



ORDINANCE NO. 2062-21

AN ORDINANCE AUTHORIZING THE MAYOR AND CHIEF OPERATING OFFICER
TO ENTER INTO AN AGREEMENT WITH
THE MORTON ARBORETUM AND CHICAGO REGION TREE INITIATIVE TO
PROCEED WITH THE URBAN AND COMMUNITY FORESTRY CORE GRANT

BE IT ORDAINED by the Mayor and Board of Trustees of the Village of Hawthorn Woods, Illinois, that the Mayor and Chief Operating Officer be, and the same are, hereby authorized and directed to execute an agreement with the Morton Arboretum and Chicago Region Tree Initiative in substantially the form attached hereto as Exhibit "A", and, by this reference, made a part hereof.

The foregoing Ordinance was adopted by the Village Board of the Village of Hawthorn

Woods, Illinois on February 22, 2021:

AYES: Kaiser, Kesik, Kress, David, McCarthy, Ryceik

NAYS: Ø

ABSENT AND NOT VOTING: Ø

APPROVED:

Dominick DiMaggio
Dominick DiMaggio, Mayor

ATTEST:

Donna Lobaito
Donna Lobaito, Village Clerk

ADOPTED: February 22, 2021

APPROVED: March 8, 2021



4100 Illinois Route 53 • Lisle, IL 60532
630-968-0074 • mortonarb.org

January 7, 2021

Brian Sullivan
Director of Parks and Recreation
Village of Hawthorn Woods
2 Lagoon Dr
Hawthorn Woods, IL 60047

Re: Urban and Community Forestry Grant

Dear Brian,

The Morton Arboretum is pleased to announce that the Village of Hawthorn Woods has been approved in the amount of for the 2020 – 2022 round of the USDA Forest Service and Illinois Department of Natural Resources Urban and Community Forestry Core Grant.

Please read all the terms and conditions of the contract agreement, including all attachments, carefully. Sign the agreements and return an electronic copy of the agreements to Lydia Scott (lscott@mortonarb.org) no later than February 15, 2021. This letter and the following attachments outline the terms and conditions of accepting this funding.

- Sub-Award Letter
- Grant Agreement
- Your Original Application
- Our Request for Proposals

Once your agreements are received, we will review, sign, and return the completed and executed agreements to you, at which time you may begin to implement your proposed project. **Please note that only urban forestry work started after the date of the executed agreement may be counted as match.** Any work started before the receipt of your fully executed agreement will be ineligible for reimbursement.

The grant project must be completed and reimbursement request received by August 1, 2022. There are no exceptions as the Illinois Department of Natural Resources and the USDA Forest Service require that we have all work completed by that date.

By signing the attached contract, your organization agrees to all terms and conditions and you will notify The Morton Arboretum if there is any change in your organization that would affect the completion of this grant. Notification must be received by The Morton Arboretum, in writing, within two weeks of when any deficiency becomes apparent.

You are required to provide progress reports on grant expenditures and activities at the designated times outlined in the attached agreement.

All finance documents (such as invoices, receipts, cancelled checks, man-power records, etc.) for both grant-funded and match activities must be included and submitted when you request reimbursement. You are required to include copies of canceled checks.

This signed agreement gives The Morton Arboretum your permission to use photographs, logos, published/printed information, and any other materials you supply, without further notice, in press released and/or publications.

Communities are required to complete and pass a Tree Preservation Ordinance that meets the criteria outlined in the Request for Proposal, prior to the termination date of this grant – August 1, 2022. Please notify The Morton Arboretum as soon as possible and no later than February 1, 2021, if you would like to benefit from free assistance in developing an ordinance.

Finally, and importantly, congratulations on this recognition of your important efforts in urban and community forestry. We look forward to working with you during the coming term.

Sincerely,



Lydia Scott
lscott@mortonarb.org

Enclosures



THE
CHAMPION
of TREES

4100 Illinois Route 53 • Lisle, IL 60532
630-968-0074 • mortonarb.org

**2020 – 2022 Urban and Community Forestry Grant
Grant Recipient Assurances and Requirements 2020 – 2022**

Project #0827-09

1. Cooperating Agencies

Grant Program Administrator	The Morton Arboretum (TMA)
Funder	<ul style="list-style-type: none"> • Illinois Department of Natural Resources (IDNR) • USDA Forest Service through the Northeastern Area, State and Private Forestry (USFS)
Recipient Community (Municipality, Park District, Local Government)	Village of Hawthorn Woods
Community Contact	Brian Sullivan, Director of Parks and Recreation
Contact Email & Phone	bsullivan@vhw.org 847-847-3531
Tree Inventory Quantity	N/A no funding allocated
Urban Forest Management Plan Deliverables	5 management plan sections
Grant Award	\$6,000
Match Funding	0

Non-Liability

The Morton Arboretum, IDNR, 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 work plan;
- extension period of availability of funds;

Use of Funds

1. Completion of a tree inventory.
2. Development of an urban forest management plan.
3. 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.
4. Communities shall pay their costs and receive reimbursement from The Morton Arboretum at the end of the grant period.
5. No part of the grant can be used to pay for land or equipment. Tree removal costs are ineligible for grant support; however, some removal expenses may be used to meet the match requirements.

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 **February 15, 2021**. Return an electronic copy to Lydia Scott at lscott@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 with the minimum required ratio of 1:1. Proof of match includes copies of invoices, proof of payment, time cards, staff time spent, etc.

- **Eligible Local Matching Costs**

The following examples of allowable costs for a community's local match:

1. Tree removal and stump grinding occurring after the completion of the inventory and/or urban forest management plan.

2. Utilization of salvageable lumber and disposal of ash trees by community employees, volunteer or contractors.
3. Tree purchases for tree planting in response to priority actions identified by the inventory and/or management plan.
4. Site modifications and materials (soil, mulch) directly related to tree planting occurring in response to priority actions identified by the inventory and/or management plan.
5. Labor costs or in-kind volunteer labor to plant trees as detailed in #3 above.
6. Administrative costs directly related to the project.
7. Labor and material costs for tree maintenance up to August 1, 2022. All additional costs related to the maintenance and care of the trees for three years are **not** eligible as match.

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

You 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:

- March 15, 2021
- June 15, 2021
- September 15, 2021
- January 15, 2022
- March 15, 2022
- June 15, 2022

A final report is due at project completion (August 1, 2022) and a template will be provided.

The final report will include a budget form and match documentation worksheets. The Inspector's report is available for the Recipient's review in the completed agreement packet. Work for this Grant **must be completed by July 1, 2022.**

A locally approved Tree Protection/Preservation Ordinance is required before grant funds are disbursed. No grant expenses will be reimbursed until a Tree Protection/Preservation Ordinance is on file. To receive assistance in completing a Tree Protection/Preservation Ordinance, the Recipient must submit a request, in writing, to Lydia Scott (lscott@mortonarb.org) at The Morton Arboretum no later than February 15, 2021.

Tree Protection / Preservation Ordinance Requirements:

Prior to reimbursement of funding, a tree protection/preservation ordinance shall be approved by the organization's authority and shall meet the following requirements:

(*The Morton Arboretum provides ordinance revision assistance free of charge to communities. Please contact Lydia Scott at lscott@mortonarb.org)

1. Statement of purpose for the tree protection/preservation ordinance.
2. Clear definitions of terms.
3. Clear statement of the value and service of the urban forest as infrastructure.
4. Clear scope of protection, preservation, management, removals, care and pruning, selection, and planting requirements.
5. Clear specifications standards referencing the most current American National Safety Institute, National Association of Arborists, International Society of Arboriculture, National Association of Nurserymen and/or other nationally recognized organizations for the following:
 - a. tree production (nursery source production standards)
 - b. tree planting
 - c. tree care
 - d. tree pruning including frequency
 - e. species restrictions, e.g. under utilities, use of invasive species
 - f. tree removal
6. Skill requirements or certifications for individuals/organizations managing trees for the community.
7. Tree protection from construction impacts, and fee and penalty requirements.
8. Replacement requirements, fees, and penalties for trees damaged or killed.
9. A list of invasive or prohibited species, or a reference to a list in tree management plan.
10. Clear prohibition of tree topping, including fees and penalties.
11. Tree permit requirements, penalties, enforcement, variance and civil remedies.
12. Identified individual and/or group responsible for making decisions about trees.
13. Formation and qualifications, responsibilities, and terms for a Tree Board or other advisory group responsible for trees.
14. A preferred species list or reference to list in tree management plan
15. Restricted or illegal species list, e.g. invasive species list.
16. Insurance requirements.

