings as part of the planning process to engage local residents and community groups for input on community or household needs, and document how the received input was considered in the design and/or selection of projects to address those needs;</p> <p><input type="checkbox"/> B. <b>Recommended Approach:</b> Receive documentation of support from local community-based organizations and/or residents (e.g., letters, emails) identifying a need that the project addresses and demonstrating that the project has broad community support;</p>

## Table 2 Cont'd: LAND CONSERVATION

**Step 2 – Address a Need (continued).** Identify an important community or household need and evaluate whether the project provides a benefit that meaningfully addresses that need.

- C. **Alternative Approach:** Where direct engagement is infeasible, look at the individual factors in [CalEnviroScreen 3.0](#) that are most impacting an identified disadvantaged or low-income community (i.e., factors that score above the 75<sup>th</sup> percentile), and confirm that the project will reduce the impacts of at least one of those factors; or
- D. **Alternative Approach:** Where direct engagement is infeasible, refer to the list of common needs for priority populations in [CARB's Funding Guidelines Table 5](#) (attached) and confirm that the project addresses at least one listed need.

**Describe identified community or household need(s):**

*If the project addresses a community or household need as described in **Step 2**, proceed to **Step 3**. If the project does not address a community or household need, it does not meet the "Disadvantaged and/or Low Income Community Benefit," and no further evaluation is needed.*

**Step 3 – Provide a Benefit.** Evaluate the project against each of the following criteria to determine if it provides direct, meaningful, and assured benefits to priority populations. The benefit provided must directly address the identified need.

Project must meet at least one of the following benefit criteria:

- A. Project preserves a site that allows public access;
- B. Project significantly reduces flood risk to households within one or more disadvantaged or low-income communities;
- C. Project maintains water quality and health of watersheds serving priority populations through avoiding the conversion of forest lands or wetlands that would have resulted in impacts to nearby water bodies located in the same or a directly adjacent disadvantaged or low-income community as the project;
- D. Project increases food access to priority populations through regular farmers markets, donations to food banks or distribution centers serving residents of disadvantaged or low-income communities, or low-income households;
- E. Project provides regular and ongoing educational opportunities through partnerships with schools or non-profit organizations located in disadvantaged or low-income communities and site access to residents of these communities.

*If the project meets the criteria in **Steps 1, 2, and 3**, it will be considered as providing direct, meaningful, and assured benefits to priority populations and will be given full credit (10 points) for the Forest Health Grant Selection Criteria, "Disadvantaged and/or Low Income Community Benefit."*

**California Air Resources Board (CARB)  
2018 Funding Guidelines**

**Table 5. Examples of Common Needs of Priority Populations**

<b>Public Health</b>
<ol style="list-style-type: none"> <li>1. Reduce health harms (e.g., asthma) suffered disproportionately by priority populations due to air pollutants.</li> <li>2. Reduce health harms (e.g., obesity) suffered disproportionately by priority populations due to the built environment (e.g., provide active transportation, parks, playgrounds).</li> <li>3. Increase community safety.</li> <li>4. Reduce heat-related illnesses and increase thermal comfort (e.g., weatherization and solar energy can provide more efficient and affordable air-conditioning; urban forestry can reduce heat-island effect).</li> <li>5. Increase access to parks, greenways, open space, and other community assets.</li> </ol>
<b>Economic</b>
<ol style="list-style-type: none"> <li>1. Create quality jobs and increase family income (e.g., targeted hiring for living-wage jobs that provide access to health insurance and retirement benefits with long-term job retention, using project labor agreements with targeted hire commitments, community benefit agreements, community workforce agreements, partnerships with community-based workforce development and job training entities, State-certified community conservation corps).</li> <li>2. Increase job readiness and career opportunities (e.g., workforce development programs, on-the-job training, industry-recognized certifications).</li> <li>3. Revitalize local economies (e.g., increased use of local businesses) and support California-based small businesses.</li> <li>4. Reduce housing costs (e.g., affordable housing).</li> <li>5. Reduce transportation costs (e.g., free or reduced cost transit passes) and improve access to public transportation (e.g., new services in under-served communities).</li> <li>6. Reduce energy costs for residents (e.g., weatherization, solar).</li> <li>7. Improve transit service levels and reliability on systems/routes that have high use by disadvantaged and/or low-income community residents or low-income riders.</li> <li>8. Bring jobs and housing closer together (e.g., affordable housing in transit-oriented development and in healthy, high-opportunity neighborhoods).</li> <li>9. Preserve community stability and maintain housing affordability for low-income households (e.g., prioritize projects in jurisdictions with anti-displacement policies).</li> <li>10. Provide educational and community capacity building opportunities through community engagement and leadership.</li> </ol>
<b>Environmental</b>
<ol style="list-style-type: none"> <li>1. Reduce exposure to local environmental contaminants, such as toxic air contaminants, criteria air pollutants, and drinking water contaminants (e.g., provide a buffer between bike/walk paths and transportation corridors).</li> <li>2. Prioritize zero-emission vehicle projects for areas with high diesel air pollution, especially around schools or other sensitive populations with near-roadway exposure.</li> <li>3. Reduce exposure to pesticides in communities near agricultural operations.</li> <li>4. Greening communities through restoring local ecosystems and planting of native species, improving aesthetics of the landscape, and/or increasing public access for recreation.</li> </ol>

