



**CHICAGO
REGION
TREES
INITIATIVE**

Our Trees.
Our Communities.
Our Future.

Project # 0873-01

**2023 Chicago Region Earmark Urban and Community Forestry Support in the Chicago Region
Grant Recipient Assurances and Requirements 2023 – 2025**

1. Cooperating Agencies

Grant Program Administrator	The Morton Arboretum (TMA)
Funder	USDA Forest Service through the Northeastern Area, State and Private Forestry (USFS)
Recipient Community (Municipality, Park District, Local Government)	The City of Aurora
Community Contact	Abby Schuler, Alderman
Contact Email & Phone	schulera@aurora.il.us 630-256-3691
Tree Inventory Quantity	NA
Urban Forest Management Plan Deliverables	NA
Tree Planting	34 trees
Other grant deliverables	-Prune 10 trees -Remove invasive species in areas specified in application -Staff members to completed UFB training -Two arborists to complete an IAA Advanced Training
Grant Award (\$)	\$24,658
Match Funding (\$)	\$8,261

Non-Liability

The Morton Arboretum, Chicago Region Trees Initiative and USDA Forest Service do not assume liability for any third party claims for damages arising out of this instrument.

Budget Revisions

Budget revisions are not allowed unless approval is provided by The Morton Arboretum in advance. Revisions will require written notice and will require a minimum 14 days prior notice for a written response from The Morton Arboretum. Invoices for unapproved budget changes will not be paid.

Prior Approval

Prior approval is required for any change to the scope of objectives of the approved projects, key personnel, or transfer of substantive programmatic work to another party. A written request must be submitted and will require a minimum of 14 days prior notice for a written response from The Morton Arboretum. Until written approval is granted for a modification, the terms and conditions of the original award remain in effect. Prior approval requests should include:

- change in the scope or the objective of the project or program (even if there is no associated budget revision);
- change in a key person specified in the application or award document;
- changing local match from the approved of work plan;
- extension period of availability of funds;

Use of Funds

1. Completion of a full or partial tree inventory accompanied by a management plan and identification of a tracking format or program;
2. Development of an urban/community forest management plan based on an existing tree inventory less than three years old; or
3. Tree planting within the recipient community's boundaries. A commitment to care for newly planted trees is required.
4. Activities to improve forest health including pruning, dead tree removals, ash treatment, tree mulching, and watering. Any tree removed with grant funding or as a match activity must:
 - a. Present a significant harm or hazard to the communities, as documented by an ISA Certified Arborist*, OR
 - b. Be an invasive exotic tree or shrub species, including:
 - i. European buckthorn (common buckthorn) - *Rhamnus cathartica*
 - ii. Amur honeysuckle - *Lonicera maackii*
 - iii. Morrow's honeysuckle - *Lonicera morrowii*
 - iv. Callery pear (Bradford pear) - *Pyrus calleryana*
 - v. Tree-of-heaven - *Ailanthus altissima*
 - vi. Autumn olive - *Elaeagnus umbellata*
 - vii. Mimosa - *Albizia julibrissin*
 - viii. Norway maple - *Acer platanoides*
 - c. *Proof of documentation must be provided to the Morton Arboretum prior to reimbursement.
5. Staff may be hired, or existing staff may be trained to undertake urban forestry enhancement activities for the community.** Allowable expenses include:
 - a. Personnel and fringe funding for community Arborist position if one does not already exist.

