

**California Department of Forestry and Fire Protection  
2021/2022  
Urban and Community Forestry Program  
Grant Guidelines**



*CAL FIRE will offer online workshops on the entire grant application and administration process for all prospective applicants. Please visit the link below for dates, times, and locations of these workshops or contact your Regional Urban Forester (Appendix G) for details.*

*CAL FIRE has a list-serve portal for interested members of the public to receive UCF grant program updates, UCF program activities or other notable events. Use the link provided below to subscribe to email updates on Urban and Community Forestry Program Grants.*

**[Urban and Community Forestry Grants Email Updates](#)**

*Important due dates for this grant cycle are posted and may be updated periodically at this link:*

**[CAL FIRE Urban and Community Forestry Grants Web Page](#)**

**Grant programs authorized by:**

The California Urban Forestry Act of 1978 (*Public Resources Code § 4799.06 – 4799.12*). A copy of which can be found in the "California Law" tab at: [CA Legislative Bill Search](#).

**CONCEPT PROPOSALS DUE: July 14, 2021 by 3:00 PM PDT**

*Note: These guidelines may be modified if any additional conditions or criteria are required of CAL FIRE. Check back regularly for any updates prior to the due dates.*

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**OVERVIEW OF 2021-2022**  
**URBAN AND COMMUNITY FORESTRY PROGRAM GRANT PROGRAMS**

**PICKING A GRANT PROGRAM**

The CAL FIRE Urban & Community Forestry Program works to optimize the benefits of trees and related vegetation through multiple objective projects as specified in the California Urban Forestry Act of 1978 (Public Resources Code 4799.06-4799.12).

The California Natural Resources Agency has an [Urban Greening Grant Program](#) that may also be of interest to applicants. Urban Greening projects result in the conversion of an existing built environment into green space that uses natural and green infrastructure approaches to create sustainable and vibrant communities. While there is some overlap between the two grant programs, most projects will better fit into one or the other program. If you are unsure of which program is a better fit for your project, please ask CAL FIRE staff (Appendix G) and/or staff from the California Natural Resources Agency for assistance in deciding as to which program best fits your project.

**INTRODUCTION**

**CAL FIRE 2021/2022 URBAN AND COMMUNITY FORESTRY PROGRAM GRANT GUIDELINES**

These grant guidelines include information for the use of funds from the State of California General Fund. These projects further the goals of the California Global Warming Solutions Act of 2006 (AB 32) and provide environmental services and cost-effective solutions to the needs of urban communities and local agencies. Benefits of the projects include reduced greenhouse gas (GHG) emissions, increased water supply, clean air and water, reduced energy use, flood and storm water management, recreation, urban revitalization, improved public health, and producing useful products such as bio-fuel, clean energy, high quality wood and job creation. Projects may provide a combination of these co-benefits or other co-benefits not mentioned, or even benefits that are not yet clearly defined. Urban and Community Forestry efforts play a significant role in meeting the State's GHG emission reduction targets. CAL FIRE encourages resident participation in the development and implementation of each project, although due to the size and complexity of projects, applicants are limited to local government agencies and non-profit organizations.

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

CAL FIRE has prepared this guide to assist eligible local government and non-profit entities in applying for and implementing grants from the CAL FIRE Urban & Community Forestry Program. CAL FIRE offers these grants to eligible applicants on an annual basis, as funding permits. These grants are designed to assist communities to create or implement multi-benefit projects with a focus on environmental, economic and social benefits to urban communities with an emphasis on disadvantaged and low-income communities.

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

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

## GENERAL ELIGIBILITY CRITERIA

The eligibility criteria for grants may vary and it is important that all applicants determine their eligibility prior to beginning the application process. Detailed eligibility information is available for each Urban and Community Forestry project type in these guidelines.

To be eligible for funding under this program:

- The applying organization must be one of the following: a city, a county, a qualifying district or a non-profit organization as classified under Section 501C(3) of the Internal Revenue Code.
- A project that will reduce greenhouse gas (GHG) emissions must report those GHG reductions using the most up to date version of the California Air Resources Board (CARB) [Quantification Methodology for the Urban and Community Forestry Program](#).
- All projects shall be designed to further the goals of the California Urban Forestry Act of 1978.
- All grants must include a justification for the grant amount requested. If applicable, the methodology must include the cost of the grant minus any income from products or other revenues received from the grant implementation.
- Projects selected for funding shall report to CAL FIRE at least every six months on project status and benefits consistent with the reporting requirements. These reporting requirements are captured in Appendix E.
- The project area must be in an urban area or immediately adjacent to an urban area. Urban areas, for the purposes of these guidelines, are “urban areas” and “urban clusters” as currently defined by the United States Census Bureau. You can find these definitions at [United States Census Bureau's Urban and Rural Definitions](#).
- Projects must show that they have authentically engaged the local community to develop the project.
- Projects must have multiple benefits (including but not limited to: economic, environmental and social) to the community. Such benefits must be optimized.
- All projects must produce a finished and usable product, report, and/or action.
- Grants cannot finance any undertaking or complete any practice designed to supplant rather than supplement existing local agency activities. Such ineligible practices shall consist of any request that CAL FIRE furnish grants to take the place of a regular or ongoing fiscal commitment to a program or project by a local government.
- Any practices that are required as mitigation of any kind may not be financed by this grant program.

Specific criteria pertaining to each grant type are listed starting on page 20.

## GENERAL GUIDELINES

CAL FIRE Regional Urban Foresters are available for advice and technical expertise in planning of projects. They will not provide any guidance that will improve competitiveness of a project, but can assist in answering procedural questions, questions about requirements, and urban forestry technical advice. See Appendix G for a list of CAL FIRE Regional Urban Foresters.

Funding of the projects awarded by the CAL FIRE Urban & Community Forestry Program is subject to availability of funds and approval of the Budget Act each fiscal year (July 1-June 30). Grant Agreements for grant awards may not be in place until the following spring or later, so please plan project timelines accordingly. Projects must be completed by **March 30, 2025** at the latest. If selected, the project applicant shall comply with all applicable federal, state, and local laws, rules, regulations and ordinances in carrying out the grant project.

An applying entity may only submit up to three total grant proposals for consideration, regardless of grant type or funding source. Each project should be unique and be easily distinguished from an entity's other applications.

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

### Priority Populations

For 2021/2022, 75% of the appropriation for this grant program will be expended on projects meeting the ARB criteria for being located within AB 1550 disadvantaged communities.

As directed by AB 1550, Cal EPA has identified disadvantaged communities, low-income communities, low-income households statewide, and low-income community and low-income households that are within ½-mile of a disadvantaged community for investment. Disadvantaged communities are those areas that are disproportionately affected by multiple types of pollution and areas with vulnerable populations. Low-income communities and low-income households are those that are either at or below 80 percent of the statewide median income, or at or below the threshold designated as low-income by the California Department of Housing and Community Development's (HCD) 2016 State Income Limits. Cal EPA uses [CalEnviroScreen 3.0](#) to identify disadvantaged communities, low-income communities, and low-income households.

Maps that show the disadvantaged community and low-income community census tracts and those tracts with a ½ mile around the tract boundary are at: [ARB Community Investments](#). Applicants should use these maps to determine if a proposed project meets the criteria for being located within a disadvantaged community or a low-income community. Additional information on the identification of disadvantaged communities is available at [CalEPA GHG Invest](#).

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

community need addressed was determined. CAL FIRE may allow projects serving disadvantaged and/or low-income communities to have matching requirements reduced or waived and potentially receive post-grant period maintenance funding (depending on grant type, eligibility and project performance, must be budgeted for upon application). Check out [ARB's quantification, benefits, and reporting materials](#). Scroll down to the California Department of Forestry and Fire Protection and look for the urban forestry materials.

Proof will be required at the project application submittal stage and any application not meeting their status claims will be rejected. Funding recipients will need to report on how the project benefits have addressed the identified community need.

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

### Job Creation and Workforce Development

Any projects that provide job training, workforce development, or direct jobs must report on them in the grant progress report (for content, see Appendix E). CAL FIRE will use ARB guidance on jobs criteria at: [ARB's Criteria Table for Jobs](#). See the Urban Forestry Education and Workforce Development Grant Type on Page 29.

### Greenhouse Gas Reduction Methodology

All projects that reduce GHG emissions must quantify those reductions using CARB's most current version of the Quantification Methodology for Urban Forestry projects that will be posted at: [ARB'S CCI Quantification, Benefits, and Reporting Materials](#).

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

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

### Project Timeline

- All project work completed by: **March 30, 2025**
- Projects to be fully invoiced by: **April 30, 2025**

## GRANT APPLICATION PROCESS

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

[CAL FIRE Urban and Community Forestry Grant Programs](#)

### **Concept proposal (see Appendix A):**

Year-round:

Applicants may work with local CAL FIRE Urban & Community Forestry Staff to develop concept proposals.

Start of process:

Final Guidelines will be posted on the CAL FIRE Urban & Community Forestry web site. Eligible applicants should check the Urban and Community Forestry Grant web site to see what types of grants will be available, a schedule of upcoming workshops, and to determine whether their proposed project could be funded. Applicants are highly encouraged to subscribe for e-mail Updates at the link at the bottom of [CAL FIRE Grants](#).

Approximately two months after start of process:

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

Approximately one month after concept proposal due date:

Review and scoring will typically be completed. CAL FIRE will determine which concept proposals will be selected for development into project applications. CAL FIRE will notify applicants via email if their concept proposal has been invited or not. Those that are successful will be invited to submit a project application. If the concept proposal is ineligible, the applicant will be contacted as to why it was determined to be ineligible.

### **Project application package:**

Approximately two months after project application invitation:

Applicants will submit their project applications to CAL FIRE as instructed in their letter of invitation and by the due date set in the letter.

Approximately one month after project application due date:

Review of project applications will be completed as soon as reasonably possible. Applicants are notified via email about if their project application has been approved, deferred, or not approved. CAL FIRE staff will begin grant agreement preparation for those that are approved. Grant Agreement preparation may necessitate minor alterations to submitted applications. Note: Delays can occur if the State budget is not in place or authorization for CAL FIRE to award grants is not received by this time.



ASAP thereafter:

A Grant Agreement is sent electronically to the applicant. The applicant returns a digitally signed copy of the Grant Agreement document to the CAL FIRE Grants Management Unit within 10 business days.

Normally, within two weeks of a signed grant agreement being returned to CAL FIRE for signature, the grant agreement is signed and fully executed. CAL FIRE will notify the Grantee of the approved agreement. DO NOT start work on a project until you have:

1. A fully signed and executed grant agreement and a
2. Completed a pre-operational meeting with CAL FIRE Regional Urban Forester Staff.

## Application Steps

### Step 1: Concept Proposal (see Appendix A)

The first step is to complete a concept proposal. Complete the online application form and follow the format, and directions about character and format limitations, etc. Failure to fully complete the application form will result in rejection of the application. Failure to follow the required guidelines, funding limits, or modifying the application form will also result in rejection of the application. The concept proposal form can be found at: [CAL FIRE Urban and Community Forestry Grant Programs](#)

Concept proposals must be submitted using the online format no later than **3:00 PM PDT on July 14, 2021.**

Submissions other than in the provided online format will not be accepted.

Do not send unsolicited materials. Doing so will result in rejection of the concept proposal.

In the case of technical difficulties or an inability to utilize the online format, please contact your CAL FIRE Regional Urban Forester (see Appendix G).

Late submissions will be rejected. No exceptions. Late is defined as: after 3:00 PM PDT on the due date – as determined by application submittal timestamp

It is recommended that you look at the online form and then copy and paste it into a word processing document. Then develop your answers to the lengthier questions in the word processing document. You can then cut and paste answers into the online form easily and in a short amount of time. Once submitted, you should receive an automated reply that is your proof of application receipt. If you do not receive a reply, contact CAL FIRE staff.