It is recommended but not required that the tree protection/preservation ordinance include:

1. Tree risk assessment protocol and frequency
2. Education, outreach, and/or assistance to private property owners on tree planting, management and assessment.

Incentives or regulations for trees located on private property.

Tree Inventory Requirements

Inventory: 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.

The Illinois Department of Natural Resources has requested that The Morton Arboretum pool community proposals and request bids from qualified contractors to complete the work, with the goal of achieving an economy of scale. Awardees will work directly with the awarded Contractor to complete work as outlined in the award agreement.

Reputable, qualified contractor has been selected to provide the following services. **Additional services, beyond the deliverables listed below, are not a reimbursable cost but may be used as match.** Expenses related to services beyond the deliverables for this grant shall be paid by the Awardee to the Contractor.

Tree Inventory Deliverables

1. 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 & risk assessment (such as TRAQ, Davey 10 point, etc.)
 - i. Defects (Roots, wounds, rot, deadwood, etc.)
 - ii. Maintenance Recommendation
 - i. General comments or notes
 - j. Plantable Space
2. The inventory shall be delivered as a digital spreadsheet, such as Excel. Grant funds cannot be used to deliver this data using any type of software or user interface.
3. **REQUIRED:** an inventory must be accompanied by a management plan that addresses a portion or all of the findings synthesized from the data. The plan may be paid for with grant or matching funds.
4. Training and education
 - a. 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 shall 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 shall provide an additional minimum of 3 hours of assistance, as needed. These services expire on August 15, 2023.
5. The Contractor shall provide a dated copy of an inventory summary to IDNR. 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 Lydia Scott at lscott@mortonarb.org for more information about how inventory data is used by the Arboretum or to waive this request.)

Urban Forest Management Plan Requirements

A management plan is required as an outcome for this grant. It may accompany the tree inventory or be a project on its own – as long as it is based on an inventory that was updated no more than four years ago.

The Illinois Department of Natural Resources has requested that The Morton Arboretum pool community proposals and request bids from qualified contractors to complete the work, with the goal of achieving an economy of scale. Awarded Applicants will work directly with the awarded Contractor to complete work as outlined in the award agreement.

The selected qualified Contractor shall provide a management plan that is based on the funded inventory or an up-to-date inventory and shall include the following services.

Management Plan Deliverables

1. Plan goals and format
 - a. This plan shall be developed to outline the future management of the community's trees and forests. It shall include prioritized action items to ensure that communities can effectively and efficiently manage their trees.
 - b. This plan shall be delivered in a document format that can be easily edited and updated, e.g. Microsoft Word or another similar program.
 - c. The Applicant's governmental organization shall accept the plan prior to request for reimbursement.
2. Plan components may include some of the following, as needed and appropriate for each community. 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 can be provided to organizations in Will, Lake, Kane, Kendall, Cook, and McHenry by the Chicago Region Trees Initiative and can be found at Chicagorti.org/UTC.)
 - 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 capacity
 - 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 2021 – 2031.
 - 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

1. Annual management goals, such as:
 - a. Tree pruning schedules
 - b. A plan for replacement and removals
 - c. A plan for hazard abatement
 - d. Mitigation of pests and diseases
 2. 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 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. 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. These services shall expire on August 15, 2023.

The Contractor shall provide proof that the management plan was completed and submit a copy of the document to The Morton Arboretum. (Please email Lydia Scott at lscott@mortonarb.org for more information.)

Payment Procedures

Reimbursement payment shall be made only to the contracted entity for invoices paid by the grant recipients. Communities 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.

To receive payment, the administering agency must receive and approve your (new or existing) Tree Preservation/Protection Ordinance and verify that it meets all requirements listed on pages 3 and 4. It is recommended that your organization work with The Morton Arboretum to ensure that your proposed ordinance meets the requirements outlined in the Request for Proposals and the Agreement prior to requesting reimbursement.

Payments for grants are awarded by The Morton Arboretum. You may only receive one payment. To receive that payment, you must invoice The Morton Arboretum, attach relevant invoices, copies of cancelled checks, and documentation of your local match. Invoice requests must be submitted for review to The Morton Arboretum no later than **August 1, 2022** using the Reimbursement Packet. You may request a copy of the reimbursement packet by emailing Lydia Scott at lscott@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/maintenance.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 or pruning trees must adhere to the most current ANSI standards and requirements.
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 successful completion of tree inventory work to Recipients. Using tree care companies or other arboriculture-related organizations is highly recommended.

2. 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 Illinois Department of Natural Resources. The Recipient shall be responsible for reporting funds received on their annual Schedule of Expenditure of Federal Awards. The Community shall also be responsible for compliance with all federal laws and regulations, and specifically those pertaining to federal funding.

Recipient Audits

Recipients expending \$750,000 or more in Federal awards during the Recipient's fiscal year for fiscal years ending after December 31, 2003 as provided in OMB Circular A-133 are required to meet the audit requirements of OMB Circular A-133 (the circular is available at <http://whitehouse.gov/omb/circulars/a133/a133.html>). 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. 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.

Drug-Free Workplace

- a. The Recipient agrees that it will publish a drug-free workplace statement and provide a copy to each employee who will be engaged in the performance of any project/program that receives federal funding. The statement must:
 1. Tell the employees that the unlawful manufacture, distribution, dispensing, possession, or use of a controlled substance is prohibited in its workplace;
 2. Specify the actions the Recipient will take against employees for violating that prohibition; and
 3. Let each employee know that, as a condition of employment under any award, he or she
 - i. Must abide by the terms of the statement, and

- ii. Must notify you in writing if he or she is convicted for a violation of a criminal drug statute occurring in the workplace, and must do so no more than five calendar days after the conviction.
- b. The Recipient agrees that it will establish an ongoing drug-free awareness program to inform employees about:
 - i. The dangers of drug abuse in the workplace;
 - ii. Your policy of maintaining a drug-free workplace;
 - iii. Any available drug counseling, rehabilitation and employee assistance programs; and
 - iv. The penalties that you may impose upon them for drug abuse violations occurring in the workplace.
- c. Without The Morton Arboretum's expressed written approval, the policy statement and program must be in place as soon as possible, no later than the 30 days after the effective date of this instrument, or the completion date of this instrument, whichever occurs first.
- d. The Recipient agrees to immediately notify The Morton Arboretum if an employee is convicted of a drug violation in the workplace. The notification must be in writing, identify the employee's position title, the award/agreement number of each instrument on which the employee worked. The notification must be sent to The Morton Arboretum within ten calendar days after the Recipient learns of the conviction.
- e. Within 30 calendar days of learning about an employee's conviction, the Recipient must either:
 - i. Take appropriate personnel action against the employee, up to and including termination, consistent with the requirements of the Rehabilitation Act of 1973 (29 USC 794), as amended, or
 - ii. Require the employee to participate satisfactorily in a drug abuse assistance or rehabilitation program approved for these purposes by a Federal, State or local health, law enforcement, or other appropriate agency.

Eligible Workers

The Recipient shall ensure that all employees complete the I-9 form to certify that they are eligible for lawful employment under the Immigration and Nationality Act (8 USC 1324a). The Recipient shall comply with regulations regarding certification and retention of the completed forms. These requirements also apply to any contract or supplemental agreement awarded under this instrument.

