

WHITE PAPER



USDA Forest Service

Pacific Northwest Region

Umatilla National Forest

WHITE PAPER F14-SO-WP-SILV-46

Knutson-Vandenberg (K-V) Program¹

David C. Powell; Forest Silviculturist
Umatilla National Forest; Pendleton, OR

Initial Version: **FEBRUARY 1997**

Most Recent Revision: **FEBRUARY 2014**

Introduction	2
A short history of K-V program	2
Knutson-Vandenberg Act, as amended	4
Basic K-V policy and direction	5
K-V program responsibilities	7
Appropriate uses of K-V funding	8
Examples of appropriate K-V projects	9
Inappropriate uses of K-V funding	11
Sale area improvement and K-V collection plan (form FS-2400-50)	12
Useful K-V definitions	14
Cross references (useful K-V information)	16
Appendix 1: Examples of project narrative forms	17
Narrative form in a word processing format	18
Narrative form in a spreadsheet format	19
Appendix 2: K-V frequently asked questions	20
Appendix 3: Silviculture white papers	31
Revision history	34

¹ White papers are internal reports; they receive only limited review. Viewpoints expressed in this paper are those of the author – they may not represent positions of USDA Forest Service.

INTRODUCTION

When national forest timber is sold, receipts generated from a timber sale can be retained by the Forest Service to pay for:

- Reforestation of timber sale cutting units, and to finance sale-area improvements within a timber sale boundary (Knutson-Vandenberg or K-V funds).
- Preparation and administration of future salvage sales (Salvage Sale Fund).
- Treatment or remediation of slash (woody debris) created by a timber sale itself (Brush Disposal funds).
- Completion of road maintenance activities associated with a timber sale.
- Providing credits (in lieu of stumpage payments) for specified road developments (generally new road construction) required of a timber-sale purchaser (Purchaser Road Credits).
- Providing payments to counties for use with their road system, and for schools (National Forest Fund).

Many funds mentioned in this list are collectively referred to as ‘trust funds.’ This white paper provides information about a trust fund commonly used by USDA Forest Service – Cooperative Work Knutson-Vandenberg (CWKV or K-V) fund.

A SHORT HISTORY OF K-V PROGRAM

- Knutson-Vandenberg Act was passed by Congress on June 9, 1930. It provides legal authority to allow receipts collected from sale of National Forest timber to be retained by USDA Forest Service and subsequently used to finance reforestation, non-commercial thinnings, and other sale-area improvements. With few exceptions, K-V receipts must be used for projects occurring within a timber sale area – two exceptions include use of K-V funds for program support costs (‘indirect assessments’), and use of K-V funds for operation or construction of tree coolers and other approved facilities (but, as described later, facilities uses are limited).
- K-V Act was amended by National Forest Management Act of October 22, 1976, primarily to provide more flexibility to use K-V funds for renewable resource projects in addition to reforestation (i.e., projects relating to wildlife habitat, range improvement, watershed improvement, etc.).
- K-V funds are collected for renewable resource projects on timber sale areas, and *they can only be used within a timber sale area from which they were collected*. According to a 1976 NFMA amendment to K-V Act, nonrenewable resources such as

cultural resources are not covered by K-V (although K-V funds can be used to protect cultural resources that would be disturbed by KV-funded projects).

- Congressional intent for K-V Act was to authorize Secretary of Agriculture to complete required (essential) resource work without delay, and to minimize risks associated with a fluctuating budget process (i.e., enable reforestation and other time-sensitive work spanning multiple fiscal years to proceed without delay).
- A Comptroller General decision on December 3, 1947 authorized payment of indirect costs (overhead, program management, and support services) from K-V funds.
- A Comptroller General decision on September 14, 1955 authorized K-V funds to be pooled by proclaimed National Forest, and it noted that excess K-V funds must be transferred to the Treasury.

[Note: this requirement was changed in 2005 when an amendment to K-V legislation established a CWK2 fund; chapter 20 in Renewable Resources Handbook provides more information about CWK2 funds.]