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

If the concept proposal is found incomplete in a material way or the proposed project is not eligible for a grant, the applicant will be informed that the concept proposal is ineligible and be provided a reason or reasons for the determination. Only when a concept proposal is complete and the project is



deemed eligible for a grant, will CAL FIRE staff file the concept proposal for consideration in the scoring process.

CAL FIRE will then post, on the CAL FIRE web site, basic information about the concept proposals that are submitted for consideration at least 10 days before making decisions on inviting applicants to submit project applications. For each concept proposal, this will include: the name of the applying organization, a brief project description, a project location, the amount of funding requested, and if the project will be in a disadvantaged community or provide benefits to a disadvantaged community.

The concept proposal will then be scored using the process and criteria explained later in this document (see Grant Review Process section, page 12). If the concept proposal scores high enough, the applicant will be asked to complete a project application.

#### *Concept Proposal Notification:*

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

Approval of a concept proposal is not a guarantee that your proposed project will be funded. Typically, significantly more projects are invited to submit for the project application stage than the funding budget allows. Therefore, the process is still very competitive at this step.

### Step 2: Project Application

#### *Project Application Due Date:*

Due dates will vary from year to year. If a concept proposal is approved, a letter will be emailed to the applicant. The letter will identify an Application Tracking ID and specify the due date and required documents for the project application. Please include the Application Tracking ID on all documents and correspondence related to the project application.

#### *Project Application Package:*

Applicants that are invited to submit a project application can obtain the project application format from the appropriate CAL FIRE Urban & Community Forestry Program Staff in Appendix G. No alterations or adjustments can be made to the electronic project application. In addition, non-project-specific technical assistance can be provided, and procedural questions answered by the Regional Urban Foresters. All such questions and answers will also be posted online at the following location: [CAL FIRE Urban and Community Forestry Grant Programs](#)

#### *How to submit:*

CAL FIRE will send an invitation to a SharePoint folder to the individual who submitted the concept proposal. A separate SharePoint folder will be set-up for each concept proposal invited to submit a project application. The applicant may request additional individuals to be invited to access the SharePoint folder by sending the request to [CALFIRE.Grants@fire.ca.gov](mailto:CALFIRE.Grants@fire.ca.gov). The request should identify the assigned application tracking ID and email addresses of individuals that will need access

to the folder. Submittal of electronic documents via 3<sup>rd</sup> party document sharing sites (e.g. Dropbox, Google drive, etc.) will not be accepted.

A completed unsigned electronic project application sent to CAL FIRE must be saved in the fillable format (i.e. the cells are still active or “blue”). In addition, one signed scanned copy of the project application, including all required or requested supporting materials, formatted for printing on standard 8 ½ x 11 paper must be saved to the SharePoint site prior to the application deadline. Digital signatures such as those via DocuSign or Adobe Acrobat Reader DC will be acceptable.

CAL FIRE will then post, on the CAL FIRE web site, basic information about the project applications that are submitted for consideration at least 10 days before making decisions on funding awards. For each project application, this will include: the name of the applying organization, a brief project description, a project location, the amount of funding requested, and if the project will be in and/or provide benefits to a disadvantaged or low-income community.

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

#### *Notification for Project Applications:*

Following project application submission and acceptance, applicants will be notified of the final grant selections as soon as the State’s fiscal circumstances allow, and authority to award funds is given to CAL FIRE. Quality project applications that are not able to be funded may be held by CAL FIRE in case additional funding is made available.

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

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

#### *Complete the Project Application Form:*

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

Descriptions must be sufficiently detailed regarding overall work proposed and include costs of each proposed task for CAL FIRE to: 1) write a grant agreement with measurable and quantifiable objectives, and 2) perform a cost analysis of proposed work during the proposal evaluation process. Remember, the requested grant amount may not be increased from the concept proposal, but may be decreased if the applicant so desires, or if required by CAL FIRE.

Do not modify the project application to allow more text than space allowable as that text will not be evaluated.

*Calculation of Greenhouse Gas Emission Reduction Resulting from the Project:*

When a project will reduce GHG emissions, the applicant must demonstrate that the project achieves and maintains a net reduction in greenhouse gas (GHG) emissions calculated using ARB's most current quantification methodology for the project type.

*Complete and Accurate Budget (Appendix B):*

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

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

When preparing the budget, while CAL FIRE realizes that budgets included in the application are estimated costs, it is important to keep in mind any increases due to inflation, labor costs, import taxes, or any other costs that may be unanticipated. Most proposed projects are multi-year projects and therefore costs could be subject to yearly increases. The total grant award amount requested cannot increase once a grant has been executed therefore it is important that applicants take this into consideration and estimate costs appropriately when creating the budget.

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

Matching requirements for State funds may be met with in-kind activities or materials related to the project, as well as with any State funding source related to the project that is not the same as the State source of funding awarded by CAL FIRE. For example, bond funds from another state agency grant program may be used as match for a grant funded with state general funds or California Climate Investment funds.

Please note, if your non-profit is working in DACs and wants to apply for enhanced maintenance funding to fund maintenance beyond the grant period, it must be included in the budget and the budget explanation section of the project application. Enhanced maintenance should be done for all project trees if it is requested.

### **Required Supporting Materials and Forms (see Appendices B, C, and D):**

The forms and supporting materials listed in the Appendices and on the project application form must be submitted with the project application. Failure to submit all forms shall result in funds not being awarded.

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

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

## **THE GRANT REVIEW PROCESS**

It is important to note that both concept proposals and project applications are reviewed and scored independently by numerous individuals. These individuals may or may not be familiar with your organization, past work, or project area. To avoid any sort of bias, grant reviewers are instructed that nothing can be considered for concept proposal scoring or project application prioritization if it is not represented on the concept proposal form itself or, for project applications, the project application form and supporting documentation.

### **Concept Proposal Review:**

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

Proposals are evaluated and scored based on specific criteria in these grant guidelines and in some cases (where referenced), criteria from ARB's Funding Guidelines. The information in the grant type sections of this document (Pages 20-31) are the most specific information and reflect the criteria that scoring will be based on.

CAL FIRE strives to provide an objective and un-biased grant review process. To those ends, each concept proposal is reviewed and scored by each member of the review team. If any individual reviewer has a potential for bias with an applicant, they will be recused from that review. Each reviewer reads and scores the concept proposals using the same scoring form and independently of the other reviewers. Proposals are not discussed amongst grant reviewers until after scores are submitted by all reviewers. As an additional bias avoidance measure, the high and low score for

each concept proposal are dropped, and the remaining scores are averaged to achieve the overall score for the concept proposal. The highest scoring concept proposals are invited to continue in the process to a cutoff point that is determined by the relative strength of the proposals submitted for each grant project type and based upon how much funding is available for grant awards in that fiscal year. CAL FIRE typically invites back at least twice the number of projects as it will ultimately be able to fund.

**Project Application Review:**

Once project application packages are submitted and deemed to be complete, they are recorded. The review team then meets and uses a pre-determined set of prioritization criteria to determine which projects are of the highest priority for funding. These criteria are reflective of information found in these grant guidelines, the California Urban Forestry Act, and criteria from ARB’s Funding Guidelines. The most detailed information on prioritization criteria is presented in the sections below (Pages 20-31) for each grant type. If none of the applications are deemed adequate to be eligible for grant funding, a new solicitation will be prepared.

Request for Record Review:

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

Final Decision by the Director of CAL FIRE:

If the Director finds that the decision to reject the application conforms to these guidelines and the Urban Forestry Act, the Director shall uphold the decision. If the Director finds that the decision to reject the application does not conform to these guidelines or the Act, the Director may approve the application.

**EXPLANATION OF TERMS**

<b>TERM</b>	<b>EXPLANATION</b>
<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, more than 10% of a primary budget category cost, or scope of work.
<b>Application</b>	The term “Application” means the individual application form identified as Attachment A and its required supporting attachments for grants pursuant to the enabling legislation and/or program.
<b>Appropriation</b>	A Legislative budget authorization from a specific fund to a specific agency or program to make expenditures or incur obligations for a specific purpose and time period.
<b>Authorized Representative</b>	The designated position identified by the resolution as the agent to sign all required grant documents including, but not limited to, Grant Agreements, Application forms (Attachment A) and payment requests.
<b>CEQA</b>	The California Environmental Quality Act as stated in the Public Resources Code Section 21000 et seq.; Title 14 California Code of Regulations Section 15000 et seq. CEQA is a law establishing policies and procedures that require agencies to identify, disclose to decision makers and the public, and

	attempt to lessen significant impacts to environmental resources that may result from the agency's proposed Project. For more information refer to <a href="http://ceres.ca.gov/ceqa/">http://ceres.ca.gov/ceqa/</a> .
<b>Co-benefit</b>	Benefit, other than GHG emission reductions, that results from GGRF investments. Co-benefits may be environmental, social, or economic.
<b>Consultant Services</b>	Services which provide a recommended course of action or personal expertise, such as accounting, consulting environmental professionals, etc.
<b>Contractor</b>	An entity contracting with the grantee for services and generally receives a Form 1099 for tax purposes.
<b>Disadvantaged Community</b>	Areas that are disproportionately affected by multiple types of pollution and areas with vulnerable populations. The Secretary for Environmental Protection at CalEPA is responsible for identifying disadvantaged communities for all CCI investments. For additional information, please refer to: <a href="#">CalEPA's GHG Invest</a> .
<b>Employee</b>	Individuals employed directly by the grantee and generally receives a W-2 for tax purposes.
<b>Encumbrance</b>	A commitment of funds guaranteeing a source of payment for a specific agreement.
<b>Execution of an Agreement</b>	The act of signing an agreement, which provides a legal basis for required performance by parties to the agreement.
<b>GHG reductions or Net GHG benefit</b>	The sum of the GHG emission reductions and sequestration, less any GHG emissions resulting from project implementation. GHG emission reductions and net benefits are determined in accordance with ARB's quantification methodologies.
<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. Examples of Indirect Costs include salaries and benefits of employees not directly assigned to a Project; functions such as personnel, business services, information technology, janitorial, and salaries of supervisors and managers. <u>Indirect costs may only be applied as a % of direct costs within the agreement, cannot be applied towards equipment costs and cannot exceed 12%.</u>
<b>Low-income Community</b>	Communities that are either at or below 80 percent of the statewide median income, or at or below the threshold designated as low-income by the California Department of Housing and Community Development's (HCD) 2016 State Income Limits. The Secretary for Environmental Protection at CalEPA is responsible for identifying low-income communities for the purpose of CCI investments. For additional information, please refer to: <a href="#">CalEPA's GHG Invest</a> .
<b>Minor Equipment</b>	Equipment costing less than \$5,000 per unit and typically having a lifespan longer than the term of the grant. Minor equipment includes such items as digital cameras used to document project pre and post conditions, global positioning systems (GPS), etc. <u>Only Minor equipment will be eligible for application towards Indirect Costs calculations.</u>

<b>Modification</b>	An agreement modification is an informal agreement that moves dollars in the line item and task budgets not to exceed 10% of a primary budget line item, changes deliverable due dates, or makes a minor change in the work in accordance with the intent of the legislation. It does not require a formal amendment of the grant agreement.
<b>Non-Profit Organization</b>	Any California corporation organized under Sections 501(c) (3) of the Federal Internal Revenue Code. A letter of determination certifying non-profit status will be required prior to project approval.
<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 agreement.
<b>Personnel Services</b>	This budgeted amount includes salaries and benefits for wage earning personnel employed by the grantee/contractor (not a subcontractor) and working on the project.
<b>Project Performance Period</b>	The time-period, as described in the Project Scope of Work, when costs may be incurred. Only Eligible Costs incurred during the Project Performance Period will be paid by the State.
<b>Project</b>	The term "Project" means the activity or work to be accomplished utilizing grant funds and match (if applicable).
<b>Project Scope of Work</b>	The term "Project Scope of Work" as used herein defines the individual scope of work or activity describing in detail the proposed tasks identified as described in enabling legislation and in the Concept proposal and/or Project Proposal.
<b>Project Budget Detail</b>	The term "Project Budget Detail" as used herein defines the proposed detailed budget plan identified in Appendix B.
<b>Resolution</b>	The purpose of a resolution by a Grantee's governing body is to allow the entity to sign agreements and amendments for a specific project; i.e., it allows the designated entity to enter an agreement with the State of California, and it designates someone to sign on behalf of the Grantee's governing board. A signed resolution must be submitted at the time Project Proposals are returned to CAL FIRE's Grants Management Unit, Sacramento Headquarters. See Appendix B for resolution format.