Title VI Compliance

The Recipient shall comply with all Federal statutes relating to nondiscrimination and all applicable requirements of all other Federal laws, Executive Orders, regulations, and policies. These include but are not limited to: (a) Title VI of the Civil Rights Act of 1964 (42 U.S.C. 2000d, 2000e-16), which prohibits discrimination on the basis of race, color, or national origin; (b) Title IX of the Education amendments of 1972, as amended (20 U.S.C. 1681-1683, and 1685 and 1686), which prohibits discrimination on the basis of sex in educational programs and activities; (c) the Age Discrimination Act of 1975, as amended, which prohibits discrimination based on age (42 USC 6101); and Section 504 of the Rehabilitation Act of 1973 as amended (29 U.S.C. 794) which prohibits discrimination on the basis of disabilities.

Please refer to the US Forest Service Washington Office Civil Rights Office for additional information at: <http://www.fs.fed.us/cr/>

Trafficking Victims Protection Act (TVPA)

- a. Provisions applicable to a Recipient that is a private entity.

1. You as the Recipient, your employees, sub-recipients under this award, and sub-recipients' employees may not—
 - i. Engage in severe forms of trafficking in persons during the period of time that the award is in effect;
 - ii. Procure a commercial sex act during the period of time that the award is in effect; or
 - iii. Use forced labor in the performance of the award or sub-awards under the award.
2. The U.S. Forest Service as the Federal awarding agency and/or The Morton Arboretum, may unilaterally terminate this award, without penalty, if you or a sub-recipient that is a private entity —
 - i. Is determined to have violated a prohibition in paragraph a.1 of this award term; or
 - ii. Has an employee who is determined by the agency official authorized to terminate the award to have violated a prohibition in paragraph a.1 of this award term through conduct that is either—
 - A. Associated with performance under this award; or
 - B. Imputed to you or the sub-recipient using the standards and due process for imputing the conduct of an individual to an organization that are provided in 2 CFR part 180, “OMB Guidelines to Agencies on Government wide Debarment and Suspension (Non-procurement),” as implemented by our agency at 7 CFR 3017.
- b. Provision applicable to a Recipient other than a private entity. We as the U.S. Forest Service a Federal awarding agency and/or The Morton Arboretum may unilaterally terminate this award, without penalty, if a Recipient or sub-recipient that is a private entity—
 1. Is determined to have violated an applicable prohibition in paragraph a.1 of this award term; or
 2. Has an employee who is determined by the agency official authorized to terminate the award to have violated an applicable prohibition in paragraph a.1 of this award term through conduct that is either—
 - i. Associated with performance under this award; or
 - ii. Imputed to the Recipient or sub-recipient using the standards and due process for imputing the conduct of an individual to an organization that are provided in 2 CFR part 180, “OMB Guidelines to Agencies on Government-wide Debarment and Suspension (Non-procurement),” as implemented by our agency at 7 CFR 3017.
- c. Provisions applicable to any Recipient.
 1. You must inform us immediately of any information you receive from any source alleging a violation of a prohibition in paragraph a.1 of this award term.
 2. Our right to terminate unilaterally that is described in paragraph a.2 or b of this section:
 - i. Implements section 106(g) of the Trafficking Victims Protection Act of 2000 (TVPA), as amended (22 U.S.C. 7104(g)), and
 - ii. Is in addition to all other remedies for noncompliance that are available to us under this award.
 3. You must include the requirements of paragraph a.1 of this award term in any sub-award you make to a private entity.
- d. Definitions. For purposes of this award term:
 1. “Employee” means either:
 - i. An individual employed by you or a sub-recipient who is engaged in the performance of the project or program under this award; or
 - ii. Another person engaged in the performance of the project or program under this award and not compensated by you including, but not limited to, a volunteer or individual whose services are contributed by a third party as an in-kind contribution toward cost sharing or matching requirements.
 2. “Forced labor” means labor obtained by any of the following methods: the recruitment, harboring, transportation, provision, or obtaining of a person for labor or services, through the

use of force, fraud, or coercion for the purpose of subjection to involuntary servitude, peonage, debt bondage, or slavery.

3. "Private entity":
 - i. Means any entity other than a State, local government, Indian tribe, or foreign public entity, as those terms are defined in 2 CFR 175.25.
 - ii. Includes:
 - A. A nonprofit organization, including any nonprofit institution of higher education, hospital, or tribal organization other than one included in the definition of Indian tribe at 2 CFR 175.25(b).
 - B. A for-profit organization.
4. "Severe forms of trafficking in persons," "commercial sex act," and "coercion" have the meanings given at section 103 of the TVPA, as amended (22 U.S.C. 7102).

Freedom of Information Act

It is the U.S. Forest Service's policy to inform the public as fully as possible of its programs and activities. The Recipient is encouraged to give public notice of the receipt of this instrument and, from time to time, to announce progress and accomplishments. Please contact Lydia Scott at 630-719-2425 to review announcements as far in advance as possible because she may need to communicate directly with the Forest Service regarding the press release.

Public Information

The Recipient shall include the following statement, in full, in any agreements, printed, audiovisual material, or electronic media for public distribution developed or printed with any federal funding.

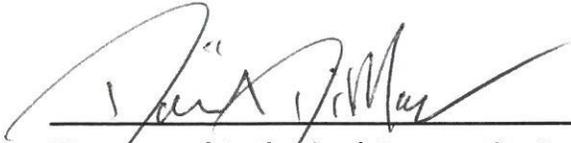
"In accordance with Federal law and U.S. Department of Agriculture policy, this institution is prohibited from discriminating on the basis of race, color, national origin, sex, age, or disability. (Not all prohibited bases apply to all programs.)"

To file a complaint of discrimination, write USDA, Director, Office of Civil Rights, Room 326-W, Whitten Building, 1400 Independence Avenue, SW, Washington, DC 20250-9410 or call (202) 720-5964 (voice and TDD). USDA is an equal opportunity provider and employer."

If the material is too small to permit the full statement to be included, the material shall, at minimum, include the following statement, in print size no smaller than the text:

"This institution is an equal opportunity provider."

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



Signature of Authorized Community Representative

Name: Dominick DiMaggio

Title: Mayor

3/8/21

Date

Signature of Representative from The Morton Arboretum

James Fawley

CFO, The Morton Arboretum

Date

2020 Urban and Community Forestry Funding Application

General Instructions

- Grant contact: Emily Okallau at eokallau@mortonarb.org (preferred) or (630) 725-2498.
- Fill out each page of this application, as is applicable to you. In some cases, you may not be required to fill out that item.
- If you would like assistance in filling out the application or have questions, please contact Emily Okallau.
- Please note that you are required to include a signed cover letter from your Mayor (or corresponding in communities other than municipalities).
- Submit your application electronically. No hard copies will be accepted unless you contact Emily Okallau to make arrangements.
- **Applications are due Friday, September 25th, 2020 at 5:00 p.m.**

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Our Trees.
Our Communities.
Our Future.



Part 1: Applicant Background Information

Organization Name	Village of Hawthorn Woods		
Federal Tax ID (EIN)	36 - 2726116		
Applicant Contact Information			
Name	Brian J. Sullivan	Title	Director of Parks and Recreation
Mailing Address	2 Lagoon Drive, Hawthorn Woods, Illinois 60047		
Email	bsullivan@vhw.org	Phone Number	847-847-3531
Project Supervisor (if different)		Title	
Email		Phone Number	
Additional information (as needed):			
BONUS: Have you encouraged a peer community to apply for this grant? Or, has a peer community recommended that you apply for this grant? If so, please provide details.	Yes, we have encouraged the community of Wadsworth, located in Lake County, Illinois, to apply for the 2020 Urban and Community Forestry Grant.		