- b. ISA Credentialing – courses and exam fees for ISA Certified Arborist, Municipal Specialist, Tree Risk Assessment Qualification, or Certified Tree Worker.
 - c. Staff Education – Tree Keepers courses, SMA Municipal Forestry Institute, iTree Academy, Contractor training for staff, etc.
 - d. Staff time to complete and pass training
 - e. Proof of successful training completion must be submitted with your reimbursement packet.
- 6. A contractor may be hired to serve in the role of community forester to undertake urban forestry enhancement activities for the community.**

****Before grant reimbursement, a summary report must be submitted detailing how this person contributed to establishing or implementing goals and objectives for the communities urban and community forestry program.**

- 7. Volunteer development
 - a. Development of volunteer protocols and activities (e.g. volunteer pruning, volunteer tree inventory training).
 - b. Development of a Tree Board or other advisory group.
- 8. These funds can be used according to the deliverables as identified in the Request For Proposals. Deliverables above and beyond those listed in the RFP shall be negotiated separately between the Awardee and the Contractor. This extraneous work shall not be funded using grant funding.
- 9. Grant recipients shall pay their costs and receive reimbursement from The Morton Arboretum at the end of the grant period.
- 10. No part of the grant can be used to pay for land or equipment.

Notification

The Recipient shall immediately notify The Morton Arboretum of developments that have a significant impact on the activities supported under this grant. Also, notification shall be given in case of problems, delays or adverse conditions that materially impair the ability to meet the objectives of the agreement. This notification shall include a written statement of the action taken or contemplated, and any assistance needed to resolve the situation.

Award and Execution of Agreement

The agreement must be signed by someone who has the authority to represent the entity receiving the grant. This signed document must be returned to The Morton Arboretum for final execution by **June 5th, 2023**. Return an electronic copy to Colette Copic at ccopic@mortonarb.org.

The fully executed agreement will be returned to the Awardee and will serve as official notification for the community to begin their project. Any costs matching or otherwise incurred prior to the date of the executed agreement will be ineligible for reimbursement.

Matching Costs

Recipients must document and provide proof of local match of at least 25% of the project total cost. Proof of match includes copies of invoices, proof of payment, time cards, staff time spent, etc. Recipients that

commit to match spending above the 25% match requirement (Overmatch) are required to complete the agreed upon amount of overmatch in this document. Completion of committed overmatch spending is required to be eligible for grant reimbursement. The amount of overmatch that the recipient committed to shall be the amount as indicated on page 4 of their application.

Eligible Local Matching Costs

1. Direct cash match for contracted services related to inventory, management planning, tree planting, tree maintenance, tree removal, and/or staff training that is funded with grant dollars.
2. Volunteer labor hours which must be counted at or below industry standard rate for the work being completed.
3. Tree pruning, planting, care, maintenance, or removal directly related to activities undertaken with grant funding including:
 - a. Materials or supplies e.g. trees or mulch.
 - b. Site preparation and modifications including tree removal and stump grinding in preparation for tree planting projects*.
 - c. Labor and material costs for tree maintenance based on a new inventory/management plan.*
 - d. Treatment or Removal of EAB Infested ash trees or removal of dead ash trees throughout the community*
 - a. ***Any trees to be removed using grant funding or for match must present significant harm/hazard to the community and documentation of such must be provided.** Invasive exotic trees and shrubs shall also constitute harm and may be removed. These include:
 - i. European buckthorn (common buckthorn) - *Rhamnus cathartica*
 - ii. Amur honeysuckle - *Lonicera maackii*
 - iii. Morrow's honeysuckle - *Lonicera morrowii*
 - iv. Callery pear (Bradford pear) - *Pyrus calleryana*
 - v. Tree-of-heaven - *Ailanthus altissima*
 - vi. Autumn olive - *Elaeagnus umbellata*
 - vii. Mimosa - *Albizia julibrissin*
 - viii. Norway maple - *Acer platanoides*
4. Directly related administrative costs, including time spent by staff, officials, volunteers, and others who develop or approve bid documents, contracts, supervise contractors, conduct site visits, determine planting locations, and/or other related tasks.

Supporting documentation for the Recipient's match must be included with the completed reimbursement forms. Approved forms of documentation include: receipts, paid invoices, daily activity reports, volunteer sign-in sheets, or other paperwork documenting work completed.