## **COST SHARE (MATCHING)**

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

For example:

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

Disadvantaged and Low-Income Community Cost Share: Projects that meet the criteria for being in or benefiting a disadvantaged community or a low-income community will be eligible to have their



cost share requirement reduced or completely waived by CAL FIRE. This request must be made during the concept proposal process by checking the appropriate box on the form and providing the rationale within the narrative.

**IMPORTANT NOTE:** Cost share expenses must be reported to CAL FIRE on each invoice received. Back-up documentation for cost share must be kept by the grantee and must meet the same rigor as expenses claimed for reimbursement but need not be turned in to CAL FIRE. See also: “*State Audit*” section below, as well as *Appendix B* for additional information on documentation.

## **GRANT ADMINISTRATION**

The grant period begins on the last date of signature after CAL FIRE and the grantee have both signed the completed grant agreement. All grant projects will remain active until **March 30, 2025**. The Grantee can exercise an earlier closing period if necessary. CAL FIRE will notify grantees when work may begin. Work includes any activity used for matching.

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

To have sufficient time to process final payments and to close out the Grant Agreement, the grantee must submit all deliverables and payment requests within 30 calendar days after the project performance period has expired. Invoices received after this date cannot be guaranteed payment. The CAL FIRE Urban & Community Forestry Program staff will arrange for periodic and final project inspections of the project and authorize payments. The State of California may perform an audit of the completed project during the three-year audit period.

### **Communication**

All communication with CAL FIRE in regards to grants should contain the Grant ID number in the subject line. Any files shared with CAL FIRE including invoicing, progress reports, data, and modification requests shall follow the below naming convention (8GG12345 is to be replaced by the respective grant ID):

Invoice 2: 8GG12345\_inv2

June 30, 2020 Progress Report: 8GG12345\_prg rpt\_063020

Budget request (<10%) 1: 8GG12345\_mod 1\_mmddyy

Budget request (>10%) 1: 8GG12345\_amend 1\_mmddyy

MDCA data: 8GG12345\_MDCA\_063020

### **Grant Agreement Amendments and Modifications**

A grantee wishing to change the scope of work or budget of an approved project shall submit the proposed change via official letter, on organizational letterhead, to the appropriate CAL FIRE Regional Urban Forester. The letter should reference the grant number assigned to the grant, explain in detail the change being requested, the need for the change and include the revised budget or other necessary attachments, if applicable. Minor changes (modifications) can typically be approved by the Regional Urban Forester. More significant changes may require a grant agreement amendment. Grant

agreement amendments may be allowed, at the sole discretion of CAL FIRE, for changes to the scope of work or the project budget. Any primary budget line item increase or decrease by 10% or more of that line item during the grant period will require a grant amendment. The total amount awarded to the grantee can never be increased during the grant period for any reason, nor can the project end date be extended beyond **March 30, 2025**.

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

### **Project Signage and Recognition (also see Appendix F)**

All grant projects shall have one of the following:

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

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

### **Project Reporting (see also Appendix E)**

Grantees shall report on all projects bi-annually unless notified otherwise by CAL FIRE staff. The reporting dates shall be for the periods ending: November 30 and May 30. If a grantee chooses to invoice CAL FIRE more often, a project report must be included with each billing package. Progress report periods shall not overlap periods covered under previously submitted progress reports.

Reporting shall follow the format provided by CAL FIRE. Information to be submitted includes project description, project location, funds allocated, matched funds, activities completed, number of trees planted, vegetation planted and location, maintenance activities conducted, tons of biomass generated and delivered to a renewable energy facility or mill, net GHG benefit, and co-benefits achieved such as property acquired to be repurposed as an urban forestry project site and job or job training information, challenges and solutions, and benefits to disadvantaged communities. Reports must always include the GHG reporting back-up documentation (minimum data collection attributes, or MDCA, form) required of the grant category and where applicable. Funding recipients that claim to provide a benefit to a disadvantaged community will need to report on how the project benefits have addressed the identified community need. These records must be retained for at least three years after the completion of the project. All projects will be required to track the above metrics during until project closeout (i.e., when tree/vegetation planting is complete or green infrastructure construction is complete).

### **Project Inspections**

The Regional Urban Forester (Appendix G) assigned to a grant project will determine when inspections are necessary for the project. This will vary by project type, scope of work, and timeline of the project to

be carried out. There will be an initial meeting after the grant is fully executed and approved prior to starting work. At a minimum, inspections will occur at least once per fiscal year (July 1-June 30) of the project. Projects that will be developing any media or educational materials (print, digital, video or audio) must allow such materials to be reviewed by CAL FIRE prior to publication. Copies of such materials must be furnished to CAL FIRE prior to project conclusion. Allow 30-60 days for review of such materials. Inspection results will be made available to grantees and follow-up inspections will be conducted if necessary.

## **Time Extensions**

There will be no extensions beyond March 30, 2025 for any reason.

## **Payment of Grant Funds**

*Note: All funds will be obligated no later than June 30, 2023, and all funds will be liquidated by June 30, 2025.*

Generally, payments will be made by CAL FIRE to the Grantee on a reimbursement basis. Interest on loans, late fees or other financial penalties incurred by the grantee will not be eligible for reimbursement. No work prior to or after the grant period (from the date the grant agreement is fully signed by both parties until March 30, 2025) will be reimbursable. Grantees should have adequate cash flow to begin the project. If progress payments are desired, each request for payment must be accompanied by a progress report. Grantees shall submit progress payment requests to the CAL FIRE Urban & Community Forestry Program no more frequently than monthly. CAL FIRE will reimburse all eligible expenses upon receipt of an acceptable request for payment. Reimbursement may require a site inspection prior to payment processing. The need for an inspection is at the discretion of CAL FIRE. Vendor receipts, payroll summary documentation, other back-up documentation of expenses, matching tracking, and a progress report or final report shall accompany all requests for payment. CAL FIRE will reimburse the Grantee for all eligible costs under the terms of the agreement.

Advance payments may be considered for non-profits only, in cases of grantee hardship, and where the project is in and/or provides direct benefits to a disadvantaged or low-income community. Advance payments are solely at CAL FIRE's discretion and a justification will be required to approve of any advanced payments. The advance payment may not exceed 25% of the grant funds awarded. Advances must be fully utilized within a six-month period. No additional advances may be requested until acceptable documentation is received by CAL FIRE that the previous advance has been fully exhausted on eligible expenses.

A request for an advance payment must be submitted on official letterhead explaining the amount of the advance and the need. The letter must be accompanied by a completed invoice sheet demonstrating the approximate breakdown by primary budget line item of where the advance is to be allocated. The letter and invoice must be signed by the grantee's project representative listed on the grant agreement.

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

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

## **Loss of Funding**

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

- Grantee fails to provide direct, meaningful, and assured benefits to disadvantaged community or low-income community per criteria in CARB Funding Guidelines when such status is claimed.
- Grantee withdraws from the grant program.
- Grantee fails to complete the funded project scope of work.
- Grantee fails to submit all documentation within the time periods specified in the Grant Agreement.
- Grantee fails to submit evidence of CEQA compliance within one year of the execution of the grant agreement.
- Grantee changes the project scope or budget without concurrence of the State.
- GHG reductions fail to be achieved by the project when such reductions are claimed.
- Grantee exercises poor communication or responsiveness, jeopardizing CAL FIRE's assurance that project objectives are being met or that CAL FIRE direction is being followed.
- Grantee fails to comply with the terms of the grant agreement unless such failure was due to no fault of the grantee, hereunder, discretion of the State.

## **State Audit**

Upon completion of the project, the State may audit the project records. A CAL FIRE project is considered complete upon receipt of final grant payment and a final inspection report by CAL FIRE staff that has no required actions specified. The purpose of the audit is to verify that project expenditures were properly documented, and the scope of work completed. The audit would be requested by the State after the final payment request has been received and all project transactions have been completed.

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

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

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

## **Repayment of Grant Funds**

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

## **Accounting Requirements**

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

## GRANT TYPES

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

Project Type	Description	Grant Amount	Cost Share* State/Others
Urban Forest Expansion and Improvement (see Page 21)	Urban tree planting and planting of urban vegetation to provide multiple benefits, tree and plant establishment care, and planting site preparation. In addition to tree planting, a project may also involve urban tree site improvements to create larger, more functional planting sites for trees and associated vegetation such as bio-swales and acquisition of small, vacant parcels to be improved for purposes consistent with the California Urban Forestry Act.	\$150,000 - \$1,500,000	75/25
Urban Forest Management Activities (see Page 26)	For local governments (cities, counties, districts). Improving long-term management of urban forests to improve urban forest performance over time. Projects may involve the establishment or updating of a jurisdiction-wide tree inventory, urban forest mapping and analysis, and/or long-term management plan. May include policy integration and ordinance development. An early action tree planting component is recommended.	\$150,000 - \$1,500,000	75/25
Urban Forestry Education and Workforce Development (see Page 29)	Creation, development, and implementation of projects to educate, train, and/or employ individuals with the purpose of preparing them for careers in urban forestry or a closely related discipline. There should be a strong emphasis on educating, training, or employing individuals from disadvantaged communities and/or unemployed individuals. Preference will be given for projects that place program participants in jobs.	\$150,000 - \$1,500,000	75/25

*\*Note 1: See “cost share” section on Page 15 for details.*

*Note 2: Educational and/or outreach activities may be undertaken as a portion of each grant type not to exceed 20% of the CAL FIRE share of the budget. Signage is not to exceed 5% of project budget. Indirect costs may not exceed 12% of project costs.*

## **Urban Forest Expansion and Improvement**

### ***Eligible Applicants***

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

### ***Purpose:***

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

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

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

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

### ***Project Eligibility:***

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

- The project will report on GHG reductions achieved by the project following CAL FIRE guidelines. Grant requests must be for the creation, development, and implementation of projects that improve, expand, and maintain healthy urban forests.
- The amount requested must be between \$150,000 and \$1,500,000.
- The project must be located in or immediately adjacent to an “urban area” or “urban cluster” as defined by the U.S. Census Bureau. ([U.S. Census Bureau's Urban and Rural](#)).
- The project must have a commitment for active participation from one or more of the following: local residents, local business, local nonprofit group or local government.
- The project must show that the community where the project will occur was, and will continue to be, authentically engaged about the project.