Part 1: Applicant Background Information (con't)

Community Questions	Yes (please specify)		No
Do you have an inventory of all of your public trees? Eligibility: only applicants whose inventory has not been updated in the last 4 years are eligible for funding for an inventory.	Full	Yes	
	Partial		
	Digital	Yes	
	Paper	Yes	
Do you have an urban forest management plan for your public trees? Eligibility: only applicants whose management plans are older than 5 years old and/or not based on an inventory are eligible to receive funding for a management plan.	Fewer than 5 years old		
	More than 5 years old	Yes	
	Based on a tree inventory		
	Not based on a tree inventory		
Does your organization have someone legally responsible for and designated by an ordinance to care for trees on public property (i.e.: forester, city department, tree board)? If so, provide name, title, and email.	Name	Hawthorn Woods Sustainability Committee/Tree Board, Matt Bartlett	
	Title	Assistant Director of Public Works	
	Email	mbartlett@vhw.org	
Does your organization spend at least \$2 per capita per year on tree planting, pruning, removal, maintenance, etc.?	Yes		
Does your organization hold an annual Arbor Day observance? Do you have an annually signed proclamation?	Yes, the Village conducts an annual Free Tree Giveaway on Arbor Day. The Village annually passes a signed proclamation.		
Are you a Tree City USA? If so, for how many years? If not and you would like more information, please contact Mike Brunk at michael.brunk@illinois.gov	Yes, for six years from 2015 to 2020.		

Part 2: Project Plan & Ordinance Requirement

<p>Please indicate whether you are applying for an inventory and a management plan, or just a management plan. Please place an X in the box.</p>			
An inventory and a management plan		OR	Just a management plan (our community already has a digital inventory that was updated in the last 4 years)
Full inventory			X
Partial inventory – what % of your trees?	_____ %		
Partial inventory – one neighborhood, stratified sample, or other? Please explain.			
<p>MUNICIPAL ORDINANCE REQUIREMENT: A tree preservation /protection ordinance that meets the criteria identified on page 7 of the RFP must be passed before a municipality is eligible to receive its reimbursement at the end of the grant period. Park Districts and Forest Preserves shall submit board approved policies that stipulate natural resource protection with specific urban and community forest management guidance. Contact Emily Okallau at eokallau@mortonarb.org with any questions.</p> <p>Do you have a tree preservation / protection ordinance?</p>			
Yes	Yes	OR	No, and we would like assistance from The Morton Arboretum.
Website link for our tree ordinance, park district / forest preserve policy: The website link to the current Tree Ordinance for the Village of Hawthorn Woods can be found on page 7, beneath the Proposed Timeline.			No, but we don't need assistance.
			Not a municipality, park district or forest preserve/exempt from this requirement.
<p><small>*All Applicants, regardless of whether they are awarded, are eligible to receive assistance free of charge from The Morton Arboretum to develop an ordinance or board/commission approved policy.</small></p>			

Part 3: Management Plan

Please use the chart below to indicate which components you would like included in your management plan. Your answers will be used to determine an estimated cost of creating your plan. More complete details on each of these categories is available on pages 9 and 10 of the Request for Proposals.

Short- and long-term urban forest goals 2021-2031.	X
Recommended and prioritized urban forest management action items, based on a tree inventory. (ie., Prioritized planting locations, a cyclical pruning schedule, etc.)	X (required)*
Specifications for planting, pruning, removals, and construction protection.	X
Required and recommended certifications, qualifications, and training for staff, contracted labor, and consultants.	N/A
Material and budget projections and considerations.	X
A program for education and outreach for residents.	X

*This is the minimum component required of all participants, as explained on page 9 of the accompanying RFP.

Have you received an estimate for your management plan? If so, how much is your plan expected to cost? Yes. The estimate is \$11,000.00.

Part 4: Proposed Timeline

Please provide a concise summary of how the work will take place. You may group activities by month or by quarter, as appropriate. You are welcome to create a numbered or bullet list, or use the one below as a template. Include the following, as applicable.

- **Planning / prep meetings**
 - **Who from your organization will be involved**
Pamela Newton, Chief Operating Officer; Brian Sullivan, Director of Parks and Recreation, Donna Lobaito, Chief Administrative Officer/Village Clerk; Sustainability Committee; Steve Riess, Sustainability Chairman Trustee; Rolf Campbell & Associates
 - **When these meetings will take place**
The Village Board of Trustees and the Sustainability Committee meet monthly, along with Zoom check-in meetings when necessary
 - **Which steps need to be approved by your Board / Council**
 1. Recommendations are taken from the Sustainability Committee
 2. Proposed Tree Preservation Ordinance is placed under legal review
 3. Approval is received by the Village Board of Trustees

- **Ordinance review / development / passing**
 - **Who will participate?**
Sustainability Committee, Village staff, elected officials, consultants
 - **Timeline for Board / Council review**
 1. Approval of grant
 2. Initial meeting with stakeholders and consultants – 1st month after grant approval and acceptance
 3. Presentation to Village Staff for comments and revisions – 2nd month following grant approval and acceptance
 4. Presentation to Sustainability Committee for comments and revisions – 3rd month following grant approval and acceptance
 5. Proposed Tree Preservation Ordinance is placed under legal review – 4th month following grant approval and acceptance
 6. Approval of the Village Board of Trustees and adoption of Tree Preservation Ordinance – 4th month following grant approval and acceptance

- **Board or Council meetings (as appropriate) to approve items including the management plan and ordinance**

Once the Tree Preservation Ordinance is approved by the Village Board of Trustees, the Village will report to the Grants Committee

- **Finalizing the project & beyond**
 - **Reporting / invoicing**
Upon adoption of the Tree Preservation Ordinance by the Village Board of Trustees, a grant summary report shall be submitted to the proper authority, along with an invoice for reimbursement
 - **How will these items be updated in the future?**
Tree Preservation Ordinance and tree protection regulations will be reviewed during monthly Sustainability Committee Meetings and monthly Village Board of Trustee Meetings

- **Match activities**
 - **How, when, what will you use as match?**
Revenue generated from the Community Development Department, as outlined in our annual budget, will be designated as our local match for the 2020 Urban and Community Forestry Grant
 - **REMINDER: only tree planting that occurs after the inventory is finalized, and that addresses the inventory results, may be counted as match.**

Here is our website link to view the current Tree Ordinance for the Village of Hawthorn Woods:

https://codelibrary.amlegal.com/codes/hawthornwoods/il/latest/hawthornwoods_il/0-0-0-7996

Part 5: Budget & Match Worksheet

Item	Grant Funds (Must not Exceed 50% of total cost)	Match (May not include any federal funds)	Total Cost (Local Match + Grant Funds)
Personnel / Staff Labor Costs (Include any personnel costs for your grant and/or match activities.)	\$1,500.00	\$1,500.00	\$3,000.00
Fringe Benefits			
Volunteer personnel (Estimated hours and \$ value per hour. Only counted for match.)	N/A		
<i>Sub Total</i>	\$1,500.00	\$1,500.00	\$3,000.00
Contracted services (Include any estimates you've received. If not, write the amount you are applying for and the amount you are able to match.)	\$4,000.00	\$4,000.00	\$8,000.00
<i>Sub Total</i>	\$4,000.00	\$4,000.00	\$8,000.00
Materials (Include any trees, soil, mulch, etc. Materials may only count as match.)	N/A		
<i>Sub Total</i>			
Other (Please identify/explain the expense.)			
<i>Sub Total</i>			
Grant Total	\$5,500.00	\$5,500.00	\$11,000.00

Part 6: Statement of Need

Due to the COVID-19 pandemic, the Village of Hawthorn Woods has experienced a significant municipal shortfall in revenue this year. The Village is in great need of funds to update our tree protection regulations to work toward a revision of our tree ordinance to more closely align with the Morton Arboretum Funding Program and the Chicago Initiative "Gold" Level Tree Preservation Ordinance.

Hawthorn Woods has identified on our priority plan the desire to update our decades-old ordinance, but we have not had the funds the past several years to resume working with our landscape consultants, Rolf Campbell & Associates, to complete the work. We received an estimate for this endeavor in 2019, but cannot proceed unless we receive funding due to a severe reduction in municipal revenue as a direct result of the pandemic. This grant would enable us to fund the initiative and make an immediate impact on tree preservation and best management practices in our municipality.

The Village is truly grateful to have this opportunity to work with The Morton Arboretum to amend its Tree Protection Ordinance to include best management practices as outlined by the Chicago Region Trees Initiative.