Reporting Requirements

Recipients are required to submit progress reports to The Morton Arboretum until the work plan is completed. Recipients will receive an email notification accompanied by the progress report form two weeks prior to when the progress report is due. The Recipients are responsible for ensuring the proper email address on file is active and regularly checked. Report forms are due:

- September 15, 2023
- January 15, 2024
- March 15, 2024

- June 15, 2024
- September 15, 2024
- January 15, 2025
- March 15, 2025
- June 15, 2025

A final report and reimbursement materials are due at project completion (**September 1, 2025**) and a template will be provided.

The final report will include a budget form and match documentation worksheets. Work for this Grant **must be completed by August 1st, 2025.**

Tree Inventory Requirements

A tree inventory is a database containing specific, standardized information recorded for individual trees in an identified area of the community. The inventory must inform management decisions and be regularly updated. The inventory may contain information about the immediate area surrounding a tree, as necessary for tree management and planning. Sample size must be statistically appropriate to provide accurate conclusions for management recommendations.

Eligibility: Only applicants whose inventory has not been updated in the last 3 years are eligible for funding for an inventory. Inventories must cover between 15%-100% of the community's public tree population. An inventory action plan or urban forest management plan that addresses some part of the inventory results must accompany the inventory.

A contractor and/or qualified staff and/or volunteers may be used to complete a new or expand an existing inventory. Staff, contractors, or volunteers shall have the requisite professional experience to complete the work. Verification of this training and skills is required. All work completed through this grant shall meet the nationally recognized requirements and standards. All data collected must be submitted as one compiled inventory (new and old data) to receive reimbursement. Additional services, beyond the deliverables listed below, are not a reimbursable cost but may be used as match, e.g. software subscription fees, etc.

Tree Inventory Deliverables

1. Required Individual Tree Data Fields
 - a. GPS Coordinates
 - b. Street Address and Relative Location
 - c. Land use (i.e., residential, business zone, natural area, park, etc.)
 - d. Growing space (i.e., parkway, park, etc.)
 - e. Species
 - f. DBH
 - g. Single or multi-stem designation
 - h. Condition rating and risk assessment (such as TRAQ, Davey 10 point, etc.)
 - i. Defects (roots, wounds, rot, deadwood, etc.)
 - ii. Maintenance Recommendation
 - i. General comments or notes
2. Optional Deliverables
 - a. Plantable spaces

- b. Additional inventory features including software subscriptions that run concurrent to the grant term. All costs for subscriptions must be paid by the end of the work period.
- 3. At a minimum, the inventory shall be delivered as a digital spreadsheet, such as Excel.
- 4. Training and education
 - a. If a contractor is used, before the project starts, the contractor shall meet with the community to outline project goals and plans specific to the community.
 - b. Immediately after the inventory is complete, the contractor should provide a minimum of 3 hours of technical assistance to ensure that the community understands how to use the inventory effectively.
 - c. Following the initial 3 hours, the contractor should provide an additional minimum of 3 hours of assistance, as needed.
- 5. The Applicant shall provide a dated copy of inventory summary and Urban Forest Management Plan to The Morton Arboretum before reimbursement of grant expenditures. The Morton Arboretum requests a copy of the completed inventory to facilitate its development of outreach materials that assist communities in managing their trees. (Please contact Colette Copic at ccopic@mortonarb.org for more information about how inventory data is used by the Arboretum or to waive Morton Arboretum's request.)
- 6. A Tree Inventory Maintenance Agreement must be signed (see application for details).

Urban Forest Management Plan Requirements

Completion of a new or updated management plan is allowed as a project for this grant. It may accompany a tree inventory or be a proposal on its own – as long as it is based on an inventory that was updated no more than four years ago. A management plan's scope may cover the entire community, or appropriate subsections of a community, such as an Ash Tree Preservation / Replacement plan, risk abatement plan, cyclical pruning plan, community tree planting plan, etc. Urban Forest Management Plans are further described in Appendix A of the RFP.

Qualified staff and/or a Contractor shall complete a management plan that is based on an up-to-date inventory and shall include the following services.