- The project must display a sign with the logos and names of organizations participating in the project, including the CAL FIRE Urban & Community Forestry Program. The sign must also cite the funding source.
- The applicant must comply in all respects with all applicable local and county ordinances, and all applicable state and federal laws and regulations, including the California Environmental Quality Act (CEQA).
- Projects shall include an education and outreach component. Not more than 20% of grant funds may be used for this component. This component, as part of the overall project, may be shown as project match dollars by the applicant if so desired.
- The applicant must agree to provide maintenance on all trees planted (including replacement) for at least three years after project completion even if not receiving post grant maintenance funds. Evidence of adequate long-term care for the trees must also be shown.
- Any tree planting within the project shall adhere to Appendix H at a minimum. Failure to follow the Standards in Appendix H will lead CAL FIRE to require replacement of the trees at the grantee's cost or reimburse CAL FIRE the funds used to plant the trees.
- Planting sites must be 30 square feet in area at minimum, and no less than 3 feet in width on any side. Larger is preferred.
- Tree and plant species selected are classified as very low, low, or moderate water use species at [WUCOLS IV](#) or are justified for the planting site(s) selected.

***Eligible Practices:***

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

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

- Innovative urban forest site improvement to create larger, more functional planting sites for trees and associated vegetation such as bio-swales, urban forestry education centers, edible landscaping and/or community gardens and orchards.
- Funding for the purchase of a small, vacant property or properties from a willing seller or sellers to be repurposed for a use consistent with the CA Urban Forestry Act and resulting in a net GHG benefit.
- Funding for removal and replacement of trees in urban areas that are associated with a natural disaster, extraordinary natural event, or pest and/or disease outbreak. These event types will require justification and must be approved by a CAL FIRE Regional Urban Forester.
- Urban forestry job creation and job training.
- Climate change adaptation strategies that result in a net GHG benefit. See: [CA Natural Resources Agency's Safeguarding California Report](#).

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

### ***Ineligible Practices:***

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

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

### ***Project Scoring (100 points possible):***

#### **AB 1550 Community or Low-income Household:**

- The project meets ARB criteria for providing a benefit to an AB 1550 Community or Low-income Household.
- The degree to which the project creates jobs or job training opportunities for residents of an AB 1550 Community or Low-Income Household or the degree to which the project will consider sub-contractors that are based within the disadvantaged or low-income communities being served.
- The degree to which the community has been engaged about the project in authentic ways, and/or will be involved in project implementation.

#### **Greenhouse Gas Benefits:**

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

#### **Co-Benefits:**

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

See: [CA Natural Resources Agency's Safeguarding California Report](#)

Best Management Practices:

- The degree to which the tree species selection is diverse and site-appropriate.
- The degree to which the project provides urban forest resources to areas where such resources are absent or replenishes such resources where they are badly depleted.
- The degree to which the quantity and methods of establishment follow-up care practices will lead to long term success of the project.
- The extent to which the project will use locally sourced or recycled water in project design.

Project Quality:

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

**Eligible Costs (See Appendix B):**

- **Trees, plants, and planting materials (Supplies)**
  - Trees in the #15 (gallon) container size are eligible. Balled and burlapped and bare-root tree stock are also eligible if the size and quality are equivalent. Smaller containerized stock, seedlings, and direct seeding may also be considered by CAL FIRE in situations where appropriate. Fruit trees in various sizes are eligible with justification. Other larger tree sizes may be considered on a case-by-case basis, but the widespread use of 24" box and larger trees is not likely to be considered. Refer to *Appendix H* for additional information.
  - Site appropriate plants in sizes justified for the project.
  - Planting materials may be: Stakes, ties, and root collar protectors proportional to number of trees being planted; grow tubes for small container, seedling and direct seeding; wood chip surface mulch, soil amendments in areas of hard clay soil or sandy soil; soil where needed to complete backfill; watering tools, cost effective water-efficient irrigation system supplies; and hand tools.
  - Replacement trees. A sub line item for replacement trees may be budgeted for but may only be used with prior CAL FIRE Regional Urban Forester approval. Such approval will be contingent on the reason the replacement is needed. Any funds left in this line item near the end of the grant may be used to plant additional trees (exceeding the scope of work). Trees required to be replaced due to grantee or subcontractor negligence will not be paid for with grant funds.
- **Labor directly related to the project.**
  - Includes young tree establishment costs such as: structural pruning, stake adjustment and removal, and water-wise irrigation.
- **Administrative costs**
  - Administrative costs directly related to the implementation of the project are eligible but must be justified.
  - Costs of tracking and reporting GHG reductions for the supplied criteria are eligible.
- **Indirect costs:**
  - A maximum not to exceed 12% of total direct cost. Indirect costs include items such as payroll administration, human resources, computer support, minor equipment, financing, and office support that are not directly related to the implementation of the project to be funded.

- **Education and signage (may not exceed 20% of costs):**
  - Purchase, development and distribution of education materials or events may be funded pending relevance to the scope of the proposed project. A maximum not to exceed 20% of grant request.
  - Funding source and program sign construction and materials.
  - For sign requirement details, please see Appendix F. CAL FIRE staff will approve signage plans on a case by case basis.
- **Concrete removal and other special concerns:**
  - In projects where the planting of trees involves establishment of new, permanent tree planting sites or expansion of existing vacant sites, the costs for removal of asphalt, concrete paving, and/or other hardscape are eligible. If hardscape cuts are to be made, they must be 30 square feet in area at minimum, and no less than 3 feet in width on any side. Larger is preferred. For existing sites, expansion of planting sites is an allowable cost and is encouraged.
  - Soils testing to determine the needs for the site are eligible.
  - Water-efficient irrigation supplies or system components are eligible.
  - Other costs of construction are eligible with justification.
- **Post-Project Maintenance:**
  - Projects that are carried out by a non-profit organization and meet ARB criteria for providing a benefit to a disadvantaged community and are carried out successfully (in CAL FIRE's determination) are eligible to receive funding for post-grant tree care and maintenance as a lump sum payment. A maintenance plan must be in place and be submitted for CAL FIRE review and be approved by CAL FIRE at the time of final grant invoice submittal to be eligible for this funding. Please note, the amount requested must be a line item in the budget from the concept proposal stage on. It cannot be added after the grant has been awarded unless approved by CAL FIRE staff.

***Ineligible Costs:***

The following are ineligible costs:

- Decorative tree grates and decorative tree guards or other purely aesthetic items.
- Tree removal (though this could be used to meet matching requirements with CAL FIRE approval.) Projects must show that the removed trees were replaced with a tree of similar or improved long term carbon storage and co-benefits. Removals may be eligible in cases of severe urban forest health issues, such as pest or disease (see above). This will be on a case by case basis after discussion with a CAL FIRE Regional Urban Forester (see Appendix G).
- Inefficient irrigation valves, pumps, sprinkler control timers or overly costly and elaborate irrigation systems, or irrigation systems that are unable to be proved as effective long-term.
- Root barriers. (Note: any use of root barriers as part of a project must be approved by a CAL FIRE Regional Urban Forester).
- Trees that rely upon excessive amounts of water to survive.
- Trees that are inappropriate for the chosen site or require excessive maintenance.
- Trees of a stock size other than 15-gallon without prior approval provided by CAL FIRE.
- Trees that will be less than 25 feet in height, with equal crown width, at maturity. This includes trees of a "multi-trunk, "dwarf", or "shrub variety" and trees not conforming to CAL FIRE's guidelines in Appendix H.
- Palms are not eligible.

- Invasive species are not eligible.
- Food (unless as part of approved per diem travel expenses), refreshments, etc.
- Promotional materials (i.e. – t-shirts, paraphernalia) or other supplies unnecessary for carrying out the operations of the project aside from education and outreach.

## **Urban Forest Management Activities**

### ***Eligible Applicants***

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

### ***Purpose:***

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

### ***Project Eligibility:***

These criteria must be met for a project to be eligible (also see **Appendix I**):

- Grant requests must be for performing or updating a tree inventory, establishing a new urban forest management plan or updating an existing management plan, establishing or updating an urban forestry related policy or ordinance, or performing mapping and analysis to inform the other activities preceding.
- The amount requested must be between \$150,000 and \$1,500,000.
- Applicants must show proof of an existing urban forest/ tree protection system (city ordinance, general plan element, etc.), or must create one during the grant performance period.
- Applicants must show proof of having an existing urban forester, arborist, or other qualified position responsible for urban forest resources or have such a professional retained under contract.
- A project must be in, or immediately adjacent to, an “urban area” or “urban cluster” as defined by the U.S. Census Bureau. ([U.S. Census Bureau's Urban and Rural](#)).
- The applicant must comply in all respects with all applicable local and county ordinances, and all applicable state and federal laws and regulations, including the California Environmental Quality Act (CEQA).
- An urban forest inventory of the entire resource encompassed must be completed before developing a management plan, though both may be completed during the grant performance period.
- A funded urban forest management plan must be a long term (40-50 year), comprehensive document, not solely a maintenance plan.

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

***Eligible Practices:***

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

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

***Ineligible practices:***

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

- No practices other than those described above may be funded by this grant program without prior written approval by CAL FIRE.

- Management activities that will not lead to improved long-term urban forest management.
- For tree planting that is part of the project: any practice not allowed by the “*Urban Forest Expansion and Improvement*” project type.
- Projects that will supplant a locally funded budget item rather than supplement it.
- Projects that produce policies, ordinances, or plans that are not integrated/aligned with other relevant policies of the jurisdiction.

***Project Scoring (100 points possible):***

**Disadvantaged and/or Low-income Communities:**

- The project meets ARB criteria for providing a benefit to a disadvantaged and/or low-income community.
- The degree to which the project creates jobs or job training opportunities for residents of an AB 1550 Community or Low-Income Household or the degree to which the project will consider sub-contractors that are based within the disadvantaged or low-income communities being served.
- The degree to which the community has been engaged about the project in authentic ways, and/or will be involved in project implementation.

**Project Benefits:**

- The co-benefits of the project are high in relation to the requested budget.
- The degree of GHG reduction that will occur. Preference is given to GHG reductions that are able to be quantified using CARB criteria for Urban Forestry projects.
- The degree to which the project uses trees to reduce consumption of finite energy resources, capture storm water, improve air quality, and/or reduce urban heat island effects.
- The degree to which the project involves community residents in the planning process and/or planting and maintenance of trees (stewardship).
- The degree to which the project will contribute to improved public health in some fashion.
- The extent to which the project helps the State meet its climate change adaptation strategies. See: [CA Natural Resources Agency's Safeguarding California Report](#).

**Best Management Practices:**

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

**Project Quality:**

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



### ***Eligible and Ineligible Costs (also see Appendix B):***

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

### ***Ineligible Costs:***

The following are ineligible costs:

- Any costs unrelated to the management activities identified in the application.
- Tree removal (though this could be used to meet matching requirements with CAL FIRE approval.) Projects must show that the removed trees were replaced with a tree of similar or improved long term carbon storage and co-benefits. Removals may be eligible in cases of severe urban forest health issues, such as pest or disease (see above). This will be on a case by case basis after discussion with a CAL FIRE Regional Urban Forester (see Appendix G).
- For tree planting that is part of the project: any cost not allowed by the “*Urban Forest Expansion and Improvement*” project type.
- Any cost that will supplant a local budget line item.
- Any tree inventories that are not assessing (or working towards assessing) the entire urban forest resource within a jurisdiction, including inventory of trees on public lands where, in CAL FIRE’s opinion, maintenance has been or will be deferred, or where evidence of improper maintenance is observed by CAL FIRE.

**NOTE:** *There is a CAL FIRE sponsored urban forest management plan development tool available. Please see: [Urban Forest Management Plan Toolkit](#). The tool can help structure a plan and provide numerous resources to those developing such plans. Additional tools are listed in Appendix I.*

## **Urban Forestry Education and Workforce Development**

### ***Eligible Applicants***

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

### ***Purpose:***

The purpose of this grant type is to fund the development and implementation of programs to educate, train, and/or employ people in urban forestry or a closely related field. Projects must provide knowledge/skills/abilities to assist people in making a career in urban forestry or a related discipline. Projects should teach industry best management practices that include but are not limited to American National Standards Institute (ANSI) standards relating to urban forestry practice and safety, International Society of Arboriculture (ISA) best management practices, and principles of urban forestry as taught at Society of American Foresters (SAF) accredited colleges and universities. There should be a strong emphasis on serving residents of disadvantaged communities and/or unemployed

individuals, thus pay for program participants is specifically allowed as a cost. A tree planting component to the program is recommended.