Hawthorn Woods is a "Rural by Design" community. The preservation of our natural resources and urban tree canopy is, and always will, remain a top priority, even amid a global health crisis. The Village takes pride in promoting urban forestry with our ordinances, codes, and actions.

Part 7: Statement of Leveraged Benefits

The Village of Hawthorn Woods boasts twenty-three parks and preserves, so we are fully committed to updating our tree protection regulations and revising our current tree ordinance. Those involved in this endeavor consist of the following:

- Dominick DiMaggio, Mayor of The Village of Hawthorn Woods
- The Village Board of Trustees
- Our Sustainability Committee and Chairman Trustee, Steve Riess
- Pamela O. Newton, Chief Operating Office
- Brian J. Sullivan, Director of Parks and Recreation
- Donna Lobaito, Chief Administrative Officer/City Clerk
- Rolf Campbell & Associates, landscape consultants

Rolf Campbell & Associates, our landscape consulting firm, estimated the cost of updating our tree protection regulations and revising our tree ordinance in 2019 at \$7, 500 plus expenses. With today's pricing, we estimate about \$8,000 in consultant fees and \$3,000 in legal and staff reviews. Collectively, the total is \$11,000. This initiative will be conducted in phases as outlined below.

A. Prepare a draft of updated text for the Villages Tree Protection Ordinance that will include, but not be limited to the 21 requirements by the Morton Arboretum for funding as follows:

1. Statement of purpose for the tree protection/preservation ordinance.
2. Clear definitions of terms.
3. Clear scope of protection, preservation, management, removals, care and pruning, selection, and planting requirements.
4. Clear statement of the value and service of the urban forest as infrastructure.
5. Clear specifications standards referencing the American National Safety Institute, National Association of Arborists, International Society of Arboriculture, National Association of Nurserymen and/or other nationally recognized organizations for the following:
 - a. tree production (nursery source production standards)
 - b. tree planting
 - c. tree care
 - d. tree pruning including frequency
 - e. species restrictions, e.g. under utilities, use of invasive or potentially invasive species
 - f. tree removal
6. Defined skill requirements for individuals/organizations who manage trees for the organization.

7. Tree protection, preservation, construction impacts, and fee and penalty requirements.
8. Defined replacement requirements, fees, and penalties for trees damaged or killed.
9. Invasive species identified and management protocols if applicable.
10. Clear prohibition of tree topping.
11. Defined tree permit requirements, fees, penalties, enforcement, variance and civil remedies.
12. Identified individual and/or group responsible for making decisions about trees.
13. Formation and qualifications, responsibilities, and terms for a Tree Board or other advisory group responsible for trees.
14. A preferred species list or reference to list in tree management plan.
15. Restricted or illegal species list, e.g. invasive species list.
16. Insurance requirements.

Per request of the Village the draft will also address the additional Morton Arboretum recommendations as follows:

1. Tree risk assessment protocol and frequency.
2. Inclusion of education, outreach, and/or assistance to private property owners on tree planting, management and assessment.
3. Incentives or regulations for trees located on private property.
4. Inclusion and maintenance of a public tree inventory.

The draft will be prepared to follow the format of the Village's existing Zoning Ordinance / Tree Preservation and Landscaping Section, where possible.

Coordination of the preparation of the draft text and formatting will be under the supervision of Al Maiden, Director of Community Development/Consultant with Rolf Campbell & Associates. Al has assisted the Village with the preparation of numerous draft provisions in the Village Zoning Ordinance in the past in cooperation with the Village Attorneys for preparation of the final Ordinance for action by the Village Board. Mr. Maiden will be working with Landscape Architects with Rolf Campbell & Associates and Manhard Consulting on the technical aspects of the updated Tree Protection regulations. These Landscape Architects will include Mr. Brad Dethloff, PLA, who has assisted the Village with review of landscape plans and tree preservation/protection plans that have been submitted to the Village by private developers. Additional input for the draft regulations will be provided from Mr. Matt Nelson, Sr. Landscape Architect PLA, ASLA, LEED AP, and Ms. Jennifer Hendricks, PLA, Landscape Architect. In addition to Jennifer's professional experience she is also a current and long-time member of the Village of Brookfield Plan Commission.

- B. Review the draft update with Village Staff.
- C. Prepare refinements to the initial draft for presenting to the Village Board and the Sustainability Committee.

- D. Attend the Village Board and the Sustainability Committee Meetings to present the updated Tree Protection Regulations and address questions.
- E. Prepare refinements to the penultimate draft of the updated Tree Protection Regulations and coordinate with the Village Attorney for the final draft of the updated Tree Protection Regulations for final Village Board Action.
- F. Provide additional planning and zoning assistance as may be requested - Hourly.

The Village of Hawthorn Woods is a small but mighty municipality dedicated to preserving our urban tree canopy and natural resources. It is our priority to do our part to protect our natural resources. We hope you are able to assist Hawthorn Woods with our efforts to protect the legacy of the land with this grant award. We thank you for your consideration.

Tree Inventory Maintenance Agreement

This Tree Inventory Maintenance Agreement between The Morton Arboretum and the Applicant certifies that regular and effective updates and maintenance will be **performed for a period of five years, and will comply with the following requirements:**

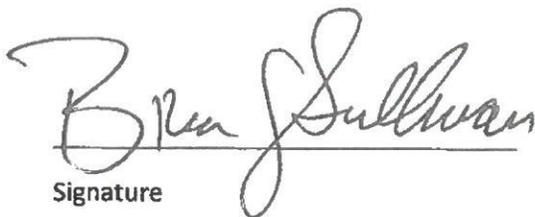
- The tree inventory shall be updated regularly to ensure that it reflects current conditions in the community.
- Inventory updates shall reflect new plantings, removals, replacements, pruning / trimming, condition updates, and maintenance recommendations.
- This work may be done in-house, by contractors, or by volunteers. However, everyone who is working on the update, whether as a paid or volunteer service, shall be qualified/certified or adequately trained to do so.
- Tree inventory updates shall result in periodic updates to prioritization and other action items in the accompanying Urban Forest Management Plan.

I certify that, according to the above, my organization will comply with tree inventory maintenance requirements.

Applicant Contact Name: Brian J. Sullivan

Title: Director of Parks and Recreation

Organization: Village of Hawthorn Woods


Signature

09/25/2020

Date

Final Instructions

Please be sure to include all of the following in your application. Once you have completed and collected all of these items, send it to Emily Okallau at eokallau@mortonarb.org.

Application Checklist	
Cover Letter signed by the Mayor or similar	
Applicant Background Info	
Project plan & ordinance requirement	
Management Plan Requirements	
Timeline & Proposed Work Plan	
Budget – including match expenses	
Statement of Need	
Statement of Leveraged Benefits	
Tree Inventory Maintenance Agreement	
Letters of Support (from organizations who can attest to your capacity to complete this project)	



2 Lagoon Drive • Hawthorn Woods, Illinois 60047 • 847.438.5500

September 24, 2020

The Morton Arboretum
Emily Okallau
Community Outreach Coordinator
Chicago Region Trees Initiative
4100 Illinois Route 53
Lisle, IL 60532

Dear Ms. Okallau,

Please accept this letter of support to request funding from the 2020 Urban and Community Forestry Grant Program for the Village of Hawthorn Woods. The Village is in great need of funds to update its tree protection regulations to work toward a revision of our tree ordinance to more closely align with the Morton Arboretum Funding Program and the Chicago Initiative "Gold" Level Tree Preservation Ordinance.

Hawthorn Woods has identified on our priority plan the desire to update our decades-old ordinance, but we have not had the funds the past several years to proceed with hiring our landscape consultants to complete the work. We received an estimate for their work in 2019, but have not had the funding to proceed. This grant would enable us to fund the initiative and make an immediate impact on tree preservation and best management practices in our municipality.

The Village is grateful to have this opportunity to work with The Morton Arboretum to amend its Tree Protection Ordinance to include best management practices as outlined by the Chicago Region Trees Initiative.