- With regard to Twenty-Five Percent Fund Act of May 23, 1908, K-V funds are considered to be the same as money transferred to the Treasury for purposes of calculating payments to States.

[Note: this interpretation means that National Forest Fund (NFF) calculations must account for receipts being retained for K-V and SSF; if K-V and SSF collections were not required to be included in NFF calculations, then amounts retained for NFF would be substantially less.]

- Criticism of K-V program during 1980s and 1990s focused on use of K-V funds to cover indirect expenditures associated with administering the program.
[Note: one reason for criticism is that indirect costs occur outside of a sale area and, because enabling legislation requires K-V funds to be used within a timber sale area from which they were generated, it was felt that indirect costs (or anything else, like tree cooler operations, occurring away from a sale area) was not an appropriate use of K-V funding.]

- District Court for northern California, however, ruled in January 1999 that the Forest Service acted within the law (K-V Act) to use K-V funds to cover indirect costs associated with implementing K-V projects, and that K-V administrative expenses are not covered by any other category of appropriations.

[Note: this court ruling directly addressed concerns and criticism from 1980s and 1990s regarding use of K-V funds for program support costs.]

KNUTSON-VANDENBERG ACT, AS AMENDED:

Act of June 9, 1930 (Ch. 416, 46 Stat. 527, as amended: 16 U.S.C. 576-576b)

Sec. 1. The Secretary of Agriculture is hereby authorized to establish forest tree nurseries and do all other things needful in preparation for planting on national forests on the scale possible under the appropriations authorized by this Act: Provided, That nothing in this Act shall be deemed to restrict the authority of the said Secretary under other authority of law. (16 U.S.C. 576)

Sec. 2. There is authorized to be appropriated for each fiscal year after year ending June 30, 1934, not to exceed \$400,000, to enable the Secretary of Agriculture to establish and operate nurseries, to collect or to purchase tree seed or young trees, to plant trees, and to do all other things necessary for reforestation by planting or seeding national forests and for the additional protection, care, and improvement of the resulting plantations or young growth. (16 U.S.C. 576a)

Sec. 3. The Secretary of Agriculture may, when in his judgment such action will be in the public interest, require any purchaser of national forest timber to make deposits of money in addition to the payments for the timber, to cover the cost to the United States of (1) planting (including the production or purchase of young trees), (2) sowing with tree seeds (including the collection or purchase of such seeds), (3) cutting, destroying, or otherwise removing undesirable trees or other growth, on the national forest land cut over by the purchaser, in order to improve the future stand of timber, or (4) protecting and improving the future stand of productivity of the renewable resources of the forest land on such sale area, including sale area improvement operation, maintenance and construction, reforestation and wildlife habitat management. Such deposits shall be covered into the Treasury and shall constitute a special fund, which is hereby appropriated and made available until expended, to cover the cost to the United States of tree planting, seed sowing, and forest-improvement work, as the Secretary of Agriculture may direct: Provided, That any portion of any deposit found to be in excess of the cost of doing said work shall, upon the determination that it is so in excess, be transferred to miscellaneous receipts, forest service fund, as a national forest receipt of the fiscal year in which such transfer is made: Provided further, That the Secretary of Agriculture is authorized, upon application of the Secretary of Interior, to furnish seedlings, and/or young trees for replanting of burned-over areas in any national park. (16 U.S.C. 576b)

[Note: Isn't it interesting how 'short and sweet' this act is? It is difficult to imagine any contemporary legislation that could fit on a single page!]

BASIC K-V POLICY AND DIRECTION

This section summarizes basic concepts and principles influencing collection and use of K-V funds. Since it is only a summary, readers are directed to Renewable Resources Handbook, FSH 2409.19, along with any Regional or Forest supplements to this Handbook, for additional direction about K-V program.

- *K-V projects must be consistent with Forest Plan standards, guidelines, and other direction.*

[Note: this requirement is typically addressed by National Environmental Policy Act (NEPA) authorizing K-V projects because any such project-level NEPA, including Forest Plan amendments it may include, must be consistent with a Forest Plan and its standards and guidelines.]