### ***Project Eligibility:***

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

- Grant requests must be for the creation, development, and implementation of projects to help people develop the necessary knowledge/skills/abilities to enter a career in urban forestry or a closely related discipline.
- The amount requested must be between \$150,000 and \$1,500,000.
- Project is in an “urban area” or “urban cluster” as defined by the U.S. Census Bureau. ([U.S. Census Bureau's Urban and Rural](#)).
- The project must credit the CAL FIRE Urban & Community Forestry Program and the funding source in all forms of media produced. See Appendix F.
- The applicant must comply (or will comply) in all respects with applicable local and county ordinances, and applicable state and federal laws and regulations, including the California Environmental Quality Act (CEQA).
- Any trees and plant materials selected are climate appropriate, drought-tolerant, and well suited the site.
- Any tree planting within the project shall adhere to Appendix H at a minimum. Failure to follow the Standards in Appendix H will lead CAL FIRE to require replacement of the trees at the grantee’s cost.
- The applicant must agree to provide maintenance on any trees planted (including replacement) for at least three years after project completion. Evidence of long-term care for the trees must also be shown. Projects that meet the criteria for benefiting a disadvantaged community may qualify to receive funds for maintenance in a trust fund at project completion.

### **Project Scoring (100 points possible):**

*AB 1550 Community or Low-income Household and/or Unemployed Individuals:*

- The project meets ARB criteria for providing a benefit to an AB 1550 Community or Low-income Household.
- The degree to which the project creates jobs or job-related education and/or training opportunities for residents of an AB 1550 Community or Low-Income Household.
- The degree to which the project will serve unemployed individuals in beginning a career or advancing a career in urban forestry or a closely related field.

*Project Co-Benefits:*

- The co-benefits of the project are high in relation to the requested budget.
- The extent to which the project helps the State meet its climate change adaptation strategies. See: [CA Natural Resources Agency's Safeguarding](#).

*Curriculum or Practical Aptitude:*

- The degree to which the project will teach industry knowledge of best management practices, skills, and/or abilities to prepare people for a career in urban forestry or a closely related field.
- The degree to which the project has a quality plan to assist enrolled individuals in achieving careers in urban forestry or a closely related field.
- The degree to which the project will be effective in preparing people for careers in urban forestry or a closely related field.

**Project Quality:**

- The degree to which the project has effective partnerships.
- The degree to which the project is replicable.
- The degree to which the program will continue to operate after the grant period.

***Ineligible practices:***

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

- No practices other than those described above may be funded by this grant program without prior written approval by CAL FIRE.
- Projects that will not have any impact beyond the grant period.
- Projects that will supplant a locally funded program rather than supplement it.
- For any tree planting that is part of the project: any practice not allowed by the “*Urban Forest Expansion and Improvement*” project type.

***Eligible and Ineligible Costs (also see Appendix B):***

Other than the necessary costs for any tree planting component, only costs associated with urban forest education and workforce development program operations and program administration may be funded. This can include pay for program participants. Any tree planting component costs must comply with the eligible costs of the “*Urban Forest Expansion and Improvement*” grant type above.

***Ineligible Costs:***

The following are ineligible costs:

- Any costs unrelated to the urban forest education and workforce development project identified in the application.
  - For any tree planting that is part of the project: any cost not allowed by the “*Urban Forest Expansion and Improvement*” project type.
  - Any cost that will supplant a local budget line item.
-

# APPENDIX A - Concept Proposal Submission

Applicants must complete the online concept proposal form at:

## [CAL FIRE Urban and Community Forestry Grant Programs](#)

It is important that applicants note the following:

- It is recommended that applicants draft their answers to the proposal questions in a word processing document so that they can save their work. This will allow for quick and easy cutting and pasting into the required online form. It may also be possible to copy the online form and paste it into a word processing document for reference as one drafts their answers for pasting in to the online form.
- Applicants must answer all the questions with asterisks (\*).
- Other questions are either optional or may not apply to all grant types. These questions will indicate if they are optional or not in text.
- A separate concept proposal form must be submitted for each project an applicant applies for.
- Each applicant is limited to three total concept proposals, regardless of grant types.
- Applicants must make sure they fill out all relevant sections for the grant type they are applying for. If applicants do not, their concept proposal will not be scored.

## **APPENDIX B - Eligible Costs and Sample Budget**

### **Important Recommendations:**

Following are some recommendations to strongly consider as you prepare project costs:

- 1) CAL FIRE strongly recommends that applicants take inflationary costs into consideration during budget planning. Examples of this may be: known or projected salary or benefit cost increases for employees, cost of delivery of tree stock increasing, costs of permits increasing, etc. Such cost increases should be planned for up front. Keep in mind that the overall cost of your project will not be able to go up during the grant period.
- 2) CAL FIRE also strongly recommends two practices that will greatly simplify project billing. First, adopt a per diem rate for any travel costs. The most effective way to do this is by adopting the State per diem rates. See the travel costs item in the table below for a link. Second, adopt the IRS mileage rate for vehicle travel and simply record miles travelled in each vehicle used on the project. Both practices will greatly reduce the volume of receipts and back-up documentation that will be required for reimbursement.

## Eligible Costs and Documentation Requirements

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

Use the table below as a reference while constructing a budget for both the concept proposal and the project application.

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 would be time related to site visits, project monitoring, and completion of reporting related to the grant project. Staff time related to accounting, business services, etc. are allowed only if those functions are not included in the grantee's overhead cost. Cost of employee leave (vacation, sick) is eligible only if the employee is working 100% on the grant. Lump sum payment of accrued leave balance is only eligible for reimbursement if the employee was hired for the sole purpose of working on the grant. Volunteer rates for matching funds purposes can be found at: <a href="#">Independent Sector's Value of Volunteer Time</a>	A payroll summary of all employees' time spent on the project must be provided. Payroll documentation should show a nexus between time worked on the project and wages paid to the employee after the fact. Timesheets or similar documentation detailing days and hours worked on the project must be maintained and kept for audit purposes (they need not be sent to CAL FIRE with invoices unless otherwise instructed by CAL FIRE).
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 summary documentation showing wages and hours paid to the employee and associated fringe benefits. Back-up documentation to be kept by the grantee for audit records.
Contractual	Direct consultant and contractual services necessary to achieve the objectives of the grant. Examples of contractual costs will be Arborist or other qualified professional supervision/certification, GHG verification contractor, accountant or bookkeeper, etc. Procurement of contractual services should be documented to ensure selection on a competitive basis and documentation of cost analysis.	Invoices from Consultant/Contractor identifying expenditure, services performed and period of services. Documents related to consultant/contractor selection analysis shall be kept by the grantee but available for audit purposes.

Supplies <sup>1</sup>	Supplies that are used in the direct support of the project are allowable. Supplies exceeding \$500 per unit cost shall be documented to ensure procurement of supplies on a competitive basis and documentation of cost analysis.	Receipts or invoices identifying items purchased, cost and date of purchase. Documentation related to cost analysis of procurement of supplies exceeding \$500 shall be kept by the grantee but available for audit purposes.
Travel	Travel cost associated with travel to and from project sites, meetings, etc. directly related to the grant project and must be considered reasonable and necessary for the completion of the project. Reimbursement rates shall be consistent with the grantee's written travel policy. Absent a written policy, per diem shall not exceed the California Standard Per Diem Rate allowable by the U.S. General Services Administration ( <a href="#">GSA Per Diem Rates Look-Up</a> ). Mileage rates shall not exceed the rates allowable by IRS ( <a href="#">Standard Mileage Rates</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 <sup>2</sup>	Equipment consists of items exceeding \$5,000 or more per unit cost and a tangible useful life of more than one year. The purchase of vehicles is not allowed as an equipment cost. However, the cost to lease vehicles and/or equipment for use during the grant may be charged to the grant. Usage of equipment owned by the grantee may be charged to the grant at a rate set by the California Department of Transportation "Labor Surcharge and Equipment Rental Rate" guide ( <a href="#">Construction</a> ). Purchase of equipment using grant funds is allowable only with prior approval by CAL FIRE. A cost-benefit analysis to justify the cost of purchasing equipment versus leasing must be provided. Procurement of equipment must be done on a competitive basis and include documentation of price analysis. <i>Note: The grantee must include proposed use and maintenance plans for the equipment after the project performance period in the project application. Disposition of the equipment beyond the project performance period is subject to CAL FIRE approval.</i>	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. Indirect costs are not allowed for equipment with a per unit cost of \$5,000.00 or more.
Other	Other costs that do not fit in any of the above categories. Costs must be directly related to the grant project. Costs such as rent, utilities, phones, general office supplies, etc. that must be apportioned to the grant are considered indirect costs unless written justification is submitted and approved by CAL FIRE.	Invoices or receipts identifying the item and cost charged to the grant.

Indirect Costs	<p>Costs associated with doing business that are of a general nature and are incurred to benefit two or more functions within the grantee organization. These costs are not usually identified specifically within the grant agreement, project, or activity, but are necessary for the general operation of the organization. Examples of indirect costs include salaries and benefits of employees not directly assigned to a project; functions such as personnel, accounting, budgeting, audits, business services, information technology, janitorial, and salaries of supervisors and managers; and rent, utilities, supplies, etc. Functions included as direct versus indirect costs must be applied consistently for all activities within the grantee organization, regardless of fund source. Indirect costs are capped at 12% of CAL FIRE share of the budget.</p>	<p>Applied on a percentage (%) basis on direct costs <u>except</u> for equipment with a per unit cost of \$5,000.00 or more.</p>
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<sup>1</sup> For grantees that grow their own tree stock: it is not appropriate to charge retail rates for trees grown specifically for the project. Wholesale costs may be applied. Charges for growing materials, labor, etc. may all be part of those wholesale costs.

<sup>2</sup> For equipment: any equipment purchased by a grant should be equipment that is solely used for eligible grant activities. For example, a portable sawmill may be purchased for use in an urban wood grant project. Equipment like vehicles are more general in nature and may not be purchased with grant funds. Vehicles can, however, be leased with grant funds and charged against the grant at a rate that is commensurate with the percentage of time the leased vehicle is used for the purposes of the grant project. Likewise, pre-existing vehicles can be charged against the grant project, preferably with the IRS mileage rate as linked above in the table.

**NOTE:** Food is not an eligible expense other than food related to per diem travel costs as described in the chart above.



**Project Application Budget:** It is recommended that applicants consider the Project Application Sample Budget (below) when preparing a concept proposal budget. This will adequately prepare applicants for the project application process, and for managing project costs if awarded a grant. It will also be useful when proposing any modifications or amendments during the grant project period. It will be provided to project applicants as an MS Excel file.