Eligibility: only recipients whose existing management plans are older than 5 years old and/or not based on an inventory are eligible to receive funding for a management plan.

Management Plan Deliverables:

1. Plan goals and format
 - a. This plan shall be developed to outline the future standards, specifications, and goals for management of the community's trees and forests over the next 5 to 7 years.
 - b. This plan shall include prioritized action items for a 5 to 7 year period to ensure the Applicant can effectively and efficiently manage their trees.
 - c. This plan shall be delivered in a document format that can be easily edited and updated, e.g. Microsoft Word or another similar program.
2. Plan components may include some of the following, as needed and appropriate, for each community. **at least one component from item (a) is REQUIRED.**
 - a. Recommended and prioritized urban forest management action items, based on an inventory. One component from this list is required.
 - i. A description of the organization's urban forest canopy cover and composition.
(Canopy cover data can be provided to organizations in Will, Lake, Kane, Kendall, Cook, DuPage, and McHenry by the Chicago Region Trees Initiative)
 - ii. Prioritized planting locations, including replacements and new plantings.
 - iii. A cyclical pruning schedule and map
 - iv. Prioritized hazard abatement informed by inventory data
 - v. A list of preferred species, prohibited species, and species to be planted in limited quantities
 - vi. How the urban forest inventory will be used to inform decisions and how it will be updated.
 - vii. A strategy for improving forest age and species structure.
 - b. Short and long-term urban forest goals 2023 – 2030.
 - i. Long-term goals such as:
 1. Urban forest management goals and risk mitigation
 2. Canopy cover goals
 3. Climate change response
 - ii. Short-term goals (e.g. annual goals) such as:

1. Tree pruning schedules
 2. A plan for replacement and removals
 3. A plan for hazard abatement
 4. Mitigation of pests and diseases
 5. Benchmarks to ensure progress towards long-term goals
- c. Specifications for planting, pruning, removals, and protection
 - i. Specifications from ANSI, ISA, and/or other nationally recognized standards for tree care (pruning, planting, etc.)
 - ii. Establishing a pruning and maintenance cycle so that care is regularly scheduled.
 - iii. Protection and standards for trees in construction zones
 - d. Required and recommended certifications, qualifications, and training for staff, contracted labor, and consulting.
 - i. Formulating these requirements so as to mitigate and manage risk, including climate impacts.
 - e. Material equipment, and budget considerations
 - i. Short- and long-term budget projections and needs.
 - ii. A plan for acquisition and replacement of equipment and resources.
 - f. A program for education and outreach of residents
 - i. Engaging private landowners and managers within the organization's boundaries.
 - ii. Developing a marketing strategy for engaging residents so they are familiar with urban forestry in their community.
3. Training and education
 - a. If a Contractor is used, before the project starts, the Contractor shall meet with the community to outline project goals and plans specific to the community.
 - b. The Contractor shall provide a minimum of 3 hours, as needed, of outreach and education (that is separate from required inventory outreach) to ensure that the community is able to use the management plan effectively.

The Community shall provide proof that the management plan was completed and submit a copy of the document to The Morton Arboretum. The Arboretum will provide a copy to IDNR for your community file. Please email Colette Copic at ccopic@mortonarb.org for more information.

Staff Improvement and Volunteer Development

1. Staff may be hired, or existing staff may be trained to undertake urban forestry enhancement activities for the community.* Allowable expenses include:
 - a. Personnel and fringe funding for community Arborist position if one does not already exist.
 - b. ISA Credentialing – courses and exam fees for ISA Certified Arborist, Municipal Specialist, Tree Risk Assessment Qualification, or Certified Tree Worker.
 - c. Staff Education – Tree Keepers courses, SMA Municipal Forestry Institute, iTree Academy, Contractor training for staff, etc.
 - d. Staff time to complete and pass training
 - e. Proof of successful training completion must be submitted with your reimbursement packet.
2. A contractor may be hired to serve in the role of community forester to undertake urban forestry enhancement activities for the community.*
***Before grant reimbursement, a summary report must be submitted detailing how this person contributed to establishing or implementing goals and objectives for the communities urban and community forestry program.**
3. Volunteer development
 - a. Development of volunteer protocols and activities (e.g. volunteer pruning, volunteer tree inventory training).
 - b. Development of a Tree Board or other advisory group.

