

Exhibit C

California Climate Investments

Department of Forestry and Fire Protection

Forest Health Program Grant Guidelines

FY 2020-2021

FY 2021-2022



March 10, 2021
Proposals Due: 3 p.m., May 19, 2021

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FOREST HEALTH PROGRAM SUMMARY

CAL FIRE's Forest Health Program awards funding to landscape-scale land management projects that achieve the following objectives:

- Restore forest health and disaster resilience to California's forests.
- Protect upper watersheds where California's water supply originates.
- Promote long-term storage of carbon in forest trees and soils.
- Minimize the loss of forest carbon from unnaturally large high severity wildfires.
- Further the goals of the [California Forest Carbon Plan](#), [California's Natural and Working Lands Implementation Plan](#) and [AB 32 Climate Change Scoping Plan](#)

CAL FIRE seeks to significantly increase fuels management, fire reintroduction, reforestation, and conservation of forests degraded by overcrowding, drought, pest infestation, and catastrophic fire. All Forest Health projects must have climate benefits from 1) treatment activities, 2) avoided future wildfire and fossil fuel use, and/or 3) reforestation and/or growth and yield of remaining vegetation. Applicants are required to submit supporting documentation to enable CAL FIRE staff to validate benefits using the [Forest Health Quantification Methodology and Calculator Tool](#) developed by CAL FIRE and the California Air Resources Board (CARB).

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

ELIGIBLE ACTIVITIES

Fostering healthy forests calls for a balanced approach using a variety of activities including fuel reduction, fire reintroduction, pest management, reforestation, research, conservation, and use of biomass in wood products and energy. Activities must be applied across large landscapes to achieve regional resilience. Projects that implement a mix of activities with multiple, experienced partners will be given priority.

Projects may include planning, organizational and business capacity-building, and workforce and infrastructure development as components of proposed projects.

All revenues collected as a result of activities paid for, in full or in part, with Forest Health Program grant funds must be tracked and re-invested into the project to further grant objectives.

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

- a. **Forest Fuels Reduction** – Eligible activities must focus on treating understory trees and brush with the goals of reducing fire hazards, improving tree growth, stabilizing carbon in retained trees, and increasing forest resilience. Forest thinning activities can be manual or mechanical and must be designed to change stand structure to: 1) concentrate carbon storage in widely-spaced and larger trees that are more resilient to wildfire, drought, and pest outbreaks; and 2) reduce the likelihood of wildfire transitioning into the forest canopy. Commercial harvesting activities should focus on promoting carbon storage in remaining trees and must be compatible with achieving resilient forests with stable carbon storage that provide co-benefits such as fish and wildlife habitat, increased biodiversity, and wildlife adaptation to climate change. Pre-commercial and brush removal activities are also eligible.
- b. **Prescribed Fire** – Eligible activities must focus on the need to reintroduce fires to fire-adapted forest ecosystems. Applying fire to the landscape may serve multiple purposes including, reducing fuel loads, creating heterogenous and diverse vegetation, maintaining cultural practices of indigenous communities, and/or promoting healthy ecosystem processes such as water storage and pest control. Prescribed burns may be completed with private or public burn crews.
- c. **Pest Management** – Eligible activities must address pest control and related forest health improvement, while reducing pest-related mortality, improving tree growth, stabilizing carbon retained in trees, and increasing forest resilience. Activities may include forest thinning and/or brush removal. Forest thinning activities (manual or mechanical) should change stand structure to increase carbon storage in more widely spaced trees that are more resistant to wildfire, drought, and insect attacks. Harvesting activities should focus on removing dead, diseased, suppressed, or slow-growing trees for the purpose of promoting carbon storage in remaining trees and must be compatible with achieving resilient forests with stable carbon storage that provide co-benefits such as fish and wildlife habitat, increased biodiversity, and wildlife adaptation to climate change.
- d. **Reforestation** – Eligible activities should establish a diverse, native forest, which will result in stable carbon sequestration and storage, improved watershed and habitat functions, and forest resilience. Species selection must be appropriate for the site and may be used to address climate adaptation.

Climate appropriate seed lots may be identified using the [U.S. Forest Service's Seedlot Selection Tool](#).

Reforestation of recently burned areas is also eligible for funding, including planning, site preparation and planting; fire suppression repair costs are not eligible.

The Forest Health program does not fund afforestation or the establishment of forests in historically non-forested areas.

- e. **Biomass Utilization** – Eligible activities must: 1) utilize woody biomass for wood products such as post and pole, firewood, dimensional lumber, plywood, or other products which allows for continued carbon storage; 2) generate energy through combustion or gasification, which displaces carbon-intensive fossil fuel-based energy; or 3) utilize woody biomass to help develop markets for beneficial uses of the material. Beneficial uses include, but are not limited to, dimensional lumber, animal bedding, biochar, artistic and cultural products, cross-laminated timber, mulch, oriented strandboard, pulp, post, shredding, and veneer products.
- f. **Forest Legacy** – Eligible activities include the purchase or donation of conservation easements or fee title of productive forest lands threatened with conversion to non-forest uses, such as subdivision for residential or commercial development. As with Forest Health Program grants, all conservation projects must also demonstrate GHG emission reduction benefits.

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

- g. **Research** – Research activities are no longer eligible as a component of Forest Health implementation projects. Research activities are still eligible for award as stand-alone projects through the Forest Health Research Program and have separate application requirements and processes (see **Appendix B**).

The Forest Health Research Program funds projects that seek to improve the scientific understanding of issues related to the objectives of the Forest Health Program, CCI Investment Plan, and the California Forest Carbon Plan. All proposed projects must address one or more priority topics. Research Program applications have different selection criteria, timeframes for agreements, and other requirements than Forest Health projects. Please refer to **Appendix B** for Research Program requirements and application instructions.

FUNDING AVAILABILITY – FISCAL YEARS 2020/2021 AND 2021/2022

Up to \$170 million will be awarded to Forest Health projects that fit the eligibility criteria and score competitively against the selection criteria. Up to \$40 million of the total funding will be reserved for post-fire recovery. Funds will be available following appropriation in signed budget bills for fiscal years 2020-21 and 2021-22 and following generation in the Cap-and-Trade auction. Forest Health and Fire Prevention are one of three state programs for which auction proceeds will be prioritized according to (insert bill).

Funding expiration date will vary based on fiscal year and fund source. Funds awarded earlier will be prioritized for high scoring projects that are able to begin ground-disturbing activities in Summer 2021.

Wildfire and Forest Resilience budget proposal – Forest Health

| Fiscal Year | Fund | Amount (in millions) | Expiration date |
|-------------|--------------------------|-------------------------|-----------------|
| 2020-21 | General Fund | \$5 | March 31, 2024 |
| 2020-21 | GHG Reduction Fund | \$65 | March 31, 2025 |
| 2021-22 | General Fund | \$20 | March 31, 2026 |
| 2021-22 | GHG Reduction Fund | \$80 | March 31, 2026 |

Additionally, up to \$14 million will be awarded to Forest Legacy applicants and at least \$3.8 million will be awarded to Forest Health Research applicants.

PROJECT ELIGIBILITY – FOREST HEALTH

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

Eligible Organizations and Partners

CAL FIRE will enter into grant agreements with local, state, and federal public agencies; Native American tribes; universities; special districts; industrial and non-industrial private forest landowners; and non-profit organizations.

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

Greenhouse Gas Emissions Reductions

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

Applicants are not required to calculate the GHG benefits of proposed projects; however, they are required to submit GHG workbook that CAL FIRE staff may complete a quantitative estimate of the net GHG benefit of the project in terms of metric tonnes of carbon dioxide equivalent (CO₂e). Calculations will be completed using [the most current version Forest Health Quantification Methodology \(QM\) and Calculator Tool](#). GHG benefit per Forest Health Program funds requested will ultimately be recorded as MTCO₂e/\$. Applications that do not include the required documentation may be disqualified.

Some activities, such as planning, outreach or education, may not have a measurable GHG emissions benefit. Applicants must provide a qualitative description of how these proposed activities will result in emissions reductions, further quantitative assessment of GHG impacts, or improve management actions or policy.

Project Scale

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

Funding Limits

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

Project Readiness

Eligible projects must complete grant-related activities no later than March 31, 2026. However, due to the varying funding expiration dates included in this grant solicitation, CAL FIRE may request earlier project completion date of March 31, 2024 or March 31, 2025 when awarding projects. CAL FIRE may also choose to fund a portion of a project based on funding availability.

Preference will be given to projects that have environmental compliance such as CEQA and/or NEPA completed before the project application is submitted (**See Appendix C**). Applicants must agree to complete all needed environmental compliance work within one year of award and must demonstrate progress toward completing the work within six months of award. CAL FIRE will begin to review all awarded projects within 12 months of the grant award or by January 2022 and may reallocate awarded funds to a different grantee by July 2023 if environmental compliance is not complete or reasonable progress cannot be demonstrated.

Equal Opportunity

CAL FIRE Forest Health Program is committed to supporting disadvantaged and marginalized communities. This commitment furthers the mission of CAL FIRE to serve and safeguard the people of California, as well as the [CCI legislative mandates](#) to invest in under-resourced communities and communities particularly vulnerable to climate change. Applicants are invited to describe how implementation of grant funds may elevate historically marginalized populations.