<b>Project Application Sample Budget</b>					
<b>Budget Item</b>	<b>Description</b>	<b>Cost Basis</b>	<b>CAL FIRE Grant Share</b>	<b>Grantee Match</b>	<b>Total</b>
<i>A. Salaries and Wages</i>			<i>62,600.00</i>	<i>5,400.00</i>	<i>68,000.00</i>
	Project Lead	1000 hours x \$30/hour	30,000.00		30,000.00
	Worker 1	1000 hours x \$20/hour	20,000.00		20,000.00
	Worker 2	1000 hours x \$18/hour	12,600.00	5,400.00	18,000.00
					-
<i>B. Employee Benefits</i>			<i>15,464.00</i>	<i>1,746.00</i>	<i>17,210.00</i>
	Project Lead (Monitoring)	500 hours x \$10.16/hour	5,080.00		5,080.00
	Worker 1	1 staff x 1000 hrs x \$6.31/hr	6,310.00		6,310.00
	worker 2	1 staff x 1000 hrs x \$5.82/hr	4,074.00	1,746.00	5,820.00
<i>C. Contractual</i>			<i>117,000.00</i>	<i>120,000.00</i>	<i>237,000.00</i>
	CEQA Compliance GHG Emission Tracking		12,000.00		12,000.00
	Certified Arborist		5,000.00		5,000.00
	Concrete Cutting	\$300/site x700 sites	90,000.00	120,000.00	210,000.00
<i>D. Travel</i>			<i>1,120.00</i>	<i>-</i>	<i>1,120.00</i>
	Mileage	2000 miles x \$0.56/mile	1,120.00		1,120.00
					-
<i>E. Supplies</i>			<i>152,430.00</i>	<i>3,000.00</i>	<i>155,430.00</i>

Trees	2,000 #15 trees @ \$60/tree	120,000.00		120,000.00
Replacement trees	150 # 15 trees @ \$60/tree	6,000.00	3,000.00	9,000.00
Tree Stakes	4,000 @ \$4.00/tree	16,000.00		16,000.00
Tree Ties	4,000 @ \$0.67/tree	2,680.00		2,680.00
Mulch	500 Yds. @ \$15/Yd.	7,500.00		7,500.00
Hand Tools	10 @ \$25	250.00		250.00
<b>F. Equipment</b>		-	-	-
<b>G. Outreach/Education</b>		<i>4,000.00</i>		<i>4,000.00</i>
Tree care pamphlets	500 @ \$3.00 per Pamphlet	1,500.00		1,500.00
Engagement Materials	500 brochures @ \$5.00 ea.	2,500.00		2,500.00
<b>H. Other</b>		<i>20,250.00</i>	<i>10,000.00</i>	<i>30,250.00</i>
City Permits		250.00		250.00
Post-Grant Maintenance		20,000.00	10,000.00	30,000.00
				-
				-
<b>TOTAL DIRECT COSTS</b>		<b>372,864.00</b>	<b>140,146.00</b>	<b>513,010.00</b>
<b>INDIRECT COSTS</b>		<b>Capped at 12%</b>		<b>44,743.68</b>
<b>TOTAL PROJECT COSTS</b>		<b>417,607.68</b>	<b>140,146.00</b>	<b>557,753.68</b>
<b>LESS Program Income</b>		-		-
<b>TOTAL COSTS</b>		<b>417,607.68</b>	<b>140,146.00</b>	<b>557,753.68</b>
		<b>75%</b>	<b>25%</b>	<b>100%</b>

# APPENDIX C

## Required Forms

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

### **STANDARD FORMS:**

The following forms must be submitted with project applications. They are available at this link:  
[CAL FIRE Urban and Community Forestry Grant Programs](#)

Payee Data Record form (STD. 204): The STD. 204 form indicates that local government entities do not need to fill it out. CAL FIRE utilizes this form internally for all grantees, so it is required that all applicants fill it out.

Nondiscrimination Compliance Statement form (STD. 19)

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

### **OTHER FORMS:**

[California Air Resources Board Job Co-benefit Modeling Tool](#)

# RESOLUTION

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

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

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

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

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

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

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

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

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

1. Approved the filing of an application for " \_\_\_\_\_ Fund" grant program funds; and
2. Certifies that funds under the jurisdiction of **(Name Governing Body Here)** are available to begin the project.
3. Certifies that said applicant will expend grant funds prior to **March 30, 2025**.
4. Appoints **(title and/or designee)** as agent of the **(Governing Body)** to conduct all negotiations, execute and submit all documents including, but not limited to applications, agreements, amendments, payment requests, etc., which may be necessary for the completion of the afore mentioned project.

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

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

# APPENDIX D



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

### Part 1: ADMINISTRATIVE INFORMATION

1. Project Title: \_\_\_\_\_
2. Project Applicant's Name: \_\_\_\_\_
3. Name and title of checklist preparer: \_\_\_\_\_

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

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

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

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

**Part 2: PROJECT DESCRIPTION**

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

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

\_\_\_\_\_

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



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

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

**Projects that include rural, undeveloped or wildland settings must address questions in Checklist, Parts 3 and 4.**

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

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

#### Resource Studies:

##### **Conduct a Natural Diversity Data Base Search**

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

##### **Conduct an archaeological records check**

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

##### **Conduct an archaeological survey**

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

---

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

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

\_\_\_\_\_

Will the project:

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

Yes

No

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

Yes

No

4. Require the use of large equipment (i.e. backhoe) thereby potentially causing a significant effect to threatened or endangered species or cultural resources?  
 Yes                       No
  
5. Occur within 100 feet of a perennial watercourse, riparian zone or wetland thereby potentially causing a significant effect to threatened or endangered species, cultural resources or riparian values?  
 Yes                       No
  
6. Convert Prime Farmland, Unique Farmland, or Farmland of Statewide Importance to non-agricultural use?  
 Yes                       No
  
7. Discuss any "Yes" responses and describe measures to how the project will be designed to avoid significant effects.

\_\_\_\_\_

**Part 4: ENVIRONMENTAL IMPACT ANALYSIS FOR ALL PROJECTS**

**Please answer the following questions for all projects and discuss all "Yes" responses.**

Will the proposed project:

1. Require approval from other public agencies (e.g., permits, financing approval, or participation agreement [e.g., grading permits, CALTRANS encroachment permits, right-of-way easements, etc.]  
 Yes                       No
  
2. Include activities that were identified in other environmental documents or analyses and support findings of no significant effect (e.g., CEQA documents, environmental surveys, general plans, studies, reports, etc.)  
 Yes                       No
  
3. Conflict with any applicable land use plan, policy, or regulation of an agency with jurisdiction over the project (including, but not limited to general plans, specific plans, local coastal programs, or zoning ordinances)?  
 Yes                       No
  
4. Conflict with any ordinances protecting biological resources, such as tree preservation ordinance, Habitat Conservation Plan, or other policy?  
 Yes                       No

\_\_\_\_\_



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

Yes

No

\_\_\_\_\_

6. Result in trees, once mature, contacting power lines?

Yes

No

\_\_\_\_\_

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

Yes

No

\_\_\_\_\_

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

Yes

No

\_\_\_\_\_

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

Yes

No

\_\_\_\_\_

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

Yes

No

\_\_\_\_\_

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

Yes

No

\_\_\_\_\_

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

Yes

No

\_\_\_\_\_

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

Yes

No

\_\_\_\_\_

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

Yes

No

\_\_\_\_\_

15. Greenhouse Gas Emissions

This topic does not apply to this project and was not evaluated further.

Yes  No Would the project generate significant greenhouse gas (GHG) emissions?

Yes  No Would these GHG emissions result in a significant impact on the environment? Discuss below:

Yes  No Would the project conflict with an applicable plan, policy or regulation adopted for reducing the emissions of greenhouse gases? Discuss below:

\_\_\_\_\_

---

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

**Part 5: CERTIFICATION**

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

---

---

Signature of Checklist Preparer

---

Date

**Part 6: DETERMINATION**

**DETERMINATION**

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

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

Based on this evaluation:

- I find that the proposed project will not have a significant effect on the environment and meets the Class 4 (Minor Alterations to Land) categorical exemption requirements. This project is therefore exempt from the requirement for the preparation of environmental documents. CAL FIRE will prepare a Notice of Exemption (NOE).
- I find that the proposed project could not have a significant effect on the environment and does not meet the Class 4 categorical exemption requirements; therefore, a negative declaration will be prepared.
- I find that although the proposed project could have a significant effect on the environment, there will not be a significant effect in this case because mitigations have been incorporated into the project have been made by or agreed to by the applicant. A mitigated negative declaration will be prepared.
- I find that the proposed project may have a significant effect on the environment, and an environmental impact report is required.
- I find that the proposed project may have a “potentially significant impact” or “potentially significant unless mitigated impact” on the environment, but at least one effect 1) has been adequately analyzed in an earlier document pursuant to applicable legal standards, and 2) has been addressed by mitigation measures based on the earlier analysis as described on attached sheets. An environmental impact report is required, but it must analyze only the effects that remain to be addressed.
- I find that although the proposed project could have a significant effect on the environment, because all potentially significant effects (a) have been analyzed adequately in an earlier EIR or Negative Declaration pursuant to applicable standards and (b) have been avoided or mitigated pursuant to an earlier EIR, including revisions or mitigation measures that are imposed upon the proposed project, nothing further is required.

\_\_\_\_\_  
Signature of Authorized CAL FIRE Reviewer

\_\_\_\_\_  
Print Name

\_\_\_\_\_  
Title

\_\_\_\_\_  
Date

# APPENDIX E - Grantee Reporting

The required reporting form and spreadsheet will be distributed to grantees. Reporting will be done every six months (bi-annually) unless the CAL FIRE Regional Urban Forester requires a different reporting standard.

Each reporting period, the grantee will be required to report the following information:

## Financial

- Grant funds expended for the reporting period, and to date for the grant.
- Matching funds expended for the reporting period and to date for the grant.
- Total funds expended for the reporting period and to date for the grant.

## Planting

- The number of trees planted in the reporting period and to date for the grant.
- Any other plants planted in the reporting period and to date for the grant.
- Minimum Data Collection Attributes Spreadsheet (MDCA) (will be provided to grantee).
- MDCA tree data to be reported for each reporting period and for the project to date includes: unique tree number identifier, tree funder, scientific name, street address, other location information, city or urban area, ownership type, latitude and longitude (x/y coordinate), census tract, priority population (DAC/LIC) status, date planted, tree stock size, and the type of growing space.
- A description of all tree and plant maintenance activity completed during the reporting period.

## Project Benefits

- The net GHG benefit (metric tonnes CO<sub>2</sub>e) for the reporting period and for the grant to date.
- Quantification (when possible) and description of co-benefits for the reporting period.

## Partnerships

- A description of the role of project partners during the reporting period and any challenges or successes derived from the partnerships.

## Priority Populations

- A list of the disadvantaged and/or low-income census tracts worked in during the reporting period (per ARB Guidance).

## Scope of Work Reporting

- A general description of activities, events, or milestones completed during the reporting period.
- Any planned events or milestones expected for the next reporting period.
- A description of any challenges faced and if the challenges were overcome. Any assistance needed.
- Planned events and future planned activities or milestones.

## Grant Products

- Representative project photos and/or maps.
- Grant products produced (ex.: educational materials, event fliers, etc.)

## APPENDIX F - Signage Information

Signage designs must be approved by CAL FIRE staff prior to purchase or use. The sign must meet funding source logo and usage guidelines.