## APPENDIX G – SAMPLE RESOLUTION

A signed resolution, similar to this [sample](#), will be required prior to the signing of a Grant Agreement. Applicants are encouraged to submit a draft resolution with the Project application. Resolutions are required from non-profit and local agency applicants only.

### RESOLUTION (non-profit applicants must have resolution signature notarized)

**NOTE: DO NOT CHANGE THE FORMAT OR VERBIAGE IN THIS RESOLUTION FORMAT WITHOUT WRITTEN APPROVAL OF CAL FIRE STAFF.**

Resolution No.: \_\_\_\_\_

RESOLUTION OF THE \_\_\_\_\_ (Title of Governing Body/City Council/ Board of Supervisor/Board of Directors) OF \_\_\_\_\_ (City/County/District/Not-for-Profit/etc.) FOR FUNDING FROM THE FOREST HEALTH GRANT PROGRAM AS PROVIDED THROUGH CALIFORNIA CLIMATE INVESTMENTS.

WHEREAS, the Governor of the State of California in cooperation with the California State Legislature has enacted State of California Greenhouse Gas Reduction Funding, which provides funds to the State of California and its political subdivisions for California Climate Investments, including forest health 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, non-profit organizations, and others 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 a forest health project;

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

1. Approved the filing of an application for "California Climate Investments" Forest Health 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 (Governing Body) are available to begin the project.
4. Certifies that said applicant will expend grant funds prior to **March 30, 2024**.
5. Appoints (Position Title #1), (Position Title #2), or a 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 and so on, which may be necessary for the completion of the aforementioned project.

Approved and adopted the \_\_\_\_\_ day of \_\_\_\_\_, 20\_\_\_\_. I, the undersigned, hereby certify

that the foregoing Resolution, number \_\_\_\_\_ was duly adopted by the following roll call vote:  
(City Council/Board of Supervisor/Board of Directors)

Ayes: \_\_\_\_\_ Noes: \_\_\_\_\_ Absent: \_\_\_\_\_ \_\_\_\_\_ (Clerk) Notarized Seal:

## APPENDIX H – SAMPLE INVOICE

All Grantees will be required to submit invoices in a format similar to this [sample](#).

**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:  
ADDRESS  
CITY, STATE, ZIP CODE

DATE: MM/DD/YYYY  
INVOICE #:

Grant Number: 8XX17XXX  
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	CURRENT MATCH	MATCH TO DATE
Salaries and Wages					
Employee Benefits					
Contractual					
Travel					
Supplies					
Equipment					
Other					
Indirect Cost 10%					
<b>TOTAL</b>	-	\$ -	\$ -	\$ -	\$ -
Less Outstanding Advance					
Less Program Income					
<b>CURRENT DUE</b>		<b>\$ -</b>			

- 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 #