APPLICATION SCORING – FOREST HEALTH

Applicants are required to submit a complete project application including a detailed scope of work, project workplan and timeline, detailed budget and budget justification, project maps and digital spatial data, supporting documents allowing for a calculation of GHG emission reductions by CAL FIRE staff, and additional supporting documents as listed in the Project Application package described below.

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

Grant Selection Criteria – Forest Health

These criteria are specific to Forest Health grant applications.

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

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

1. Scope of Work – 15 points

The project is appropriate for the program and the Scope of Work includes a clear, complete articulation of the work to be completed.

The Scope of Work must address the following:

- Project background and statement of need, including ecosystem and community benefits.
- How the project is consistent with the goals of the Forest Health Program and California's climate goals as outlined in the California Forest Carbon Plan, California's Natural and Working Lands Implementation Plan, and Global Warming Solutions Act of 2006.
- Proposed project activities as outlined in project Work Plan, expected project deliverables/milestones, and any permits or regulatory approvals needed to complete the project.
- A description of how the project will utilize a diverse mix of management actions that follow industry standards, are appropriate activities for the project landscape, and how they combine or connect to promote forest health at a landscape scale.
- If the project includes planning, outreach or education, an explanation of how those proposed activities will result in GHG emissions reductions or improve management actions or policy.
- An explanation of how multiple, experienced partners representing all key stakeholders will collaborate throughout the project, including: planning, funding, implementation, and monitoring.

- The extent to which the project will deliver enduring, sustainable benefits. Considerations may include co-benefits such as habitat value and invasive species control. Plans for long-term maintenance of these benefits including the responsible parties, funding, and partner assistance.
- Proposed measures to avoid adverse impacts to soil health and fish, wildlife and native plant resources in project design and development. Within 6 months of executing the grant agreement, the Grantee will be required to submit a plan for identifying and mitigating the risk of introducing exotic and/or invasive species. This includes identifying potential issues in the project area, prevention practices to be implemented, monitoring and mitigation. Activities to mitigate existing invasive species may be specified in the budget.

2. Project Work Plan – 5 points

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

If the proposed project is a continuation of, or related to, a current CAL FIRE Forest Health Grant, the Work Plan should show the transition of currently funded activities to proposed activities.

3. Budget – 10 points

Both budget worksheets have been completed, with the “Project Budget” worksheet clearly depicting how grant funds will be spent by spending type, and the “Treatment Areas” worksheet specifying the treatment areas, ownership type, and funds to be spent by treatment area. Requested funds shall be no less than \$750,000 and no more than \$5 million.

The budget and budget justification depict how costs are reasonable for the proposed treatments, deliverables, and Scope of Work. The budget specifies the number of salaried employees and contractors to be funded under the grant and the cost basis for each. Consideration should be given to including costs for environmental compliance, adequate and thorough reporting to CAL FIRE, and GIS support to provide digital spatial treatment data to CAL FIRE. The budget must identify anticipated income received from the sale of forest products or other income generated from the project and how those funds will be reinvested in the project.

4. Long Term Forest Management Goals – 5 points

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

5. Net Greenhouse Gas (GHG) Benefit – 10 points

While applicants are not required to calculate the GHG benefits of proposed projects; the application must include a completed GHG workbook that CAL FIRE Forest Health staff will use to make a quantitative estimate of the net GHG benefit of the project in terms of metric tonnes of carbon dioxide equivalent (CO₂e). Applications that do not include the required documentation may be disqualified.

Forest Health will perform a thorough assessment of project activities as related to past calculations of those activities on similar lands. Preference will be given to projects that are estimated to have significant GHG benefits.

6. Priority Landscapes – 5 points

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

CAL FIRE's Fire and Resource Assessment Program (FRAP) has developed a [Priority Landscape web map viewer](#) that can be used to assess whether proposed project is located in a high priority landscape in which specific actions can be taken to reduce risk to a forest asset. Those actions include: 1) Reducing Wildfire Risks to Ecosystem Services, 2) Restoring Fire Damaged Areas, 3) Restoring Pest Damaged Areas, and 4) Reducing Wildfire Threat to Communities. Applicants should briefly describe which priority area(s) they will be working in and describe how work will reduce risk to the asset in that area.

Climate refugia may also be considered as a priority landscape. Applicants must describe the source of climate refugia identification and how proposed treatments will enhance refugia characteristics.

7. Co-Benefits – 5 points

California Climate Investments support socio-economic, environmental, and public health co-benefits.

The application must include a brief description of the project's co-benefits. Potential co-benefits include, but are not limited to, reduced fire risk and/or facilitated fire suppression; bioenergy and/or wood products produced; biomass diverted from landfill; improved air and/or water quality; improved watershed health; protected water supplies; improved wildlife, fish, or native plant habitat; reduced invasive species; increased recreation, education, or outreach opportunities; workforce development of populations historically marginalized in forestry; improved scenic resources; protected cultural resources; traditional ecological knowledge engaged; improved soil health; benefits to local economy; benefits to local culture; agricultural benefits; climate adaptation; jobs created and/or supported; and/or pursuit of environmental justice.

8. Jobs – 5 points

Applicant has completed and attached [CARB's Job Co-benefit Modeling Tool](#) and included in the application the number of jobs that are to be supported and/or the number of jobs that are to be created with project and CCI funding. Projects that are awarded funding will be required to provide regular updates of workers employed by, and job training provided with, CCI funding.

All Forest Health grantees will be required to maintain records and report bi-annually to CAL FIRE on all jobs directly associated with the implementation of the grant activities, including jobs provided by contractors and sub-contractors.

Job creation or workforce development in disadvantaged communities may be highlighted in the application. (If workforce development is the primary project activity, contact Forest Health staff for directions on choosing the most appropriate Job Co-benefit Modeling Tool.)

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

Forest Health prioritizes projects that include and benefit residents of disadvantaged communities, low-income communities, and low-income households; these are collectively referred to as "priority populations."

Applicants must refer to CCI-CAL FIRE's [Priority Populations Evaluation Criteria](#) document (Appendix F) to determine if the project 1) is located within a census tract identified as a disadvantaged community or low-income community, or directly benefits residents of a low-income household; 2) meaningfully addresses an important community need; and 3) provides direct, meaningful, and assured benefits to priority populations.

Leadership and partnership from, and outreach to, Priority Populations or organizations may be described in the application. Benefits to communities should be described in terms of the community need and the direct impact of the project.

Number of points awarded will be proportional to amount of budget spent within a priority population and inclusion of priority populations in leadership, partnership, and outreach.

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

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

11. Collaboration, Community Engagement and Local Support – 10 points

The project includes broad community engagement, partnerships, or collaborative efforts.

Collaboration and support are demonstrated by private and public partnerships in the planning, funding, and implementation of the project. CAL FIRE will favor those projects that provide a direct benefit to a community and meaningfully address an important community need. Leadership, partnership, or support from communities historically under-represented in forestry may be recognized in the application.

Preference will be given to projects that are identified as priorities by regional groups such as the Regional Prioritization Groups of the Forest Management Task Force (FMTF), the Regional Forest and Fire Capacity Program (RFFCP), and Collaborative Forest Landscape Restoration Program (CFLRP). These groups were established to promote and support collaborative planning and implementation of forest health management and restoration efforts at a landscape scale.

Inclusion in a prioritization document, letter of recommendation, or other demonstration of participation in and support of a regional group will be considered.

Applicants must refer to CCI’s [Co-benefit Assessment Methodology for Community Engagement](#) and complete the Community Engagement Questionnaire to determine how the project demonstrates public participation in planning, design, and implementation occurs in ways that foster community access, deliberation, and leadership.

12. Grantee’s Administrative Capacity and Past Forest Management History – 10 points

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

If the Applicant is a prior CAL FIRE Forest Health grantee (or major contributing partner), the Applicant must be up to date on all grant reporting and have demonstrated substantial progress towards accomplishing the existing grant activities and objectives. If the proposed project is a continuation of, or related to, a current CAL FIRE Forest Health Grant, a minimum of 50% of the previously awarded Forest Health grant funds must have been expended at time of this application, and the applicant must include a plan to demonstrate that at least 70% of the previously awarded grant funds will be expended by December 31, 2021. Maintenance on past Forest Health grant funded activities shall have a maintenance plan described clearly within the SOW as well as the Work Plan and Project Budget worksheets.

13. Readiness and Legal Requirements – 5 points

The Applicant has completed the “Environmental Compliance” worksheet. “Readiness” is the ability to implement the project and the capability to begin ground disturbing activities on the project within 12 months of the grant award. The project is ready to implement, because all required documents and legal requirements such as, CEQA, NEPA, landowner access agreements, permits, ancillary contracts, and agreements are in place. All environmental permitting must be completed within one year of the grant agreement (See Appendix D). A Registered Professional Forester or NASP-Certified Silviculturist must oversee vegetation treatments and removal.

APPLICATION PROCESS

These processes are applicable to all programs.

Applicants to the Forest Health, Forest Legacy and Research programs, must follow the three-step application process described below. This process includes 1) requesting a Project ID and access to CAL FIRE's SharePoint content management platform; 2) submitting all required supporting documents and data via the assigned SharePoint folder; 3) submitting an online application form. Any project that does not submit both supporting documents AND an online application form will be disqualified.

The **Project Application deadline is 3 p.m. PDT on May 19, 2021**. After this time, access to the online application and any documents modified in SharePoint may be rejected.