The sign must contain the CAL FIRE logo and any funding source logo along with at least the following text in a prominent way:

*Funding for this Project has been provided from the \_\_name of funding source\_\_\_\_ by a grant administered by the California Department of Forestry and Fire Protection (CAL FIRE) Urban and Community Forestry Program.*

## **APPENDIX G**

### **CAL FIRE Urban and Community Forestry Program Staff**

#### **Regional Urban Foresters**

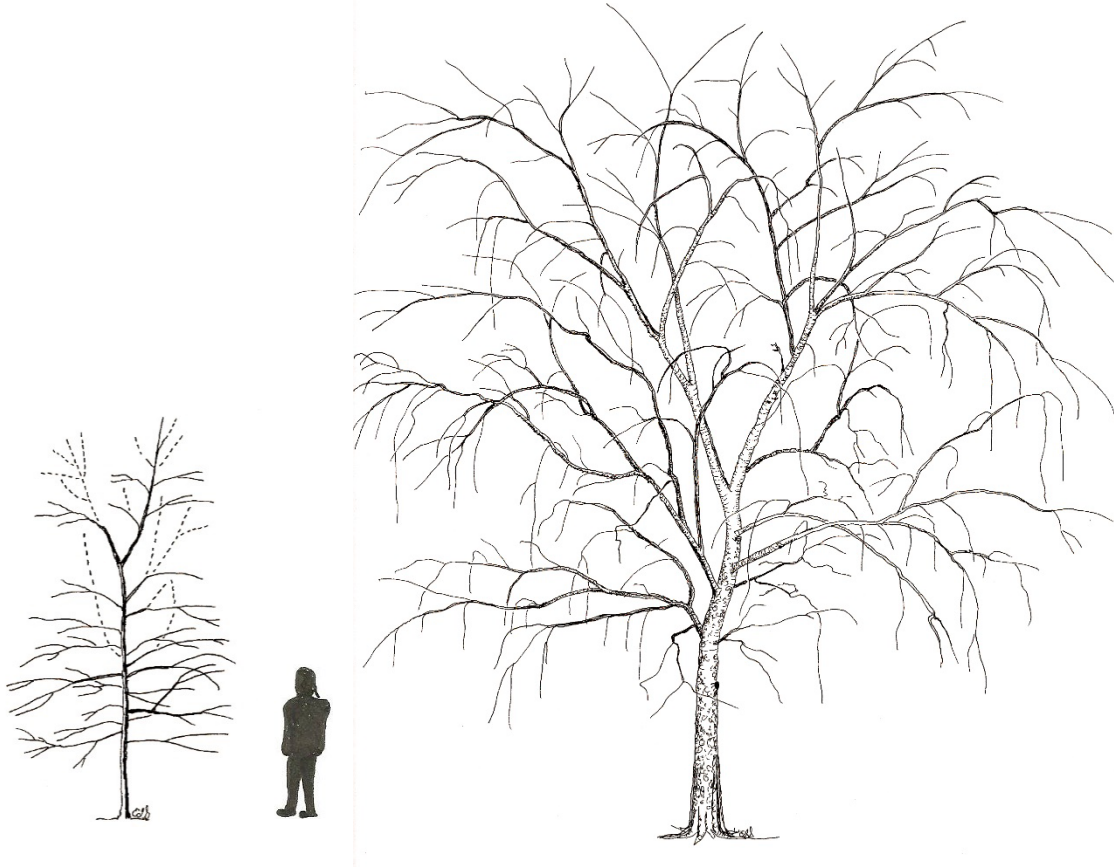
<b>Name</b>	<b>Counties Served</b>	<b>Address</b>	<b>Phone</b>	<b>Email</b>
Julia Gowin	Alpine, Amador, Butte, Colusa, El Dorado, Glenn, Lake, Lassen, Modoc, Napa, Placer, Plumas, Sacramento, San Joaquin, Shasta, Sierra, Siskiyou, Solano, Sutter, Tehama, Trinity, Yolo, Yuba	PO Box 944246, Sacramento, CA 94244-2460	(916) 201-8942	julia.gowin@fire.ca.gov
Vacant	Alameda, Contra Costa, Del Norte, Humboldt, Marin, Mendocino, San Francisco, San Mateo, Santa Clara, Santa Cruz, Sonoma	2840 Mt. Danaher Road, Camino, CA 95709		Contact other Regional Urban Foresters for assistance
Greg Dion	Calaveras, Fresno, Kern, Kings, Madera, Mariposa, Merced, Monterey, San Benito, San Luis Obispo, Santa Barbara, Tulare, Tuolumne	1234 East Shaw Avenue, Fresno, CA 93710-7899	(559) 753-3661	greg.dion@fire.ca.gov
Abigail Srader	Inyo, Mono, Riverside, San Bernardino	23300 Castle Street Riverside, CA 92518	(909) 553-8057	abigail.srader@fire.ca.gov
Henry Herrera	Los Angeles, Ventura	23300 Castle Street Riverside, CA 92518	(213) 200-7115	henry.herrera@fire.ca.gov
Lynnette Short	Imperial, Orange, San Diego	23300 Castle Street Riverside, CA 92518	(619) 937-1410	lynnette.short@fire.ca.gov

#### **Other Program Staff**

<b>Name</b>	<b>Title</b>	<b>Phone</b>	<b>Email</b>
John Melvin	State Urban Forester (Acting)	(916) 653-9418	john.melvin@fire.ca.gov
James Scheid	Supervising Urban Forester, Southern California	(415) 265-9059	james.scheid@fire.ca.gov
Vacant	Urban Forestry Analyst		

# APPENDIX H

## CAL FIRE Standards and Specifications for Purchasing, Planting, and Maintaining Trees



This Appendix is a compilation of the *Guideline Specification for Nursery Tree Quality: Strategies for Growing a High-Quality Root System, Trunk, and Crown in a Container Nursery, and the Tree Care Cue Cards*. It has been prepared to instruct grantees on how to select, plant, and care for young trees.

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



Developed as a project of CAL FIRE, Western Chapter of International Society of Arboriculture, California ReLeaf, and the Urban Tree Foundation. Copyright © 2011 Brian Kempf and Ed Gilman



# Nursery Tree Quality

## I. GENERAL SPECIFICATIONS

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

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

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

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

## II. HEALTH AND STRUCTURE SPECIFICATIONS

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

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

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

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

**Trunk:** The tree trunk shall be relatively straight, vertical, and free of wounds (except properly made pruning cuts), sunburned areas, conks (fungal fruiting bodies), wood cracks, bleeding areas, signs of boring insects, cankers, girdling ties, or lesions (mechanical injury). The terminal bud on the leader shall be intact to the very top of the tree, and it shall be the highest point on the tree. A #15 tree has a minimum caliper of 0.75 inches.

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

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



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

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

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

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

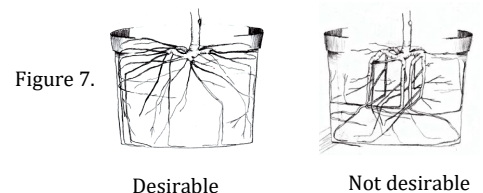
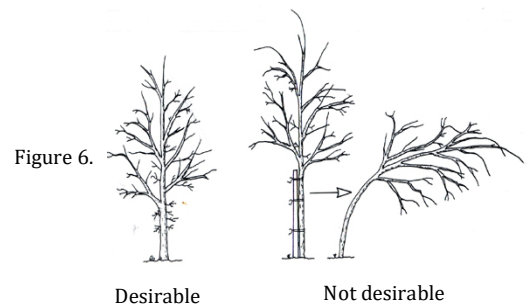
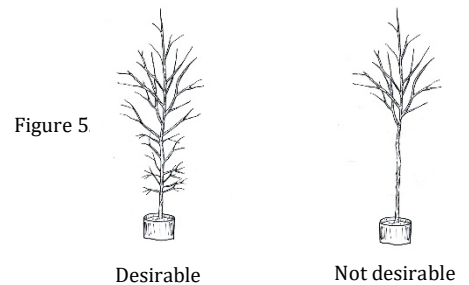
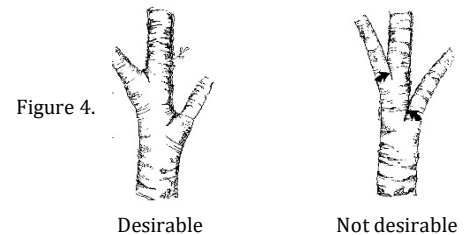
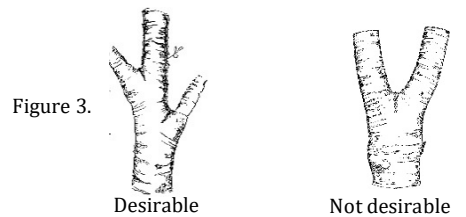
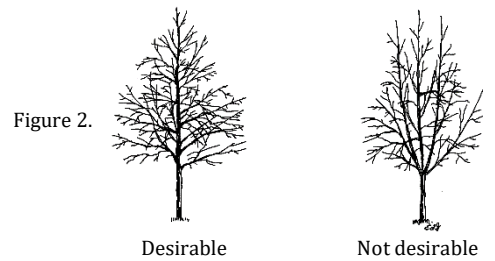
The trunk shall be free of wounds, sunburned areas, conks (fungal fruiting bodies), wood cracks, bleeding areas, signs of boring insects, cankers, or lesions. Properly made recent or closed pruning cuts are acceptable.

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

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

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

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



# Tree Planting

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

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

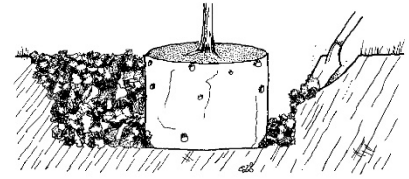


Figure 8. Loosening soil in a large area around the root ball allows for rapid root growth and quick establishment.

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

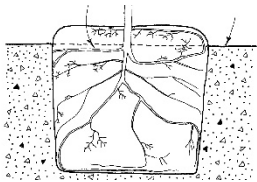


Figure 9. Remove soil and roots growing over the root collar (A) and place collar level with soil surface (B).

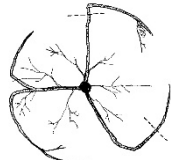


Figure 10. Cut roots at (A) to form new roots that grow away from the trunk. Do not cut roots at (B), since the root defects will regrow.

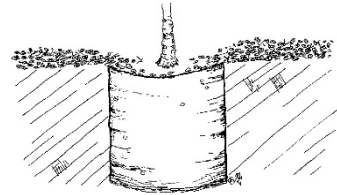


Figure 11. Mulch shall taper to a slightly thinner layer on top of the root-ball.

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

**Staking:** The method of staking is dependent on a tree's ability to stand on its own and the location of the planting site. Staking is used to hold trees erect, allow the root ball to anchor, and protect the trunk from damage by equipment. Stakes should be removed when the tree can stand on its own and the root ball is anchored. Stakes should be positioned away from the tree and secured to the trunk at the point where the tree stands straight. Do not use wire or any strap that will girdle the tree or damage the bark. If a tree cannot stand straight on its own after staking, a splint stake tied directly to the trunk made of bamboo, spring steel, or a fiberglass rod may be used to straighten the upper trunk and/or leader. Avoid using square wood secondary stakes. Acceptable staking examples may be seen below (Figures 12, 13, and 14).



Figure 12. Double staked

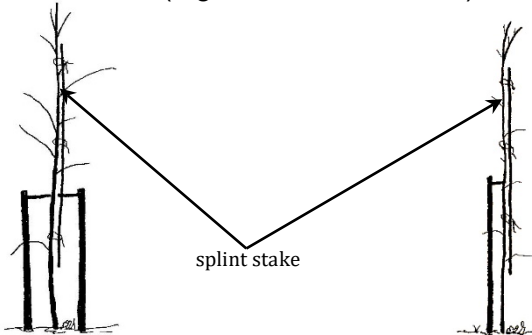


Figure 13. Double staked with splint stake.



Figure 14. Single staked with splint stake.

# Tree Training at Planting and in the Early Years

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

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

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

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

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

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

## Structural Pruning Checklist

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

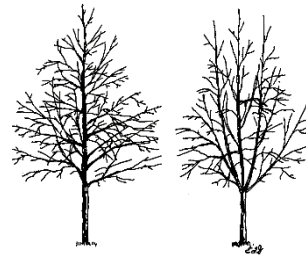


Figure 15. Good tree structure (left); poor structure (right).

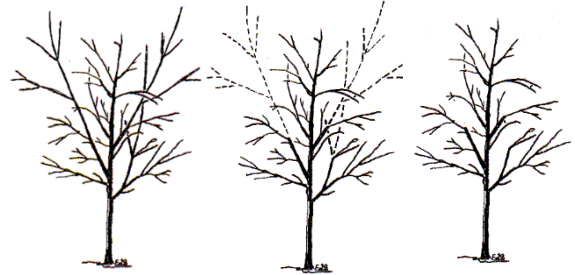


Figure 16. Shorten competing stems to improve structure.