Hawthorn Woods is a "Rural by Design" community. The preservation of our natural resources and urban tree canopy is, and always will, remain a top priority. The Village takes pride in promoting urban forestry with our ordinances, codes, and actions.

Thank you for your consideration of support for our Tree Preservation Ordinance grant request.

Sincerely,

Dominick DiMaggio, Mayor
Village of Hawthorn Woods



Special Recreation Association of Central Lake County
RECREATION THAT'S SPECIAL!

290 Oakwood Road, Vernon Hills, IL 60061

Phone: (847) 816-4866 | Fax: (847) 816-4876 | Web: srack.org

September 23, 2020

Emily Okallau
Community Outreach Coordinator
4100 Illinois Route 53
Lisle, IL 60532

Dear Ms. Okallau,

Please accept this letter of support for the Village of Hawthorn Woods from the Special Recreation Association of Central Lake County (SRACLCLC). The Village is in need of funds to update its tree protection regulations with intent to more closely align with the IDNR Funding Program and the Chicago Initiative "Gold" Level Tree Preservation Ordinance.

Hawthorn Woods has identified the desire to update a decades-old ordinance, but has not had the necessary funds to proceed with hiring landscape consultants to complete the work. This grant would provide the ability to fund the initiative and make an immediate impact on tree preservation and best management practices within the village. SRACLCLC fully supports the efforts of the village to amend its Tree Protection Ordinance to include best management practices as outlined by the Chicago Region Trees Initiative.

Thank you for your consideration of support for the Tree Preservation Ordinance grant request.

Sincerely,

A handwritten signature in black ink, appearing to read 'John A. Buckner'.

John A. Buckner, CPRP
Director
847/816-4866
jbuckner@sraclc.org

MEMBER AGENCIES: Grayslake Community Park District | Village of Hawthorn Woods
Village of Lake Zurich | Village of Libertyville | Village of Lincolnshire
Mundelein Park & Recreation District | Vernon Hills Park District





Ancient Oaks Foundation

Officers & Directors

Claire Slattery - Exec Dir.

Mike Kleeman

Mary Kozub

David Mock

Alicia Timm

John Thode

Judi Thode

Shannon Westphal

52 Robertson Road

Lake Zurich IL, 60047

www.ancientoaksfoundation.org

info@ancientoaksfoundation.org

224-286-1312

The Morton Arboretum

Emily Okallau

Community Outreach Coordinator

Chicago Region Trees Initiative

4100 Illinois Route 53

Lisle, IL 60532

September 24, 2020

Dear Ms. Okallau,

Please accept this letter of support to request funding from the 2020 Urban and Community Forestry Grant Program for the Village of Hawthorn Woods. The Village is in great need of funds to update its tree protection regulations to work toward a revision of its tree ordinance to more closely align with the IDNR Funding Program and the Chicago Initiative "Gold" Level Tree Preservation Ordinance. Hawthorn Woods has identified on its priority plan the desire to update our decades-old ordinance, but has not had the funds the past several years to proceed with hiring a landscape consultant to complete the work. We received an estimate for such work in 2019, but have not had the funding to proceed. This grant would enable the village of Hawthorn Woods to fund the initiative and make an immediate impact on tree preservation and best management practices in this municipality.

The Ancient Oaks Foundation is grateful to have this opportunity to work with The Village of Hawthorn Woods on many of its environmental and sustainability initiatives. The Urban and Community Forestry Grants through IDNR and the Forest Service is such a key undertaking. We fully support the effort to amend its Tree Protection Ordinance to include best management practices as outlined by the Chicago Region Trees Initiative.

Hawthorn Woods is a "Rural by Design" community. The preservation of their natural resources and urban tree canopy is, and always **will**, remain a top priority.

Thank you for your consideration of support for their Tree Preservation Ordinance grant request.

Judith Thode- President
The Ancient Oaks Foundation

2020 URBAN & COMMUNITY FORESTRY GRANT PROGRAM

Request for Proposals

Funding provided by the United States Department of Agriculture Forest Service through direction of the Illinois Department of Natural Resources Urban & Community Forestry Program

Grant funding administered by The Morton Arboretum

Proposals Due: Friday, September 25th, 2020 at 5:00 p.m.

Contact: Emily Okallau

Community Outreach Coordinator, Chicago Region Trees Initiative

The Morton Arboretum

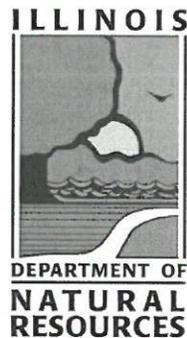
4100 IL Route 53

Lisle, IL 60532

630-725-2498

eokallau@mortonarb.org

chicagorti.org/FY20grant



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INITIATIVE

Our Trees.
Our Communities.
Our Future.



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For more information, please visit: <http://chicagorti.org/FY20grant>

Or please contact Emily Okallau eokallau@mortonarb.org

Introduction & Allowable Costs

This request for proposals provides funding assistance to “communities” (public entities e.g., municipalities, park districts, counties, tribal governments, townships, forest preserves, and other units of government)* to improve the urban forest. Funding is provided by the Urban and Community Forestry program of the United States Department of Agriculture Forest Service through the Illinois Department of Natural Resources. The Morton Arboretum is the grant administrator.

*(in the City of Chicago – each ward may be counted as one “community”)

The total maximum allowable funding amount for any one organization is \$20,000. The minimum allowable funding amount is \$3,500.

Project categories funded through this proposal can be one of the following:

1. **An inventory of public trees in the community and an urban forest management plan that addresses some portion of the results; or**
2. **An urban forest management plan based on a digital and current tree inventory.**

Allowable Costs

To achieve an economy of scale, the Illinois Department of Natural Resources has required that awarded Applicants be pooled, and a qualified Contractor be selected through a competitive bid process to complete multiple inventories and management plans. The Morton Arboretum will conduct a request for proposals and select qualified Contractors to complete inventories and/or management plans with awarded Applicants. Once awarded, Applicants and Contractors will coordinate directly to create agreements and complete the project(s).

1. Completion of an inventory (full or partial) and an urban forest management plan that includes one or more goals based on outcomes from the tree inventory; or
2. Completion of an urban forest management plan that includes one or more goals based on a current public property tree inventory.

Grant Program Goals

The purpose of Illinois's Urban and Community Forestry program is to assist communities and other units of local government in the development or expansion of local urban and community forestry programs.

Funding from this proposal will assist communities and other units of local government to address goals of the Urban Forestry Volunteer Coordination and Technical Assistance Program (UFVCTAP) of the U.S. Forest Service:

1. Advance, inventory, monitor, and assess information across all lands.
2. Encourage recovery of damaged or deteriorated landscapes to healthier and resilient conditions.
3. Support the creation and maintenance of jobs and economic opportunities for local communities and Tribes to sustainably maintain trees, and produce and use forest products.

The goal of this program is to improve the health and function of the urban forest to support healthy ecosystems and improved quality of life through:

1. Preservation and protection of trees.
2. An improved understanding of what forest composition and structure exists to support improved management and health.
3. Improved management and care of the urban forest for the short and long term.
4. Increased health and growth of the urban forest.

Funding categories covered by this grant include:

1. Completion of a tree inventory accompanied by a management plan and identification of a tracking format or program; or
2. Development of an urban/community forest management plan based on an existing tree inventory less than four years old.