Step 1 – Request Project ID and link to CAL FIRE Grants SharePoint platform:

Prior to applying, interested entities need to request a Project Tracking ID number and be assigned access to CAL FIRE Grants' SharePoint folder. **Additional instructions on how to use SharePoint can be found on the [CAL FIRE Grants webpage](#).**

Send email to CALFIRE.Grants@fire.ca.gov, including:

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

The Project Tracking ID will be in the form of:

20-FH-UUU-XXX for Forest Health

20-FL-UUU-XXX for Forest Legacy

20-RP-UUU-XXX for Research Program

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

Applicants should request this information at the beginning of the grant application process. Please allow up to one business day to receive a link to your SharePoint folder. Requests that are made less than one week prior to the due date may not be considered.

Step 2 – Submit Items in Folders to CAL FIRE's SharePoint platform:

Using the link for SharePoint received from CAL FIRE Grants in Step 1, create folders using the naming conventions for each folder described below and upload the required documents into the folders. Submit your documents as early as

possible as additional time will not be allowed for technical or Internet uploading issues. *Do not submit any other supporting materials as they will not be reviewed.*

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

| Folder 1 Contents | Electronic File Name |
|--------------------------------------------------------------------------------------------------------------------|--------------------------------------------|
| A: Scope of Work | 20-FH/FL/RP-UUU-XXX-SOW.doc or .pdf |
| B: Statement of Qualifications | 20-FH/FL/RP-UUU-XXX-SOQ.doc or .pdf |
| C: Budget, Treatment Areas, Work Plan, and Environmental Compliance Forest Health Project workbook | 20-FH/FL/RP-UUU-XXX-FHProjectWorkbook.xlsx |
| D: Maps / .shp files | 20-FH/FL/RP-UUU-XXX-Map.zip |
| E: Letters of Participation | 20-FH/FL/RP-UUU-XXX-Partners.pdf or .zip |
| F: Letters of Support | 20-FH/FL/RP-UUU-XXX-Support.pdf or .zip |
| G: CCI Jobs Calculator | 20-FH/FL/RP-UUU-XXX-Jobs.pdf |

A. Scope of Work –

- Forest Health – See Page 7 for required elements in a Scope of Work for Forest Health applications. MS Word or PDF document limited to 4 pages using 11-point or greater, Arial font.
- Forest Legacy – See Appendix A. The Statement of Applicability must be limited to one page, for each of the four criteria. MS Word or PDF document, using 11-point or greater, Arial font.
- Research Program – See Appendix B for required elements in a Scope of Work for stand-alone research projects. MS Word or PDF document, limited to 10 pages using 11-point or greater, Arial font.

B. Statement of Qualifications –

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

- C. Forest Health Workbook (Budget, Treatment Areas, Work Plan, and Environmental Compliance worksheets) –Submitted as one [Excel workbook](#), using template provided.
 - Forest Legacy and Research Program applicants need not complete Environmental Compliance worksheets unless forest treatments or other ground-disturbing activities are proposed using grant funds.
 - Research Program applicants whose projects are longer than two years should identify two distinct phases in timeline worksheet and provide separate budgets for phases. See Appendix B for additional information.

- D. Maps of Project Area (Sized to 8 ½” x 11”). Limited to one PDF file for maps or multiple PDF’s in one .ZIP file.

- E. Signed letters of participation from primary project partners listed in under “Collaboration/Partnerships” of the Project Application, and from any landowners or managers where research is being performed. Letters should be addressed to: Chief Helge Eng, Deputy Director, Resources Management, California Department of Forestry and Fire Protection. Submit as a single PDF file or as a .ZIP file with multiple letters.

- F. Signed letters of support from individuals and entities other than primary project partners. This includes letters of support from the leadership of the FMTF, RFFCP, or other collaborative forest restoration group, if applicable. Graduate student applicants to the Research Program should include a letter of support from their major professor. Submit letters as a single PDF file or as a .ZIP file with multiple letters.

- G. [Job Co-benefit Modeling Tool](#) completed according to the methods to prospectively estimate the number of jobs supported by California Climate Investments projects as specified in the [User Guide. User Guide.](#)

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

| Folder 2 Contents | Electronic File Name |
|--------------------------------------|------------------------------------|
| A: Articles of Incorporation | 20-FH/FL/RP-UUU-XXX-AOI.pdf |
| B: Governing Resolution | 20-FH/FL/RP-UUU-XXX-Resolution.pdf |
| C: Non-Discrimination Compliance | 20-FH/FL/RP-UUU-XXX-STD20.pdf |
| D: Drug-Free Workplace Certification | 20-FH/FL/RP-UUU-XXX-STD21.pdf |
| E: Payee Data Record form STD 204 | 20-FH/FL/RP-UUU-XXX-STD204.pdf |
| F: UC/CSU Model Agreement Template | 20-FH/FL/RP-UUU-XXX-UTC.doc |

- Articles of Incorporation including the Seal from the Secretary of State. *Only required from non-profit Applicants.*

- A signed Resolution by the Applicant’s governing body, which allows the grantee to sign agreements and amendments for a specific project (See Appendix F). The Resolution is not required to be notarized. *Resolutions are required only from non-profit and local agency Applicants.*
- State of California [Non-Discrimination Compliance Statement](#) (STD 19) – Not required from state agencies
- State of California [Drug-Free Workplace Certification](#) (STD 21) – Not required from state agencies
- State of California [Payee Data Record](#) (STD 204) – A W-9 can be substituted for tribal and governmental agencies
- University of California and California State Universities are also required to submit their application using the [Model Agreement Template](#) on the Department of General Services’ website. Documents must be submitted in MS Word.

Folder 3: GIS DOCUMENTS:

| Folder 3 Contents | Electronic File Name |
|-------------------------------|----------------------------------------|
| A: Project Boundary | 20-FH/FL/RP-UUU-XXX-Boundary.zip |
| B: Treatment and Impact Areas | 20-FH/FL/RP-UUU-XXX-TreatmentAreas.zip |

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

Spatial data formatting requirements:

- Shapefile (including all associated file extensions), KMZ, or GDB
- Polygon vector files
- Coordinate reference system: NAD_1983_California_Teale_Albers (EPSG: 3310)
- Metadata must be provided for any naming convention, coding, etc.
- Include source information and methodology in a note file in each zipped GIS package
- File names:
 - ApplicationNumber_Boundary_YYYYMMDD.xxx
 - For example: 20-FH-HUU-XXX_Boundary_20201001.shp
 - ApplicationNumber_Treatment##_YYYYMMDD.xxx.

- 20- FH-HUU-XXX-HUU_Treatment01_20201001.prj
- If the project area boundary is not contiguous, format so that all tracts or treatment areas are polygons in one single layer with the tract/treatment area names in the attribute table.
- Optional, but recommended: include the information in Worksheet 3: Treatment Areas in the attribute table for the proposed treatment areas layer(s). [A sample shape file is provided here as an Excel document](#) and on the [Forest Health Grantee Resources web page](#).
- Compile all spatial data into two .zip files, one for Project Boundary and one for Treatment Areas (see Folder 3: Contents chart above).

Folder 4: GHG EMISSIONS WORKBOOK: *Not required for Research Program applicants.* Use the following naming protocol:

| Folder 4 Contents | Electronic File Name |
|---------------------------|--------------------------------------|
| A: GHG Emissions Workbook | 20-FH/FL/RP-UUU-XXX-GHGWorkbook.xlsx |

- A. Access the [GHG Emissions Workbook](#) and follow the instructions on the “Read Me” tab to complete the tabbed worksheet for each planned project activity.
- B. Contact Forest Health Emissions Specialist, Kevin Welch, with questions: Kevin.Welch@fire.ca.gov.

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

Attachments should be named using the following protocol: 20-FH/-UUU-XXX—Environment.pdf or.zip

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

| Folder 6 Contents | Electronic File Name |
|-----------------------------|-------------------------------|
| A: Conservation Easement | 20-FL-UUU-XXX-Easement.xlsx |
| B: Preliminary Title Report | 20-FL-UUU-XXX-TitleReport.zip |

Step 3 – Submit Online Application:

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

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

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

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

The application form consists of several sections:

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

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

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

Application Review and Awards

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

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

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

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

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

GENERAL GRANT CONDITIONS AND PROJECT ADMINISTRATION

Project Performance Period

- The Project Performance Period is from the time the Grant Agreement is fully signed by the CAL FIRE Deputy Director or designee to the Agreement termination date. Only eligible costs incurred during the Project Performance Period will be paid by the State.
- CAL FIRE will execute all Grant Agreements as soon as feasible and no later than December 31, 2021, for Forest Health and Forest Legacy projects. Research Program projects must have grant Agreements executed by December 31, 2021. CAL FIRE may require agreements to be executed sooner based on funding availability.
- **Project work related to Forest Health and Forest Legacy must be completed no later than March 31, 2026. Project work related to Research grants must be completed no later than March 31, 2025.** CAL FIRE has the discretion to specify an earlier project completion date at the time of award based on the funds associated with the grant award. CAL FIRE

will work with the awardees to ensure projects will still be achievable within the earlier timeframe.

- Final invoices for all grant-related work must be submitted to CAL FIRE no later than 30 days after the Project Performance Period.