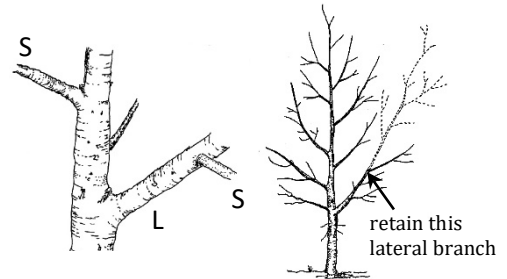


Figure 17. Only large branches need pruning (L). Small branches (S) do not need to be pruned.

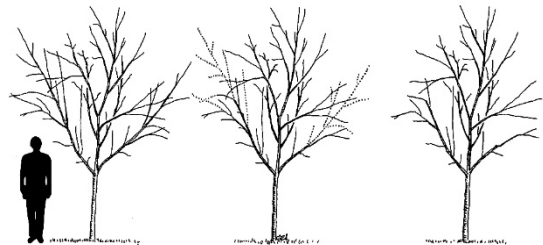


Figure 18. Shortening larger low branches concentrates growth in the leader and improves tree structure.

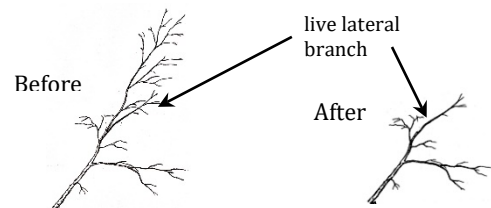


Figure 19. Reduce a stem back to a live lateral branch to slow its growth.



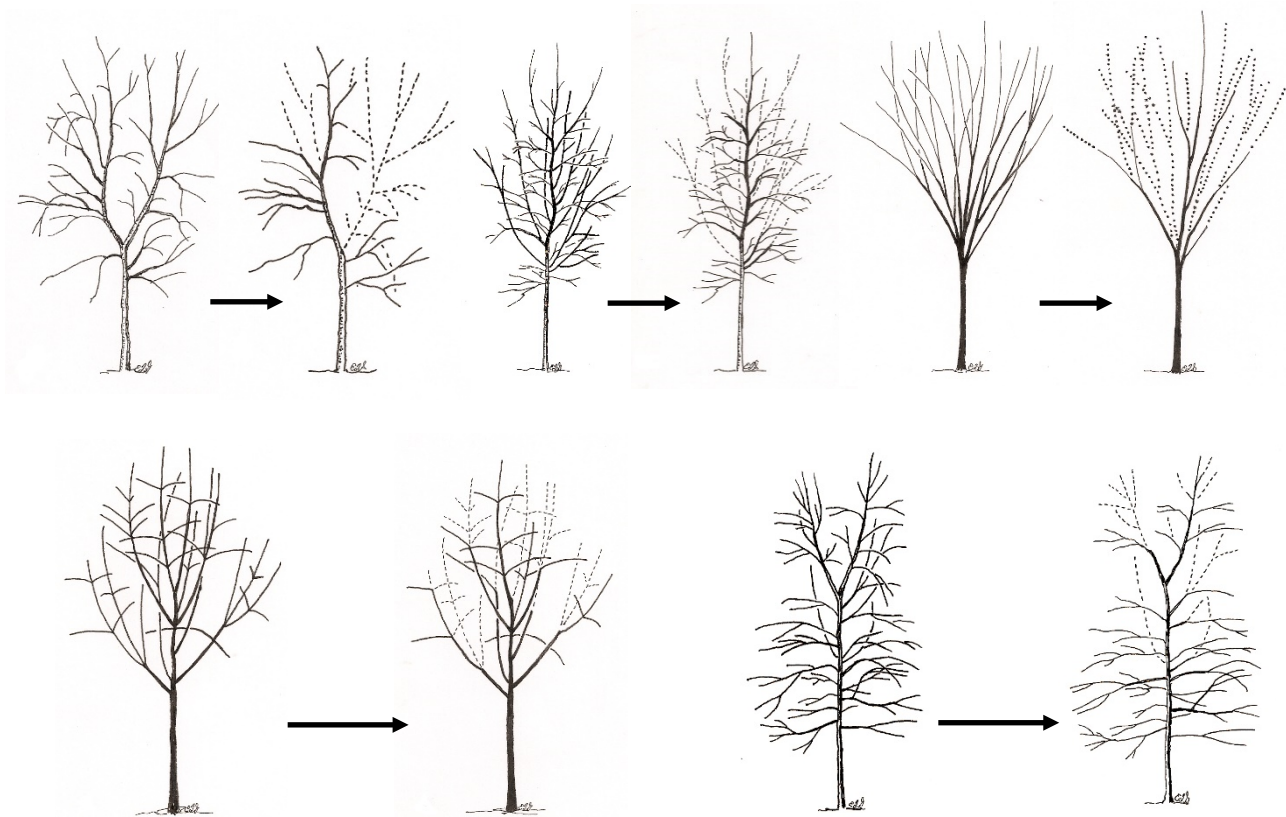


Figure 20. Before and after pruning at planting for structure.

## Irrigation

Consistent irrigation is critical for tree establishment.

- Apply about 3 gallons of water per inch of trunk diameter to the root ball 2 or 3 times per week for the first growing season.
- Increase volume and decrease frequency as the tree becomes established. Weekly irrigation during the second year and bimonthly irrigation during the third year should be sufficient for establishment.
- Once established, irrigation requirements depend on species, planting site, climate, and soil conditions.
- Irrigation devices should be regularly checked for breaks and leaks.
- Consider use of recycled water where the species will tolerate it and the recycled water quality is adequate.

**IMPORTANT NOTE:** Tree species selected must be classified as very low, low, or moderate water use species in the [WUCOLS IV](#) or must be justified for the planting site(s) selected.

# APPENDIX I – Required Management Activities Practices

## Minimum Data Collection Attributes for Urban Tree Inventories

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

- **Mapping coordinate.** X and Y coordinate locations (latitude and longitude). Each tree and planting site will be located using GIS and/or GPS equipment.
- **Block side.** The location of each street tree and planting site so that they can easily be identified for future work. Street trees and planting sites will be located using a street name, side of lot, tree number, and block side information (on street, from street, and to street).
- **Location.** The tree's physical location in relation to public Right of Way and/or public space will be recorded. (*Optional and recommended: consider collecting distance and azimuth from buildings.*)
- **Species.** Trees will be identified by *genus* and *species*, and by common name.
- **Diameter.** Tree trunk diameter will be recorded. This should be to the nearest 1-inch.
- **Stems.** The number of stems a tree has will be recorded.
- **Condition.** In general, the condition of each tree will be recorded in one of the following categories adapted from the rating system established by the International Society of Arboriculture:

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

- **Maintenance need.** The following maintenance categories (*or similar approved by CAL FIRE prior to collection*) will be collected:
  1. **Priority 1 Removal.** Trees designated for removal have defects that cannot be cost-effectively or practically treated. Most of the trees in this category will have a large percentage of dead crown and pose an elevated level of risk for failure. Any hazards that could be potential dangers to persons or property and seen as potential liabilities would be in this category. Large dead and dying trees that are high liability risks are included in this category. These trees are the first ones that should be removed.

2. Priority 2 Removal. Trees that should be removed but do not pose a liability as great as the first priority will be identified here. This category would need attention as soon as “Priority One” trees are removed.
  3. Priority 3 Removal. Trees that should be removed, but that pose minimal liability to persons or property, will be identified in this category.
  4. Priority 1 Prune. Trees that require priority one pruning are recommended for trimming to remove hazardous deadwood, hangers, or broken branches. These trees have broken or hanging limbs, hazardous deadwood, and dead, dying, or diseased limbs or leaders greater than four inches in diameter.
  5. Priority 2 Prune. These trees have dead, dying, diseased, or weakened branches between two and four inches in diameter and are potential safety hazards.
  6. Large Tree Routine Prune. These trees require routine horticultural pruning to correct structural problems or growth patterns, which would eventually obstruct traffic or interfere with utility wires or buildings. Trees in this category are large enough to require bucket truck access or manual climbing.
  7. Small Tree Routine Prune. These trees require routine horticultural pruning to correct structural problems or growth patterns, which would eventually obstruct traffic or interfere with utility wires or buildings. These trees are small growing, mature trees that can be evaluated and pruned from the ground.
  8. Training Prune. Young, large-growing trees that are still small must be pruned to correct or eliminate weak, interfering, or objectionable branches to minimize future maintenance requirements. These trees, up to 20 feet in height, can be worked with a pole-pruner by a person standing on the ground.
  9. Stump Removal. This category indicates a stump that should be removed.
  10. Plant Tree. During the inventory, vacant planting sites will be identified by street and address. The size of the site is designated as small, medium, or large (indicating the ultimate size that the tree will attain), depending on the growing space available and the presence of overhead wires.
- **Clearance Required.** Trees, which are causing or may cause visibility or clearance difficulties for pedestrians or vehicles, will be identified, as well as those trees blocking clear visibility of signs or traffic signals.
  - **Hardscape Damage.** Damage to sidewalks and curbs by tree roots are noted. Notes on potential fixes for the problem are encouraged (redesign options etc....)
  - **Overhead Utilities.** The inventory indicates whether overhead conductors or other utilities are present at the tree site that could result in conflicts with the tree.
  - **Grow space.** The area within the growing space is categorized as:
    - T Tree Lawn
    - W Well/Pit
    - M Median
    - P Raised Planter
    - O Open/Unrestricted
    - I Island
    - U Unmaintained Area

- **Space Size.** The narrowest dimension of the Grow Space, in feet. (I.e., 3'x3' cut-out, 4' parkway strip, open parkland, etc.).
  - **Notes.** Additional information regarding disease, insect, mechanical damage, etc. can be included in this field.
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## **Urban Forest Management Plan Best Practices**

**CAL FIRE Requires:** Failure to meet the below requirements will result in the denial of reimbursement of grant funds unless specific written authorization to deviate from them has been provided by CAL FIRE.

- Management plans must be informed by the residents of the jurisdiction that have been authentically engaged in the plan's creation.
- Management plans must be developed based on reliable collected data, such as a tree inventory, urban forest mapping and analysis, urban forest economic analysis, etc.
- Management plans must be a long term (40-50 year), comprehensive document, not solely a maintenance plan.
- Management plans must address the entire jurisdiction including private property in some form (regulations, incentives, best practices, etc.).
- There shall be a provision for periodic review of any urban forest management plan.
- A management plan must be referenced in an ordinance, a general plan element, or be officially adopted by the governing body in another binding, enforceable way as approved by CAL FIRE staff.
- Any management plan must set a tree canopy cover goal for the jurisdiction. The goal must, at minimum, maintain the current tree canopy cover level.
- Management plans must address the following: tree maintenance (including best management practices), wildfire (if applicable), urban wood utilization, and roles of the jurisdiction's agencies. This may be done by referencing other policy documents.

**CAL FIRE Recommends:** Grantees should strongly consider using the following resources.

- [UFMP Toolkit](#). Provides a "how-to" approach to develop an Urban Forest Management Plan (UFMP). The toolkit will lead you through a planning process and provide helpful references and additional tools.
- [The American Public Works Association guide for Urban Forest Management Plans](#).
- [iTree](#). A series of urban forest analysis tools are available for free on the iTree website.
- [Arbor Day Foundation's Tree City USA](#). All cities engaging in Management Activities Grants should consider applying for Tree City USA status. It is a free municipal recognition program that has been in existence since 1976. A CAL FIRE Regional Urban Forester can assist you with this.