Tree Planting Requirements

Tree Planting, within the Recipient's 's boundaries, may be completed as a project. Trees planted must meet minimum quality metrics, and be planted as described below. A Tree Planting List and Maintenance Agreement is required for all tree planting projects.

Requirements:

1. Trees planted shall be between 1" and 2" caliper measured at 6" above the root flare.
2. Tree planting projects must be planned and executed to promote the long-term survival of the trees.
3. Tree species selected must be a diverse selection appropriate to your community. A statement of diversity explaining how the selected species will improve tree diversity in your community is required as part of the tree planting plan.
4. Shrubs (species that do not grow beyond 10 feet in height) are not eligible for reimbursement.
5. An International Society of Arboriculture certified arborist must approve the accompanying tree planting plan for all trees funded through this proposal or with match. (See below.)
6. The Recipient must attest to properly caring for trees purchased through this program by including a maintenance plan. The plan must identify who and frequency for watering and mulching trees over the **required three years post-planting period**. (A copy of the proposed maintenance plan must accompany the application.)
7. Trees must be planted according to the ANSI, ISA, and/or other nationally recognized planting specifications.
8. All trees purchased through this proposal shall meet the ANSI American Standard for Nursery

Stock (ANSI Z60).

9. All trees **must have the burlap, rope, and wire basket removed (or be a low-profile basket) at time of planting.**
10. All trees shall receive a 2 to 3-inch layer of hardwood mulch over the root ball and not touch the bark of the tree.
11. Tree planting shall take place in the spring or fall of 2023 or spring of 2024.
12. Tree species to be planted must be specified in the grant application. Species selected and site conditions must be identified. Grant participants are encouraged to plant native species.
13. Trees must be purchased from U.S. Department of Agriculture Certified Nurseries.
14. A Tree Maintenance Agreement and Partner Commitment Agreement is required and is attached to the Application packet.
15. Newly planted trees associated with the grant must be inventoried in the community's digital tree inventory at the time of planting and then verified and updated annually for the duration of the maintenance plan agreement. A copy of the inventory shall be submitted to The Arboretum after each update in a Microsoft Excel file format. This inventory will include an up-to-date photo of each planted tree as well as basic information such as species, size, and condition. If the community does not have a digital inventory, data must be entered in the CRTI 'Canopy Counts' online application by the Recipient. **The Arboretum may periodically conduct site visits to ensure the accuracy of this online inventory.**

Payment Procedures

Reimbursement payment shall be made only to the contracted entity for invoices paid by the grant recipients. Recipients can expect payment between 45-60 days after The Morton Arboretum has received completed reimbursement request forms containing valid invoices and canceled checks. **Only one reimbursement payment will be made to the contracted community upon completion of all phases of the grant project.** Once payment is made the grant project is considered completed, however, maintenance and care of the trees is required for three years. Maintenance and care of the trees cannot be used as match after the end of the grant period.

Payments for grants are awarded by The Morton Arboretum. **The Recipient may only receive one payment.** To receive that payment, the Recipient must invoice The Morton Arboretum, attach relevant invoices, copies of canceled checks, and documentation of the Recipient's local match. Invoice requests must be submitted for review to The Morton Arboretum no later than **September 1, 2025** using the Reimbursement Packet. The Recipient may request a copy of the reimbursement packet by emailing Colette Copic at ccopic@mortonarb.org.