Project Reporting

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

Report contents are determined by CAL FIRE and are consistent with the required project type-specific reporting requirements in CARB's Funding Guidelines. Information to be submitted includes, but is not limited to:

- Project accomplishments
- Challenges and obstacles
- CCI dollars allocated and matching funds contributed
- Acres of land treated, activities completed and GIS files that map those treatments
- Number of trees and acres planted
- Bone dry tons of biomass delivered to a renewable energy facility, tons of biomass delivered to a sawmill, renewable energy produced,
- Before and after photographs
- Jobs created and supported (both by grantee and contractors) and job training provided (this will be required to be in June and December)
- Benefits to disadvantaged and/or low-income communities, and other co-benefits.

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

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

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

Changes to an Approved Project

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

Project Amendments and Termination

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

Accounting Requirements

The grantee must maintain an accounting system that accurately reflects fiscal transactions. The accounting system must provide an adequate audit trail, including original source documents, such as receipts, progress payments, invoices, purchase orders, timecards, cancelled checks, etc. The accounting system must document the total cost of the project. The grantee must maintain accounting records for one year following the duration of the Project Performance Period or after final disposition of any disputed audit findings. Grantees are required to keep source documents for all expenditures related to each grant for at least three years following Project completion and one year following an audit.

Loss of Funding

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

1. Grantee fails to obtain an executed Grant Agreement by December 31, 2021.
2. Grantee has not satisfied all legal requirements (e.g., CEQA, NEPA, ancillary contracts, agreements, MOUs, etc.) necessary to initiate ground disturbing project work within 1 year of grant agreement execution.
3. Grantee fails to use all the grant funds.
4. Grantee withdraws from the grant program.
5. Grantee fails to complete the funded project described in the Grant Agreement Scope of Work.
6. Grantee fails to submit all documentation within the time periods specified in the Grant Agreement.
7. Grantee changes the Project Scope of Work or project implementation without CAL FIRE's prior written approval.
8. Grantee or CAL FIRE terminates the Agreement.
9. Any activity that results in significant change to the expected GHG impacts of the project.
10. Grantee does not reinvest project income into the project.

Eligible Costs

Project costs must be consistent with the approved Project Application and incurred during the Project Performance Period as specified in the Grant Agreement. With the exception of stand-alone research, project elements that do not produce a direct GHG benefit (e.g., education, planning, etc.) must be linked with on the ground activities that do, or they will not be eligible costs.

| Budget Item | Eligible Cost | Required Documentation |
|---------------------------|--------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|--------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|
| Salaries and Wages | Salaries and wages of employees employed by the grantee who are DIRECTLY engaged in the execution of the grant project. Limited to actual time spent on the grant project. Examples of expenditures include time related to site visits and project monitoring, and completion of reporting related to the grant project. Staff time related to accounting, business services, etc. are allowed only if those functions are not included in the grantee's overhead cost. | Timesheets or similar documentation detailing days and hours worked on the project. Payroll documentation should show a nexus between time worked on the project and wages paid to the employee after the fact. |
| Benefits | Employer contribution share of fringe benefits associated with employees (paid from salaries and wages Budget Item) who are directly engaged in the execution of the grant project. This will include Social Security, Medicare, Health Insurance, Pension Plan costs, etc. as applicable for the specific employee. | Same documentation as Salaries and Wages. Payroll documentation showing wages and hours paid to the employee and associated fringe benefits. |
| Contractual | Direct consultant and contractual services necessary to achieve the objectives of the grant. Examples of contractual costs will be RPF supervision/certification, professional/consultant services (the costs of consultant services necessary for project planning and implementation), fire prevention contractor, etc. Procurement of contractual services should be documented to ensure selection on a competitive basis and documentation of price analysis. | Invoices from Consultant/Contractor identifying expenditure, services performed and period of services. Documents related to consultant/contractor selection analysis shall be kept by the grantee but available for audit purposes. |

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

| | | |
|-------------------------------------------------|-----------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|--------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|
| Fee Title or Conservation Easement Costs | Applicable to Forest Legacy grant program only. Purchase of conservation easement or fee title of productive forestlands. | Written request to provide funds payable to the title company handling escrow along with a Std. 204 for the title company prior to escrow closing. Provide a copy of the filed Notice of Unrecorded Grant Agreement (NOUGA) or deed after escrow has closed. |
| Other | Other costs that do not fit in any of the above categories. Cost must be directly related to the grant project. A cost (such as rent, utilities, phones, general office supplies, etc.) that must be apportioned to the grant is considered indirect cost unless written justification is submitted and approved by CAL FIRE. | Invoices or receipts identifying the item and cost charged to the grant. |
| Indirect Costs | Indirect Costs are costs associated with doing business that are of a general nature and are incurred to benefit two or more functions within the grantee organization. These costs are not usually identified specifically within the grant agreement, project, or activity, but are necessary for the general operation of the organization. Examples include salaries and benefits of employees not directly assigned to a project; functions such as personnel, accounting, budgeting, audits, business services, information technology, janitorial, and salaries of supervisors and managers; and rent, utilities, supplies, etc. Functions included as direct versus indirect costs must be applied consistently for all activities within the grantee organization, regardless of fund source. The maximum allowable indirect charge for this grant program is 12%. | Applied on a percentage (%) basis on direct costs <u>except for equipment</u> . Documentation related to the determination of the grantee's indirect cost rate must be retained by the grantee for audit purposes. |

Ineligible Costs

The following are ineligible for reimbursement under the grant:

1. Costs incurred before or after the Project Performance Period.
2. Cost of preparing the Project Application or other grant proposals.
3. Overtime, sick time, paid time off or vacation pay for employees and/or contractors. Overtime hours will be reimbursed at the straight time rate.
4. Projects or activities utilizing CAL FIRE staff without corresponding reimbursements or requests seeking funding for services already provided by CAL FIRE.
5. Late fees, penalties and bank fees.
6. Any activity that would lead to the project not achieving a GHG reduction.
7. Any practice or activity that, in CAL FIRE's judgment, is not a best management practice or that is, or could be, harmful to the forested landscape.
8. Any indirect costs based on percentage of equipment costs (see above).

Payment of Grant Funds

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

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

A Forest Health Grant Project Progress Report or Final Report shall accompany all invoices. CAL FIRE may conduct a site inspection to verify that work invoiced has been satisfactorily completed. The invoice will then be forwarded to Sacramento Headquarters for review and subsequent approval of payment. **Expect payment to be issued 45 to 60 calendar days from the time an acceptable invoice is received.** If an invoice is incomplete or non-reimbursable, it will be returned to the grantee.

Advances

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

An [Advance Payment Request Form](#) must be submitted identifying how funds may be used over a six-month period. No single advance payment shall exceed 25% of the total grant award. [An accountability report](#) must be submitted to CAL FIRE every four months after receiving the advance until the funds have been fully utilized. Advances should be fully utilized within a six-month period unless additional time is approved by CAL FIRE. No additional advances may be requested until acceptable documentation is received by CAL FIRE that the previous advance has been fully exhausted on eligible expenses.

Prevailing Wage Requirements

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

State Audit

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

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

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

All project records must be retained by the grantee for a period of not less than one year after the State audit or after final disposition of any disputed audit findings. Grantees are required to keep source documents for all expenditures related to each grant for at least

three years following Project completion and one year following an audit unless the grantee has a longer retention policy.

Research Sites, Data and Publications

Site Access

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

Data Management and Use

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

Publications

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

Scientific Integrity

Scientific integrity is vital to all CAL FIRE activities under which scientific research, data,

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

APPENDIX A – FOREST LEGACY PROGRAM

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

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

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

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

Forest Legacy Applicant Eligibility

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

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

1. To be eligible for funding under this program, a project must further the goals of AB 32 and include a quantitative estimate of the net GHG benefit in terms of

metric tonnes of carbon dioxide equivalent per the quantification methodology approved by CARB.

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

2. California Forest Legacy projects funded through this solicitation will have to comply with Civil Code §815.11:

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

3. **All project work related must be completed by March 31, 2026 unless an earlier date is specified by CAL FIRE.**

Conveyances

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

- **Facilitated Donation:** The Forest Legacy Program will pay for the due diligence incurred by the landowner in making the donation. This could include cost of developing the easement, cost of developing the management plan, legal costs, surveys, title work, etc.
- **Purchase:** The Forest Legacy Program will provide funding for a land trust or public municipality to purchase and own the land or conservation easement with any combination of federal, state and

private funding, including partial donation by the landowner.

Conservation Easement and Carbon Project Eligibility

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

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

Funding Options

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

Required Field Visit

A field visit will be scheduled with the landowner if one has not already been done prior to the submittal of an application. It is the responsibility of the applicant to schedule a field visit prior to submitting an application. The field visit gives the FLP Coordinator an opportunity to ask additional questions and further explain the program to the landowner. It also provides the landowner with a chance to get to know the FLP Coordinator and ask questions about the program. This is also a good time for the landowner to discuss the legal aspects if s/he has not discussed this with an attorney. The FLP Coordinator will advise the landowner to seek legal counsel if s/he has not already done so and wishes to proceed with the application.

Forest Legacy Scoring Criteria

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

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

Statement of Applicability to Criteria

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

1. Importance – 30 points

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

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

- High importance (21-30 points) - The project contains most of the attributes and those attributes are very significant and of high-quality.
- Medium (11-20 points) - The project contains most attributes, several of which are very significant and of high-quality.
- Low (0-10 points) - The project contains only a few attributes, or it could contain all of them, but does so in a limited, marginal, or tertiary way.