General Criteria

1. The maximum allowable funding amount per eligible organization is \$20,000. The minimum grant request is \$3,500. The deadline for receipt of proposals is **Friday, September 25, 2020 at 5:00 p.m.**
2. Organizations eligible for funding shall be units of government other than federal or state. These include:
 - a. Municipalities, townships, and county governments
 - b. Tribal governments
 - c. Forest preserves and/or conservation districts
 - d. Park districts
 - e. Other units of local government (but not including schools or libraries)
3. All applications shall be submitted electronically to Emily Okallau.
4. Technical Assistance is available to help you develop a proposal. Please contact Emily Okallau at eokallau@mortonarb.org no later than **Friday, September 4, 2020**.
5. All Applicants will be notified of their status via email by **Monday, November 9, 2020**.
6. The funding period is approximately 22 months. All work for this grant must be completed, and reimbursement submitted, by **Monday, August 1, 2022**.
7. All aspects of all categories of this proposal shall meet or exceed the most current American National Safety Institute (ANSI), International Society of Arboriculture (ISA), and/or other nationally recognized specifications and/or standards.
8. **Ordinance requirement:**
 - a. **Prior to reimbursement of funding, all awarded municipal governments must have a tree protection/ preservation ordinance that meets or exceeds criteria listed on page 7. A tree protection/preservation ordinance is not required to apply.**
 - b. Awarded Park District and Forest Preserve Districts shall submit board approved policies that stipulate natural resource protection with specific urban and community forest management guidance similar to some of the criteria listed on page 7. Please contact Emily Okallau at eokallau@mortonarb.org for details on this requirement.
 - c. The Morton Arboretum can provide technical assistance to complete this requirement at no cost to the Applicant – whether awarded or not. Awarded Applicants wishing to receive assistance shall notify Emily Okallau immediately upon receiving their award.
9. No part of the grant can be used to pay for land or to purchase equipment.
10. Application must include a statement of leveraged benefits, as defined on page 11.
11. Funding will be awarded based on score, need, and alignment with the grant program's goals. Incomplete applications will not be scored.

Awarded Applicants shall publish in an organization publication or website the source of the funding for this project (United States Department of Agriculture Forest Service through direction of the Illinois Department of Natural Resources).

Financial Information

1. This award requires a 50:50 match based on reimbursable costs and/or in-kind service. Applicants are encouraged to overmatch. For example:

Requested Funding Amount	Local Match	Total Project Cost
\$12,000	\$14,000	\$26,000

2. **An organization unable to achieve a 50:50 match should contact Emily Okallau at eokallau@mortonarb.org to discuss other arrangements.**
3. Only non-federal money may be used for the match.
4. The labor cost of the Applicant using its employees to implement grant activities can be reimbursed.
 - a. An hourly proration for the share of fringe benefit costs paid by the Applicant.
 - b. The skills and/or qualifications of individuals completing the work must meet Contractor requirements.
 - c. Applicant will submit records for those hours, and the base rate of pay for the employee(s).
5. All Contractors and suppliers completing grant projects must meet training and certification requirements, and evidence is required for reimbursement.

Eligible and Allowable Match

Supporting documentation for the Applicant's match must be included with reimbursement. Approved documentation includes: invoices, cleared checks, timecards, and/or other paperwork. The Morton Arboretum will provide reimbursement forms and assistance. Allowable costs for match are as follows.

1. Volunteer labor may be counted at the prevailing hourly rate for that job.
2. Tree pruning, planting, care or maintenance, and other tree work based on recommendations in the inventory and/or management plan.
 - a. Materials or supplies e.g. trees or mulch.
 - b. Site preparation and modifications for projects as described above.
 - c. Labor and material costs for tree maintenance up to Monday, August 1, 2022.
 - d. **Ash tree** removal and stump grinding in preparation for such work, but only after the inventory and/or management plan are complete.
 - e. **Tree work cannot be counted as match if it is completed before the inventory and/or management plan are complete.**
3. Directly related administrative costs, including time spent by staff, officials, volunteers, and others who develop or approve bid documents, contracts, and/or other related tasks.
4. Qualified staff and/or volunteer time to inventory another portion of the community. The same requirements and standards apply to this additional data, and must be submitted as one compiled inventory to receive reimbursement. This work may be concurrent with the Contractor inventory.
5. Applicants may contract separately with the Contractor for additional features for inventories and/or management plans, including software. These additional services may count as match.
6. **Ash tree** removal and stump grinding, but only after the inventory and/or management plan are complete. Those ash trees must present significant harm / hazard to the community.

Tree Protection / Preservation Ordinance Requirements:

Prior to reimbursement of funding, a tree protection/preservation ordinance shall be approved by the organization's authority and shall meet the following requirements:

(*The Morton Arboretum provides ordinance revision assistance free of charge to communities. Please contact Emily Okallau at eokallau@mortonarb.org.)

1. Statement of purpose for the tree protection/preservation ordinance.
2. Clear definitions of terms.
3. Clear statement of the value and service of the urban forest as infrastructure.
4. Clear scope of protection, preservation, management, removals, care and pruning, selection, and planting requirements.
5. Clear specifications standards referencing the most current American National Safety Institute, National Association of Arborists, International Society of Arboriculture, National Association of Nurserymen and/or other nationally recognized organizations for the following:
 - a. tree production (nursery source production standards)
 - b. tree planting
 - c. tree care
 - d. tree pruning including frequency
 - e. species restrictions, e.g. under utilities, use of invasive species
 - f. tree removal
6. Skill requirements or certifications for individuals/organizations managing trees for the community.
7. Tree protection from construction impacts, and fee and penalty requirements.
8. Replacement requirements, fees, and penalties for trees damaged or killed.
9. A list of invasive or prohibited species, or a reference to a list in tree management plan.
10. Clear prohibition of tree topping, including fees and penalties.
11. Tree permit requirements, penalties, enforcement, variance and civil remedies.
12. Identified individual and/or group responsible for making decisions about trees.
13. Formation and qualifications, responsibilities, and terms for a Tree Board or other advisory group responsible for trees.
14. A preferred species list or reference to list in tree management plan
15. Restricted or illegal species list, e.g. invasive species list.
16. Insurance requirements.

It is recommended but not required that the tree protection/preservation ordinance include:

1. Tree risk assessment protocol and frequency
2. Education, outreach, and/or assistance to private property owners on tree planting, management and assessment.
3. Incentives or regulations for trees located on private property.

Tree Inventory Requirements

Inventory: 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.

Applicants will submit proposals to Emily Okallau at eokallau@mortonarb.org.

The Illinois Department of Natural Resources has requested that The Morton Arboretum pool community proposals and request bids from qualified contractors to complete the work, with the goal of achieving an economy of scale. Awarded Applicants will work directly with the awarded Contractor to complete work as outlined in the award agreement.

Reputable, qualified contractors shall submit a bid to provide the following services. **Additional services, beyond the deliverables listed below, are not a reimbursable cost but may be used as match.**

Tree Inventory Deliverables

1. 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 & 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. The inventory shall be delivered as a digital spreadsheet, such as Excel. Grant funds cannot be used to deliver this data using any type of software or user interface.
3. **REQUIRED:** an inventory must be accompanied by a management plan that addresses a portion or all of the findings synthesized from the data. The plan may be paid for with grant or matching funds. (Please contact Emily Okallau at eokallau@mortonarb.org with questions about this requirement.)
4. Training and education
 - a. 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 shall 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 shall provide an additional minimum of 3 hours of assistance, as needed. These services expire on August 15, 2023.
5. The Contractor shall provide a dated copy of an inventory summary to IDNR. 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 Emily Okallau at eokallau@mortonarb.org for more information about how inventory data is used by the Arboretum or to waive this request.)

Urban Forest Management Plan Requirements

Applicants will submit proposals to Emily Okallau at eokallau@mortonarb.org.

A management plan is required as an outcome for this grant. It may accompany the 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.

The Illinois Department of Natural Resources has requested that The Morton Arboretum pool community proposals and request bids from qualified contractors to complete the work, with the goal of achieving an economy of scale. Awarded Applicants will work directly with the awarded Contractor to complete work as outlined in the award agreement.

The selected qualified Contractor shall provide a management plan that is based on the funded inventory or an up-to-date inventory and shall include the following services.