Project Implementation Technical Assurances

The grant Recipient agrees to the following Assurances:

1. Tree planting projects must be planned and executed for long-term survival of trees. Tree species must be selected to match site and cultural conditions.
2. Trees should be selected for compatibility with overhead utilities. For assistance in planting for long-term success and compatibility, see <https://www.comed.com/customer-service/service-request/trees-powerlines/pages/maintenan>

[ce.aspx](#) Or contact your regional Commonwealth Edison vegetation manager at 1-800-334-7661

3. When contracting for services related to this project(s) firms must have appropriate Workers Compensation insurance.
4. Anyone removing trees or pruning trees must adhere to the most current *ANSI standards (ANSI A300)*. The standards are available here:
https://www.tcia.org/TCIA/Build_Your_Business/A300_Standards/A300_Standards.aspx
5. Nursery stock must be a minimum of 1" and no greater than 2" inches in caliper and must adhere to the ANSI Z60.1-2004 American Standard for Nursery Stock. The standard is available here <http://agri.nv.gov/Brochures/ANLStandard2004.pdf>.
6. Trees must be purchased from nurseries certified by the Illinois Department of Agriculture.
7. Individuals conducting tree inventory work must have previous experience and provide proof of qualifications to The Morton Arboretum. Individuals conducting inventory work must provide successful completion of tree inventory work to Recipients. Using tree care companies or other arboriculture-related organizations is highly recommended.

Federal Grant Terms and Conditions

Federal Requirements

Program funds are available through the U.S. Forest Service State and Private Forestry and disbursed through the US Forest Service Forest and the Morton Arboretum. The Recipient shall be responsible for reporting funds received on their annual Schedule of Expenditure of Federal Awards. The Recipient shall also be responsible for compliance with all federal laws and regulations, and specifically those pertaining to federal funding.

Recipient Audits

Subrecipients expending \$750,000 or more in Federal awards during the subrecipient's fiscal year as provided in OMB Circular 2CFR 200 are required to meet the audit requirements and forward a copy to the Morton Arboretum. The required audits must be completed within 9 months of the end of the Recipient's audit period and a copy forwarded to The Morton Arboretum along with management's response to audit findings. Within 6 months after receipt of the Recipient's audit report The Morton Arboretum will contact the Recipient to ensure that the Recipient takes timely and appropriate corrective actions on all findings. FFATA worksheet attached must be returned with the signed acceptance.

Subrecipient's entity must be registered in the SAM government database and be eligible to receive federal funds without exclusion for the term of the award. For questions regarding the above please contact Carol Walter, The Morton Arboretum Finance Department at cwalter@mortonarb.org or 630-719-2404.

Debarment and Suspension

The Recipient shall immediately inform The Morton Arboretum if they or any of their principals are presently excluded, debarred, or suspended from entering into covered transactions with the federal government according to the terms of 2 CFR Part 180. Additionally, should the Recipient or any of their principals receive a transmittal letter or other official federal notice of debarment or suspension, and then they shall notify the Morton Arboretum without undue delay. This applies whether the exclusion, debarment, or suspension is voluntary or involuntary.

Legal Authority

The Recipient shall have the legal authority to enter into this agreement, and the institutional, managerial, and financial capability to ensure proper planning, management, and completion of the project, which includes funds sufficient to pay the nonfederal share of project costs, when applicable.

Notices

Any notice given by the U.S. Forest Service or The Morton Arboretum will be sufficient only if in writing and delivered in person, mailed, or transmitted electronically by e-mail or fax, as follows:

- To The Morton Arboretum.
- To Recipient, at the Recipient's address shown in the grant/agreement or such other address designated within the grant/agreement.
- Notices will be effective when delivered in accordance with this provision, or on the effective date of the notice, whichever is later.

All awardees are subject to the federal requirements in Exhibit A in the Prime Award Agreement, attached to this the notification email as Exhibit A.

The undersigned agree to comply with the requirements of this grant agreement.

Signature of Authorized Community Representative

Name:

Title:

Date

Signature of Representative from The Morton Arboretum

Murphy Westwood

Vice President of Science and Conservation

Date