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

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

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

same consideration as a property that makes a significant conservation contribution to water, riparian, and aquatic resources and habitats.

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

2. Threat – 20 points

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

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

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

- Likely (11-20 points) - Multiple conditions exist that make conversion to non-forest uses likely.
- Possible (1-10 points) - A few conditions exist that make conversion to non-forest uses possible.
- Unlikely (0 points) - Current conditions exist that make conversion to non-forest uses unlikely.

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

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

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

3. Strategic Value – 30 points

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

- High (21-30 points) - The property significantly advances a conservation initiative, strategy, or plan and complements protected lands.
- Average (11-20 points) - The property makes a modest contribution to a conservation initiative, strategy, or plan and is near already protected lands.
- Low (0-10 points) - The property is not part of a conservation initiative, strategy, or plan or near already protected lands, but will lead to locally focused conservation effort.

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

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

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

4. Readiness – 6 points

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

- Documented support for the cost estimate, such as completed market analysis or preliminary appraisal.
- Cost Share commitment has been obtained from a specified source.
- A signed option or purchase and sales agreement is Title search is completed, including identifying any temporary or permanent protections.
- Minerals determination is completed.
- For conservation easement properties, a stewardship plan or multi-resource management plan is completed.

5. Active Forest Management/Public Access – 7 points

- 4 additional points are available for those applicants demonstrating current active forest management, on the property of which the Conservation Easement would cover. This shall be demonstrated with an existing, approved NTMP (Non-Industrial Timber Management Plan), THP (Timber Harvest Plan, CFIP or EQIP management plan, or other comparable forest management guidance document. This plan must have been written or updated within the

last 5 years. The requirement may also be met with the application for forest restoration projects on the same acres as the Forest Legacy project application as part as the total application package in this grant request. In short, the landowner must demonstrate a history and/or willness to conduct forest and fuels management in the immediate past or show demonstrated intent to manage the property in the immediate future.

- 3 additional points will be awarded to projects that are designed to allow public access for educational and recreational purposes. The Forest Legacy Program values public education aimed at teaching California's residents about the nature and benefits of active forest management and restoration. Public access opportunities must be allowed in a controlled manner that facilitate education and experiences that enable the public to directly experience an active working forest. Private hunting leases do not count for this additional score.

6. Matching Funds – 7 points

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

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

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

Forest Legacy Application Process

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

1. Online application specific to the Forest Legacy Program
2. Statement of Applicability to Forest Legacy Criteria (See pages A-4 to A-8). Saved and submitted to SharePoint as -FH/FL/RP-UUU-XXX-SOW.doc or .pdf.
3. Required Forest Health attachments (See page 12, "Application Processes")
4. Draft conservation easement, if applying for funding for a conservation easement
5. Preliminary title report

Forest Legacy Contacts

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Project Funding Process

1. For a project to close, the project must go through a number of additional steps to ensure that the monies have been spent wisely and to comply with State laws and regulations.
 - A current **appraisal** must be conducted by an approved appraiser to State standards.
 - The **appraisal must be reviewed** and approved by the Department of General Services review appraisers.
 - If applicable, a **final conservation easement must be** approved. *(Note: a draft conservation easement must accompany the Project Application for it to be considered complete).*
 - Preliminary **Title Report**- if the title report shows exceptions that would not allow the State to take title (such as surface mineral rights owned by a third

party) those exceptions must be removed from title before the purchase of the property interest. This may add years to project completion. (Note: a preliminary title report is required for all Project Applications).

- A **Baseline**, documenting the current property conditions must be completed and approved by the state before closing the project.
 - A current **Forest Stewardship/Management Plan** or equivalent (e.g., Non-Industrial Timber Management Plan or Ranch Management Plan) must be completed and approved by the state before closing the project. A Timber Harvest Plan is not an acceptable document.
 - Any conservation easement must address requirements in Section 815.11 of the California Civil Code.
 - A **Monitoring Plan** must be developed to State Standards.
 - A **Property Acquisition Agreement** is signed.
 - **Escrow instructions must be** given to the title company.
2. Once all the above have been satisfied, an escrow account is opened at a title company and all documents and funds are transferred there.
 3. If due diligence costs are awarded as part of the grant budget, an invoice with supporting documentation must be submitted to CAL FIRE to be reimbursed.
 4. A Notice of Unrecorded Grant Agreement (NOUGA) may need to be submitted to CAL FIRE after escrow has closed.

APPENDIX B – FOREST HEALTH RESEARCH PROGRAM

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

Program Overview

The Forest Health Research Program (hereafter “Research Program”) was established as part of CAL FIRE’s plan for implementing the California Forest Carbon Plan. It is one of several CAL FIRE programs funded through the California Climate Investments (CCI) program, Greenhouse Gas Reduction Fund. The mission of the Research Program is 1) to identify and prioritize research topics in forest health and fire science critical to the State of California, 2) to fund sound scientific studies that support forest landowners, resource agencies, and fire management organizations within the state, 3) to ensure scientific information generated from the program is made available to support decision making and policy, and 4) to further the goals of the California Forest Carbon Plan, the California Natural and Working Lands Implementation Plan, CCI, and AB 32 Global Warming Solutions Act.

The Research Program operates in conjunction with the Forest Health Program but draws from a separate source of funds. The program, procedures and requirements described herein apply only to “stand-alone” research projects, where research-related activities are the only activities proposed. Research activities are no longer eligible as a component of larger Forest Health projects.

Priority Research Topics

The following topics have been identified as priorities for study for the Research Program for FY 2020-21 and 2021-22. Proposed research must address one or more of these priority topics. Research projects should be focused on and relevant to California ecosystems and their management.

1. Disturbance, recovery, and strategies for forest resilience in an altered future climate. Includes but is not limited to: post-wildfire recovery, regeneration and reforestation strategies; improved prediction of threats such as drought and wildfire and associated impacts to forest health; climate adaptation strategies that will promote healthy, persistent forests; interactions of drought and wildfire; impacts related to invasive species.
2. Implementation, effectiveness, impacts, and tradeoffs of alternative management strategies to reduce wildfire risk, increase carbon storage, improve biodiversity, improve water and air quality, and provide regional economic benefits. Includes, but is not limited to: implications of significantly increased pace and scale of prescribed fire and other forest health treatments.
3. Natural, historical and contemporary range of variation in fire regimes (i.e., frequency, seasonality, size, spatial complexity, intensity, severity, and fire type), forest conditions and distributions, and wildfire-related greenhouse gas

emissions in California ecosystems, particularly those less well studied. Includes, but is not limited to: historical and paleo-ecological investigations; changes in modern-era disturbance regimes; and long-term trends in forest health and resources.

4. Forest products and utilization of forest residues related to fuel reduction and forest health treatments. Includes but is not limited to: emerging approaches, technologies and wood products; impacts of products and utilization on greenhouse gas emissions; and impacts on local, regional and state economies.
5. Human dimensions and socio-economic considerations related to forest health and management. Includes but is not limited to: indigenous perspectives on forest health and best management practices; total cost of uncontrolled wildfire; public perceptions of wildfire risk and willingness to take or support mitigating action; identification of communities and populations vulnerable to wildfire impacts; and impacts of wildfire and prescribed fire on public health.
6. Improved prediction of wildland fire spread, behavior, and potential impacts, particularly under extreme weather conditions and within the wildland-urban interface. Includes but is not limited to: improved prediction of fire weather and near-term fire danger; atmospheric coupling in wildfire models; ember generation, lofting, transport and likelihood of structure ignition.

Funding Availability

Research projects will be funded from the Research Program budget, which is independent of the larger Forest Health Program budget. The following information applies to the Research Program for FY 2020-21 and FY 2021-22 (this solicitation).

The Research Program intends to award a minimum of \$3,800,000 in competitively selected grants for FY 2020-21 and FY 2021-22. Additional funds may become available in Summer/Fall of 2021 after finalization of the State budget for FY 2021-22. If this is the case, additional projects may be selected for award from the pool of applications received in this solicitation.

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

| | Research Project Type | Approximate Budget Allocation | Maximum Award Amount |
|---|--------------------------------|--------------------------------------|-----------------------------|
| 1 | General | 53% (\$2.0M) | \$500,000 |
| 2 | State Forests | 26% (\$1.0M) | \$500,000 |
| 3 | Graduate Student | 8% (\$0.3M) | \$100,000 |
| 4 | Synthesis and Tool Development | 13% (\$0.5M) | \$500,000 |

Research Project Type Descriptions

- **General:** Projects must include original research, and may occur or focus on any land in California that is relevant to the vision, goals and objectives outlined in the [California Wildfire and Forest Resilience Action Plan](#), [California Forest Carbon Plan](#), [California Strategic Fire Plan](#), or other large scale forest, fire or ecosystem management planning documents for areas within the state.
- **State Forests:** Projects must include original research, and must include at least one study site on a [Demonstration State Forest](#) or other CAL FIRE-managed land.
- **Graduate Student:** Research proposal must be written by a graduate student, and project must include original research which will be led by the student and contribute both to their program of graduate study and to the goals of the Research Program. Note that grant awards do not go directly to students; agreements for these grants will typically be between CAL FIRE and the student's academic advisor or university.
- **Scientific Synthesis and Tool Development:** Project should be solely or primarily focused on the synthesis of current scientific information and literature, distribution of current scientific data and information, and/or decision support tools for landowners, managers, and the public. Projects funded under this category should not include original research as the core focus. Examples include, but are not limited to, literature reviews and development of innovative web tools for accessing data and decision support.