Management Plan Deliverables

1. Plan goals and format
 - a. This plan shall be developed to outline the future management of the community's trees and forests. It shall include prioritized action items to ensure that communities can effectively and efficiently manage their trees.
 - b. This plan shall be delivered in a document format that can be easily edited and updated, e.g. Microsoft Word or another similar program.
 - c. The Applicant's governmental organization shall accept the plan prior to request for reimbursement.
2. Plan components may include some of the following, as needed and appropriate for each community. 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 can be provided to organizations in Will, Lake, Kane, Kendall, Cook, and McHenry by the Chicago Region Trees Initiative and can be found at Chicagorti.org/UTC.)
 - 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 capacity
 - 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 2021 – 2031.
 - 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
 1. Annual management goals, such as:
 - a. Tree pruning schedules
 - b. A plan for replacement and removals
 - c. A plan for hazard abatement
 - d. Mitigation of pests and diseases
 2. 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 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. 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. These services shall expire on August 15, 2023.

The Contractor shall provide proof that the management plan was completed and submit a copy of the document to The Morton Arboretum. (Please email Emily Okallau at eokallau@mortonarb.org for more information.)

Proposal Scoring

Your proposal will be evaluated and ranked by an independent scoring committee. The criteria listed below will be used to score each proposal. In the event of a tie, the following additional factors will be used to score proposals:

- Applicant need and leveraged benefits
- Orderliness of the overall application

Criteria:	Highest Possible Score
Application: Grant application is thoughtfully prepared, all questions are concisely answered, and follows the application form. Proposal is viable and work plan is clear.	25
Budget: Clearly identified costs and plan for match/ in-kind.	15
Project time line: A well-planned, feasible, and viable timeline that shows the Applicant understands the project.	10
<p>Leveraged Benefits: (Maximum 1,500 words)</p> <ul style="list-style-type: none"> • Describe, as applicable: <ul style="list-style-type: none"> ○ how the inventory will be updated regularly and used ○ what kind of management plan will result from the inventory ○ how the management plan will be used in basic operations. ○ how the management plan will be updated. • Describe your organization’s commitment to the project. • Describe local match, volunteer efforts, financial or in-kind community organization support and/or community contributions. • Please describe the role, training, and qualifications of any partners and/or potential volunteers. <p>Support letters from peer organizations may be attached and should describe that entity’s commitment to and role in this project.</p>	20
Need: Applicant demonstrates economic or programmatic need.	20
Applicant has never had an inventory and/or management plan.	10
Total Possible Points	100
Bonus: if an Applicant encourages a peer community to apply and both apply, both will receive extra points. (As identified in both applications.)	3

Award and Execution of Agreement

1. All completed proposals shall be submitted electronically, including all attachments to Emily Okallau at eokallau@mortonarb.org by **Friday, September 25, 2020, at 5:00 p.m.** Any Applicant requiring assistance either to complete the application or to submit it electronically shall contact Emily Okallau at eokallau@mortonarb.org no later than Friday, September 4, 2020.
2. Each proposal will be scored according to stated criteria by three separate, independent grant reviewers. The highest scoring proposals will be recommended for funding. Partial funding is possible.
3. Applicants will be notified by **Wednesday, November 9, 2020** of funding status.
4. Along with funding status, awarded Applicants will be notified which Contractor was awarded for their zone. The Applicant must notify the Contractor to receive an updated estimate of cost. **THE AWARDED COMMUNITY IS RESPONSIBLE FOR PAYING ALL EXPENSES AND SUBMITTING FOR REIMBURSEMENT.** (The Morton Arboretum will select the Contractor based on proposed cost estimates, contractor qualifications, and contractor ability to complete the project. (Please contact Emily Okallau with questions about this process eokallau@mortonarb.org.)
5. Awarded Applicants will be provided an Award Agreement via email. This agreement must be executed by the Applicant's Executive Authority and returned via email **no later than December 20, 2020.**

Failure to return signed agreement by due date may cause funding award to be revoked.

6. Once executed by The Morton Arboretum, the Agreement will be sent via email to the Applicant. Once received by the Applicant, the Applicant may contact the awarded Contractor to begin work as outlined in the approved proposal.

NO WORK SHOULD BE STARTED PRIOR TO THE APPROVAL AND EXECUTION OF THE AGREEMENT, INCLUDING MATCH COSTS.

7. Applicants are required to report quarterly on project progress, including ordinance development, revision, and approval. Failure to comply with this requirement may result in cancellation of the current grant, loss of all funding, and potential for disqualification from future grants.
8. Applicants will be required to submit a final report with their reimbursement report which will include a budget form and match documentation worksheets.

Final report and reimbursement materials must be received by Monday, August 1, 2022.

Payment

Reimbursement and payment procedures:

- The Applicant is responsible for all expenses and will receive reimbursement at the end of the grant period.
- The Applicant can expect payment 45-60 days after The Morton Arboretum has received and approved the fully completed reimbursement report containing valid invoices and canceled checks.
- The Applicant shall review the reimbursement materials and all reporting requirements to ensure that all materials are ready for reimbursement by the grant deadline – including all payments and proof of payment.
- **Only one reimbursement payment will be made to the Applicant upon completion of all phases of the grant project(s).** Once payment is made the grant project is considered complete.
- To receive payment, the Applicant must provide a copy of the approved tree preservation/protection ordinance.
 - All municipalities must have ordinances that meet all of the requirements outlined on page 7.
 - It is recommended that a copy of the proposed ordinance be provided to The Morton Arboretum at least 120 days prior to the August 1, 2022 deadline to assure that the ordinance **meets all requirements**.
 - Assistance to complete this requirement is provided to all Applicants by The Morton Arboretum regardless of award. Please plan adequate time to complete this requirement.

The Morton Arboretum

Village of Hawthorn Woods Sub-Award Agreement

Prime Recipient	Subrecipient
Name: <u>The Morton Arboretum</u>	Name: Village of Hawthorn Woods DUNS: CAGE:
Prime Award No: <u>20-FFY20-01UCF</u>	IDNR Award Date: 01/04/2020 Federal Assistance
Awarding Agency: <u>Illinois Department of Natural Resources</u> Agency Contact: Michael Brunk Contact Email: lscott@mortonarb.org Agency Contact Phone: (630) 719 – 2425	
This is an award of federal financial assistance. Prime and sub-recipients to this award are subject to the OMB guidance in subparts A through F of 2CFR Part 200 as adopted and supplemented by the USDA in 2 CFR Part 400. Sub-award must follow the regulations found in Appendix A. CFDA: 10.675 Urban and Community Forestry	
Project Title and Description: Funding assistance for communities in the development or expansion of local urban and community forestry programs. This award is not R&D.	
Award Term: <u>09/23/2020-09/30/2022</u>	Sub-recipient term of performance: <u>01/04/2020 – 08/01/2020</u>
Total Award Amount: <u>\$413,000; cost share \$450,000</u>	Subaward Federal Award Amount: ; cost share \$6,000.00
Indirect Cost Rate applicable to this Award: (if applicable) 47.8%	Sub-recipient federally recognized Indirect Cost Rate: XX% (if applicable)
Grant Manager: <u>Lydia Scott</u>	

Sub-recipient expending \$750,000 or more in Federal awards during the Recipient's fiscal year as provided in OMB Circular 2 CFR 200 are required to meet the audit requirements and forward a copy to The Morton Arboretum.

FFATA worksheet attached must be returned with the executed acceptance form.

Award Approval/Obligation/Acceptance Form

James Fawley
Vice President of Finance, CFO
The Morton Arboretum

Date

APPROVED FOR **Village of Hawthorn Woods**

The information, certifications, and representations above have been read, signed and made by an authorized official of **Village of Hawthorn Woods**. The appropriate programmatic and administrative personnel involved in this agreement are aware of the agency and federal policies applicable to subawards and have established procedures consistent with those policies. Any costs incurred before the period of the award and acceptance are at the **Village of Hawthorn Woods's** risk.

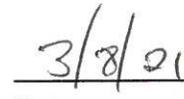
Acceptance:



Signature of authorized representative

Name: Dominick DiMaggio

Title: Mayor



Date

FFATA Reporting Form

The Federal Funding Accountability and Transparency Act (FFATA) requires granting agencies to report the following information on specific subawards. Please complete the following form.

Organization	
Address	
Principal place of performance (if different)	
County	
State	IL
State Congressional District(s)	
DUNS Number	
Do you receive more than 80% of your funding from Federal Sources? (Y/N)	