Project Timing and Phasing

Applicants may propose projects up to four years in length, with work starting no earlier than August 15, 2021. Projects must be complete by March 31, 2026. No work

to be billed to the project may take place after that date. Final invoices are due within 30 days of project end date.

Due to the constraints associated specifically with Research Program funds, individual grant agreements may only cover up to three years. Projects that will be completed by March 31, 2024 will be considered “single-phase projects,” and applicants should provide a single budget worksheet.

Projects that include work after March 31, 2024 will need to be funded via two separate, sequential grant agreements, and will be considered “two-phase projects”. In this case, applicants should develop and propose projects in two distinct phases, as follows:

- Phase 1 should be proposed for work that will be performed up to and including March 31, 2024
- Phase 2 should be proposed for work that will be performed between April 1, 2024 and March 31, 2026.

For two-phase projects that are selected for grant award, CAL FIRE will agree to fund Phase 1, and will also agree to fund Phase 2 subject to the availability of Research Program funding in subsequent fiscal years. Applicants that have been awarded Phase 1 funds will not have to re-apply for Phase 2 funds.

CAL FIRE will not make awards for two-phase projects without a reasonable expectation that the second phases can be funded in a future fiscal year. However, funding for the Research Program is dependent upon the appropriation in the annual State Budget Act, where priorities can change year-over-year. This is not currently expected but is a possibility of which applicants should be aware.

Upon selection of a Research Program application for award, a grant agreement will be written in the current fiscal year for single-phase projects, and for Phase 1 of two-phase projects. An agreement for Phase 2 will be written in a subsequent (usually the next) fiscal year, contingent upon funding availability.

Applicants requesting funding over two phases will need to submit separate budget worksheets for Phase 1 and Phase 2 Budget worksheet in the [CAL FIRE Project Budget Workbook](#) provided.

Project Eligibility

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

Research Program Eligibility Criteria

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

- *Eligible Activities*

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

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

Scientific syntheses and tool development are allowed either as part of original research projects or as the sole or primary focus of the project (see additional information about project types in Funding Availability section above). Proposals for scientific syntheses such as literature reviews should identify a clear question or set of questions related to the Research Program priority topics and be directly relevant to long-term forest and fire management strategies, planning and policy for CAL FIRE or other land management agencies. Topics or questions to be reviewed and synthesized should be ones of current importance that have not previously had a publicly available synthesis or literature review performed, or where there has been considerable scientific advancement on the topic since any prior reviews. Proposed tool development must facilitate distribution and utilization of current scientific information, data or decision-making tools to landowners, land management agencies and the public.

- *Eligible Organizations and Partners*

CAL FIRE will grant funds from the Research Program to public and other nonprofit universities and affiliated academic institutions, local agencies (e.g. counties and special districts), state agencies, federal agencies, Native American tribes, private forest landowners, and non-profit 501(c)(3) organizations (e.g. fire safe councils, and land trusts).

- *Eligible Study Areas*

Research projects must be focused on and relevant to California forests and

other ecosystems and their management. A significant portion of the geographic area proposed for study must be contained within California. Study areas may include land in adjacent U.S. states, but should be contiguous with and representative of study areas within California. If additional proposed study areas are outside of California and discontinuous with study areas within California, ample justification must be provided as to why these areas should be included, and how they support project research questions and hypotheses relevant to California ecosystems. Study areas may not be located outside the United States.

- *Greenhouse Gas Emissions Reductions*

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

- *Project Scale*

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

- *Funding Limits*

The maximum allowable request for Research Program projects varies by project type, as follows: 1) General: \$500,000; 2) State Forests: \$500,000; 3) Graduate Student: \$100,000; 4) Synthesis and Tool Development: \$500,000. Please see the information about project types, funding allocations and expected number of awards in the “Funding Availability” section above. There is no minimum allowable request.

- *Partner and Landowner Commitment*

For any on-the-ground activities proposed, whether manipulative, mensurative, or otherwise, applicants must have approval from landowners or managers where the research activities will occur. Applicants must demonstrate that relevant landowners or managers are willing to provide access to study sites and allow proposed research activities to occur. Where persons or organizations other than the primary applicant will do substantive work (either paid, in-kind, or unpaid) critical to the grant deliverables and within the grant period, applicants must list these parties as partners in the application.

Participating landowners, land managers and project partners must demonstrate their understanding of and willingness to participate in the proposed project. A brief, signed letter of participation from each relevant landowner, land manager or project partner identified should be provided with the online application.

- ***Project Readiness***

Where applicable, applicants must be able to complete all environmental permitting, including fulfilling CEQA/NEPA requirements within one year of executing grant agreement (see Appendix D). Eligible stand-alone research projects must be able to complete all grant-related work by March 31, 2023 for single-phase projects and March 31, 2025 for two-phase projects.

- ***Eligible Costs***

All eligible and ineligible cost rules listed on pages 22-24 for the Forest Health Program also apply to the Research Program. Additionally, please note the following:

- Tuition, required fees, and stipends or wages associated with graduate student research assistantships or equivalent academic appointments are allowable costs for Research Program awards. This applies to both graduate student-led projects (as described above), as well as to projects in which graduate student researchers are proposed as team members under the Principal Investigator. If possible, please list graduate student tuition and fee remission as a separate line item, distinct from stipends, wages or other benefits in the proposed budget. If tuition and fee remission cannot be separated into a discrete budget item per University policy, please list total proposed costs for graduate student research appointments, including stipends or wages, and note the cost of tuition and fee remission in the item description or elsewhere. The cost for tuition and fee remission may not exceed \$15,000 per individual per year.
- Labor-related expenses (salaries, wages and benefits) for university employees other than official graduate student research appointments (e.g. field or lab technicians) are allowed for all project types.
- Costs associated with the development and testing of new technologies are allowed, but must be associated with formal scientific investigation and/or hypothesis testing typical of academic research, and provide results appropriate for publication in peer reviewed scientific journals.

Project Merit

Complete and eligible applications will be scored as to how well the proposed project fits the purpose, objectives, and priority topics of the Research Program, the

soundness of the research plan, compatibility with State fire and land management goals and objectives, and likelihood of project success.

Scoring Criteria

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

- Problem Statement, Research Questions, and Relevance (20 points)
Research Program applications should include a clearly articulated problem statement providing context and background for specific research questions posed. Specific research questions to be investigated must be clearly identified, aligned with the current state of science for the topic, and address one or more of the current priority topics for the Research Program. Priority topics addressed should be identified, and a clear nexus should be made between the research questions posed and the priority topics. A compelling case should be made for how the information gained from the project will further our understanding of one or more of the priority topics, and ultimately provide information useful and relevant to management of California forests or other ecosystems.
- Methodology (20 points)
Research program applications should include a clear description of methods for addressing the research questions posed, including but not limited to study/experimental design, data collection methods, and intended analytics. The methods proposed should be well described, appropriate for addressing the research questions posed, scientifically rigorous and provide for publishable results.
- Workplan and Budget (15 points)
Research Program applications should include a clear description of the plan for completing the project, including identification of key project tasks, steps or phases, an achievable timeline and a list of specific deliverables. Delivery of a final project report and final project data to CAL FIRE must be included in the deliverables. Work plan should include a clear and achievable plan for scientific knowledge transfer, including but not limited to: preparation of refereed scientific journal publications, CAL FIRE or other governmental publications, websites, webinars, and workshops. Project budget and justification should clearly demonstrate how grant funds will be spent. Costs should be reasonable in proportion to the proposed deliverables and Statement of Work. The budget must include the cost of the grant minus any income received from the sale of forest products or other goods.
- State and Local Management Plan Relevance (5 points)
Applicants should demonstrate how their activities will ultimately support the goals and objectives of the State, as identified in documents such as the [California Wildfire and Forest Resilience Action Plan](#), [California Forest Carbon](#)

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

- Priority Landscapes and Projects Relevance (5 points)
Research Program applicants should evaluate their proposed study areas against [CAL FIRE-FRAP Priority Landscape Maps](#). Additional consideration will be given for projects that either 1) take place within one or more high priority areas, 2) directly address issues of concern identified within the Priority Landscapes, or 3) have a clear and demonstrated nexus to one or more CAL FIRE fuel reduction projects, currently funded Forest Health Program projects, or to specific projects identified by the CA Forest Management Task Force [Regional Prioritization Groups](#).
- Greenhouse Gas Benefits (10 points)
Research Program applications should provide sound and compelling justification for how the knowledge gained will directly or ultimately result in emissions reductions, further quantitative assessment of GHG impacts, or improve ecosystem management or policy in an altered future climate.
- Project Co-Benefits (5 points)
Applicant should demonstrate how the project relates or contributes to long-term ecosystem management strategies that provide for multiple economic, environmental and/or public health benefits. Research activities need not directly achieve multiple benefits beyond the topic of study, but applicants should justify the importance of the proposed study in the context of multi-objective forest and ecosystem management. Benefits may include but are not limited to: disadvantaged or low-income community benefits, jobs supported, public health, air quality, water quality and/or yield, fish and wildlife habitats, native plant values and others. Disadvantaged or low-income community benefits should be determined using CAL FIRE's [Evaluation Criteria for Providing Benefits to Priority Populations](#) (Appendix F). Supported Jobs should be calculated using the [CCI Job Co-benefit Modeling Tool](#).
- Applicant History and Qualifications (10 points)
Research Program applicants should demonstrate a strong history of scientific investigation, as evidenced by successful completion of past projects, grants and peer reviewed publications. Graduate students are not required or

expected to have a long history of past projects, but should list or demonstrate the experiences, achievements and skills they possess which will provide for successful completion of their proposed project. Research Program applications must include *Curricula Vitae* for all identified primary project staff and partners, including graduate students.

- **Readiness and Legal Requirements (5 points)**
Applicants should demonstrate the capacity to begin work promptly after execution of grant agreement, but no later than 12 months after award, and to complete grant-related work by March 31, 2025. Preference will be given to projects that can begin work immediately, and have completed any required environmental compliance (CEQA, NEPA, etc.) work before the project application is submitted. Any ancillary agreements, sub-awards, MOU's or other documents should be in place prior to commencement of work.
- **Project and Personal Support (5 points)**
Research Program applicants should demonstrate support for the proposed project beyond the simple approval of project activities. In addition to letters of participation from project partners and participants (described above), at least one signed letter of support should be provided from individuals or organizations other than primary project partners, participants or landowners. This letter may demonstrate support for either the project itself, or for the abilities of the primary project staff, or for both. For graduate student applicants, this letter should come from their academic advisor, major professor or other guiding academic faculty. Additional letters of support are allowed. All letters of support will be considered collectively in scoring. Letters should be addressed to: Chief Helge Eng, Deputy Director, Resource Management, California Department of Forestry and Fire Protection.

Application Submission Process

Applicants to the Research Program must follow the three-step application process and deadlines for the Forest Health Program described on page 12 above. Be sure to note requirements specific to Research Program applications.

Special Requirements for Research Program Applications

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

- ***Scope of Work***
The Scope of Work for Research Program applications will differ from other Forest Health Program applications. The Scope of Work is limited to 10 pages using 11-point or greater Arial font, including figures and tables. It should include the following, at minimum (please note point values listed in the scoring criteria described above):

- Problem statement, including research questions and/or hypotheses
- Relevance to Research Program priority topics
- Methods
- Workplan, including project tasks and deliverables (detailed budget and project timeline will be supplied separately in required spreadsheet).
- Knowledge transfer and outreach plan
- Relevance to state and local plans and strategies
- Relevance to state priority landscapes and projects
- Description of greenhouse gas benefits
- Relevance to long-term forest management and project co-benefits
- List of any citations referenced throughout the Scope of Work document. Include at end of document. *Does not count towards page limit.*
- ***Statement of Qualifications***

The Statement of Qualifications for Research Program applications is limited to two pages using 11-point or greater Arial font or similar. It should include the following, at a minimum (please note point values listed in the scoring criteria described above):

 - Detail the applicant's ability to complete the project as proposed, identify the resources (staff, partners, contractors) intended to complete the tasks described in the Scope of Work, and explain applicant's expertise or experience completing similar research projects.
 - Describe the applicant's readiness, including capacity to begin work promptly after execution of grant agreement, but no later than 12 months after award, and to complete grant-related work by March 31, 2023 for single-phase projects or March 31, 2025 for two-phase projects. Describe status of any required environmental review (CEQA, NEPA, etc.) or other permitting required to begin project work, as well as any hiring, ancillary agreements or sub-awards, or other required steps.
 - Include curricula vitae for Project Manager or Principal Investigator and each primary project partner identified in the application (excluding landowners not otherwise participating in the study.) *Curricula vitae do not count towards page limit.*

- ***CAL FIRE Project Budget Workbook (Excel)***
The [CAL FIRE Project Budget Workbook](#) is required of all Forest Health and Research Program applicants and includes a series of worksheets covering various project details. For Research Program applicants, please take note of the following:
 - **Project Budget:** For single-phase research projects (as described above), use the “1A. Project Budget” worksheet only. For two-phase research projects (Research Program applicants only), Applicants should supply a separate budget worksheet for Phase 1 and Phase 2.
 - **Treatment Areas:** If grant funds will be used to implement physical treatments on-the-ground (e.g., fuel reduction, reforestation etc.), Research Program Applicants should fill this worksheet out. If grant money is not paying for treatment implementation (e.g., if the funds are only paying for sample measurements of a treatment performed by another organization or agency) then Research Program Applicants need not fill out this worksheet.
 - **Workplan:** Please list the major tasks and/or milestones, as described in the Applicant’s Scope of Work, and provide a timeline for completion.
 - **Environmental Compliance:** If field research activities or ground-disturbing activities are proposed, applicants must follow all applicable processes and complete necessary documents and filings for environmental compliance and review (e.g., CEQA, NEPA – see **Appendix E**). Fill out this worksheet accordingly.

Special Note to University of California (UC) or California State University (CSU) Applicants

Much of the information and several of the documents described above will need to be duplicated within the standard [California Model Agreement](#) template document. The Model Agreement is an agreed upon format, including negotiated terms and conditions, for grants and contracts between UC and CSU grantees and the State of California. Submission of this form is required from all UC and CSU applicants, and will be used for constructing grant agreements for selected projects but does not replace CAL FIRE required application materials. Please work with your Office of Sponsored Projects or grants management office to ensure that a complete UTC is submitted along with all other documents required by CAL FIRE.

Application Review and Selection Process

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

Eligibility Review

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

Technical Merit Review

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

Program Review

The highest scoring applications for each Research Program project type will be reviewed by Forest Health Program and Research Program staff. Final awards will be determined based on project scores, program need, funding availability, and relative fit of the awarded projects to each other and with Research Program goals and priority topics.

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

Award Notification

Final selections for the 2020-21 fiscal year funds are expected to be announced in July 2021 (subject to change). If additional funds become available, secondary awards will be announced in Fall of 2021.

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

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

General Grant Conditions and Project Administration

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

Scientific Integrity

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

Federal, State and municipal laws. Suspected violations of scientific integrity will be investigated by CAL FIRE staff and may result in cancellation of grant agreement.

Project Reporting

All project reporting requirements for the Forest Health Program also apply to the Research Program. Interim progress reports will be required of all funded projects quarterly. The Research Program interim progress report template [is available online](#). Final reports are required for all funded Research Program projects, and must follow the Research Program final report template, which will be provided near the closing of the grant agreement. Final Reports should include information and analysis of similar rigor and quality to a manuscript prepared for a peer-reviewed academic journal, including methods, results, and discussion, at a minimum. There is no page limit for Research Program final reports, and as such any photo documentation and relevant supplemental information such as maps, tables and figures that might not otherwise be included in a journal manuscript are allowed and encouraged where deemed important by the Project Manager or Principal Investigator. If peer-reviewed journal articles or manuscripts have been drafted, are in review or in press, or have been published by the time of project closeout, applicants may submit draft or final manuscripts, or published journal articles in lieu of certain final report requirements.

Site Access

All funded projects that include field sites must accommodate at least one guided site visit by Research Program staff during the grant period.

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

Data Management and Use

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

Publications and Presentations

Pursuant to [California Assembly Bill No. 2192](#) ("The California Taxpayer Access to Publicly Funded Research Act"), a grantee that receives funding, in whole or in part, in the form of a research grant from a state agency shall provide for free public access to

any publication of a peer-reviewed manuscript describing state-agency-funded knowledge, a state-agency-funded invention, or state-agency-funded technology. Forest Health Program grantees must ensure that an electronic version of peer-reviewed manuscripts is available to CAL FIRE and on an appropriate publicly accessible repository approved by CAL FIRE including, but not limited to, the University of California's eScholarship Repository at the California Digital Library, or the California State University's ScholarWorks at the Systemwide Digital Library. Grantees must report to CAL FIRE the final disposition of any peer-reviewed manuscripts arising from the grant work, including, but not limited to, if it was published, date of publication, where it was published, and, after a 12-month time period from official date of publication, where the peer-reviewed manuscript will be available for open access. For other types of publications, including scientific meeting abstracts, the grantee shall comply by providing the manuscript to the CAL FIRE not later than 12 months after the official date of publication.

Publications that require acknowledgement of funding sources should list the California Department of Forestry and Fire Protection (CAL FIRE), Forest Health Research Program, and California Climate Investments (CCI).

Please visit the Media Kit section of the [Forest Health Grantee Resources](#) webpage for specific requirements of the Forest Health and CCI programs.

Forest Health Research Program Contacts

General Inquiries: FHResearch@fire.ca.gov

Amanda Alsumidaie-Reynolds
Forest Health Research Program Administration
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Tadashi Moody
Forest Health Research Program Coordinator
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Chief, Fire and Resource Assessment Program
(916) 445-5344
chris.keithley@fire.ca.gov

APPENDIX C – EXPLANATION OF TERMS

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

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

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

Using the [Excel workbook](#) provided on the [Forest Health Grantee Resources](#) webpage, applicants must complete all worksheets unless otherwise noted (see ReadMe page of the workbook for more information). CAL FIRE reserves the right to fund only a portion of the proposed budget items. Up to 12% of the total direct costs, *excluding equipment costs*, is allowable as indirect costs. Research Program applicants with two-phased projects should use this worksheet for Phase 1 budget only.

Worksheet #1: Budget

CAL FIRE Tracking # (as assigned)
Project Title

CAL FIRE Forest Health Program
California Climate Investments

Organization

Worksheet 1: Grant Info

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

Worksheet #1B: Phase 2 Budget

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

CAL FIRE Tracking # (as assigned)
Project Title

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

Organization

Worksheet 1: Grant Info

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

Worksheet #2: Treatment Areas

Specify the treatment areas, ownership type, and funds to be spent by treatment.

Worksheet 2: Treatment areas

Applicant: _____
 Application _____

List only one ownership type and only one treatment type per row. You may need to list each area more than once.
 Add more rows if needed. All treatment areas must be included.

| Treatment Number | TreatmentArea | OwnershipType | Acreage | MagementPracticeType | TreatmentType | StatusNEPA | StatusCEQA | LeadAgency | GrantFunds | MatchingFunds |
|------------------|----------------|--------------------------|---------|----------------------|-----------------|------------|-------------|------------|---------------|---------------|
| 1 | Example Area A | Other Public | 1000 | Reforestation | Machine pile | N/A | Complete | CAL FIRE | \$ 100,000.00 | \$ 100,000.00 |
| 2 | Example Area A | Other Public | 1000 | Reforestation | Planting | N/A | Complete | CAL FIRE | \$ 100,000.00 | \$ - |
| 3 | Example Area B | Private (non-industrial) | 1000 | Prescribed fire | Understory burn | N/A | In progress | CAL FIRE | \$ 100,000.00 | \$ - |
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| | | | | | | | | | | |
| Sums | Sums | | 0 | | | | | | | 0 |

Total acres treated in grant project:
 Count each acre only once even if it has multiple activities.

Worksheet #3: Work Plan

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

Worksheet 3: Work Plan & Timeline

Applicant: _____

Application ID: _____

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

| | | 2020 | 2020 | 2020 | 2020 | 2021 | 2021 | 2021 |
|----------------|----------------------------------------|---------|---------|---------|---------|---------|---------|--------|
| Treatment Area | Activity and Treatment Number | Jan-Mar | Apr-Jun | Jul-Sep | Oct-Dec | Jan-Mar | Apr-Jun | Jul-Se |
| Example Area 1 | Planning | X | X | X | X | X | | |
| | Contracting | | | | | X | X | |
| | Treatment 1: site prep by machine pile | | | | | | X | X |
| | Treatment 2: planting | | | | | | | |
| Example Area 2 | CEQA | X | X | X | X | | | |
| | Planning | | | | | X | X | |
| | Contracting | | | | | | | X |
| | Treatment 3: understory burn | | | | | | | |
| | | | | | | | | |
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Worksheet #4: Environmental Worksheet

CAL FIRE Tracking # (as assigned)
Project Title

Worksheet 4: Environmental Compliance

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

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

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

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

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

| Treatment Area | Treatment Type | Month, Year work will be completed | Lead Agency (federal) | Federal Document Being Prepared | Lead Agency (state) | State Document Being Prepared | Contractor completing documentation | Compl timelin |
|----------------|----------------|------------------------------------|-----------------------|---------------------------------|---------------------|-------------------------------|-------------------------------------|---------------|
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Notes:

APPENDIX E – ENVIRONMENTAL COMPLIANCE

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

NEPA Compliance

Project work involving Federal actions must comply with NEPA.

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

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

California Environmental Quality Act (CEQA)

Within one year of the execution of the grant agreement and prior to commencing any on-the-ground work, CAL FIRE requires proof of adequate compliance with CEQA. This may be accomplished by one or more of the following methods:

1. Notice of exemption filed with the State Clearinghouse or the county clerk and completion of the CAL FIRE's Environmental Review Report for an Exempt Project for categorically exempt projects.
2. Initial study and negative declaration or mitigated negative declaration and all associated noticing documents filed with the State Clearinghouse or the county clerk.
3. Draft and final environmental impact report and all associated noticing documents filed with the State Clearinghouse or the county clerk.
4. Timber harvesting permit or notice in compliance with the California Forest Practice Act and Rules for projects that undertake timber operations per Public Resources Code § 4527.
5. Finding of no significant impact-decision notice, categorical exclusion- decision memo or environmental impact statement-record of decision prepared in compliance with the National Environmental Policy Act for projects that are exempt from CEQA pursuant to Public Resources Code § 4799.05(b).
6. Certification that the project qualifies for the limited suspension of requirements of CEQA pursuant to the Governor's October 30, 2015, *Proclamation of a State of Emergency*.

7. Completed and accepted Project-Specific Analysis (PSA) under the [California Vegetation Treatment Program](#) (CaIVTP).

For exempt projects where the grantee is a public agency, the grantee will be responsible for: (a) preparing the Environmental Review Report for an Exempt Project and notice of exemption; and (b) filing the notice of exemption. For exempt projects where the grantee is not a public agency (e.g., fire safe council), CAL FIRE or another public agency will be responsible for (a) preparing the Environmental Review Report for an Exempt Project and notice of exemption; and (b) filing the notice of exemption.

For non-exempt projects where the grantee is a public agency¹, the grantee will assume the role of lead agency². For non-exempt projects where the grantee is not a public agency (e.g., fire safe council), CAL FIRE or another public agency will need to assume the role of lead agency. The lead agency is responsible for: (a) performing the necessary environmental effects analysis; (b) preparing environmental documents; and (c) filing associated notices.

The lead agency may require the grantee to prepare, or retain a consultant to prepare, the environmental documents required for demonstrating adequate compliance with CEQA. When CAL FIRE is the lead agency, the grantee must work closely with the department to ensure the environmental documents reflect its independent judgement.

Grantees should ensure they ask for adequate funds for environmental work when applying for grants. When preparing their budgets, grantees should consider the need to contract with appropriate resource professionals to do the necessary environmental effects assessment and document preparation work. This may include biologists, professional archaeologists, air quality experts, registered professional foresters, environmental planners, etc.

For all environmental documents where CAL FIRE is the lead agency, except timber harvesting permits or notices, cultural resources must be assessed per the procedures outlined in *Cultural Resources Review Procedures for CAL FIRE Projects*. This may require the project proponent to consult with the appropriate CAL FIRE archaeologist to determine if impacts to cultural resources are possible and what, if any, assessment work will have to be done. This consultation should be done as early in the planning process as possible.

CAL FIRE will review all environmental documents and associated notices for adequate compliance with applicable procedures and CEQA.

¹Per PRC § 21063 “Public agency” includes any state agency, board, or commission, any county, city and county, city, regional agency, public district, redevelopment agency, or other political subdivision.

² Per PRC § 21067 “Lead agency” means the public agency which has the principal responsibility for carrying out or approving a project which may have a significant effect upon the environment.

Limited Suspension of Requirements of the California Environmental Quality Act

Certain projects may qualify for the limited suspension of the requirements of CEQA pursuant to [Governor Edmund G. Brown Jr.'s October 30, 2015 Proclamation of a State of Emergency](#). The emergency proclamation suspends the requirements of CEQA for purposes of carrying out, among other things, Directive 2, where the state agency with primary responsibility for implementing the directive concurs that local action is required. In order to qualify for the emergency proclamation's suspension of CEQA, the grantee must meet certain specific criteria.

Grantees wishing to proceed under the emergency proclamation's suspension must certify that all the applicable criteria are met. CAL FIRE may assist applicants in determining their eligibility for the proclamation's suspension of CEQA prior to application submission.

CEQA Compliance

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

APPENDIX F – PRIORITY POPULATIONS

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



California Climate Investments
2018 Funding Guidelines
Benefit Criteria Tables

Project Types:
LAND RESTORATION & FOREST HEALTH
LAND CONSERVATION



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

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

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

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

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

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

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

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

Table 1 Cont'd: LAND RESTORATION & FOREST HEALTH

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

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

Describe identified community or household need(s):

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

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

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

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

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

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

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

Table 2 Cont'd: LAND CONSERVATION

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

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

Describe identified community or household need(s):

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

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

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

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

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

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

Table 5. Examples of Common Needs of Priority Populations

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

APPENDIX G – SAMPLE RESOLUTION

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

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

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

Resolution No.: _____

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

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

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

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

WHEREAS, the applicant will enter into an agreement with the State of California to carry out a forest health project;

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

1. Approved the filing of an application for “California Climate Investments” Forest Health grant program funds; and
2. Certifies that said applicant has or will have sufficient funds to operate and maintain the project; and,
3. Certifies that funds under the jurisdiction of (Governing Body) are available to begin the project.
4. Certifies that said applicant will expend grant funds prior to **March 30, 2024**.
5. Appoints (Position Title #1), (Position Title #2), or a designee, as agent of the (Governing Body) to conduct all negotiations, execute and submit all documents including, but not limited to applications, agreements, amendments, payment requests and so on, which may be necessary for the completion of the aforementioned project.

Approved and adopted the _____ day of _____, 20____. I, the undersigned, hereby certify

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

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

APPENDIX H – SAMPLE INVOICE

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

Grantee Name

Street Address
 Street Address2
 City, ST ZIP Code

INVOICE

Submit invoice and supporting documentation to:
 California Department of Forestry & Fire Protection (CAL FIRE)
 ATTN:
 ADDRESS
 CITY, STATE, ZIP CODE

DATE: MM/DD/YYYY
INVOICE #:

Grant Number: 8XX17XXX
 Grant Period: MM/DD/YYYY to MM/DD/YYYY
 Project Name:

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

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

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

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

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

Signature of Authorized Official _____ Date _____ Printed Name _____ Title _____

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