- *K-V projects must be consistent with NEPA document(s) authorizing their implementation.* If a K-V project relates directly to a timber sale, then it must be consistent with timber sale NEPA. If a K-V project is authorized by another NEPA, such as a Forest-wide invasive plants Environmental Impact Statement, then a project must occur within a K-V collection boundary (or a timber sale boundary if a separate K-V collection boundary has not been specifically established for a timber sale), and it must also be consistent with authorizing NEPA (such as a Forest-wide weeds EIS).
- *K-V projects must be included on an approved Sale Area Improvement and K-V Collection Plan* (FS-2400-50 form). This form is commonly referred to as an SAI plan.
- *K-V projects can occur on National Forest System lands only* (projects utilizing Wyden Authority can only spend appropriated funds on private lands, not trust funds).
- *K-V projects should be developed by using an interdisciplinary process* considering all appropriate resources in a planning (timber sale) area.
- *When regeneration harvests occur on a timber sale, required² reforestation treatments have first priority for K-V funding* (according to K-V Act).

[Note: required reforestation includes more than tree planting – all associated or connected actions are also included in a required reforestation project (including

² K-V projects are divided into 2 groups: (1) required reforestation includes activities needed to establish a new tree stand, and (2) non-required projects include everything except reforestation (but, not all reforestation is 'required' – planting of trees or shrubs for wildlife purposes, for example, would not be handled as required KV if planting is not required to produce a new stand meeting Forest Plan minimum stocking standards). In some circumstances (such as low-value salvage sales), reforestation needed to reestablish a tree stand does not need to be shown as required because required reforestation is used to raise base rates for a timber sale, and low-value sales may not receive any bids (not sell) if advertised rates are set too high by including required reforestation. Required was previously referred to as essential; non-required used to be called nonessential. Also see: Base Rates, in Useful K-V Definitions section.

costs for unit layout, seed, seedlings, site preparation, planting contract, animal damage and competing vegetation control, survival surveys, stocking surveys, contract administration, etc.).]

- *Determination of K-V collections on a sale must be coordinated with other needs for deposits and receipt collections, such as purchaser road credits, brush disposal (BD) deposits, and salvage sale funds.*
- *K-V funds must be spent within 5 years of sale closure unless a longer time period has been approved by Regional Forester.*

[Note: Unless Regional Office policies have changed recently, it is not appropriate to base a time extension request on employee workload issues, including reasons like “we have too few CORs to get all our contract work done” or “we had too many people leave on fires to get all the K-V work done.” Why is this the case? K-V policy allows 5 years from sale closure for project completion, so 5 years of ‘poor planning’ (on our part) is not sufficient reason to request a time extension!]

- *K-V program must be analyzed annually (Annual CWKV Balance Review), and any excess K-V funds must be transferred to the Treasury (this requirement changed recently due to advent of CWK2 funds – chapter 20 of the Renewable Resources Handbook, FSH 2409.19, provides more information about CWK2).*
- *Sale Area Improvement and K-V Collection Plan (SAI Plan; FS-2400-50 form) should only include eligible K-V projects (see Definitions section later in this document), regardless of whether sufficient timber sale receipts are available to finance all proposed projects.*
- *As a corollary to the last bullet, it is not permissible to include projects on an SAI Plan that are ineligible for K-V financing.*

[A little background and history: back in the day, before advent of FACTS and its precursor systems like ADB, a Sale Area Improvement (SAI) Plan (FS 2400-50) was used to keep an inventory of all known projects within a timber sale boundary. Some projects were eligible for K-V funding, and some were not. An SAI form had columns to keep track of which costs (projects) were eligible and which ones were not. During this era, a 2400-50 form functioned as a timber-sale ‘database’ because it allowed all sale-area work to be described and tracked in one place (on a paper form, in this instance). Unfortunately, too many K-V program reviews found that ineligible projects were being completed with K-V funds, so flexibility associated with this early 2400-50 form was removed (i.e., capability to track K-V and non-KV projects on one form, in one place), and only eligible projects can now be included on a current version of the FS 2400-50 form (12/2009 version).]

K-V PROGRAM RESPONSIBILITIES

REGIONAL FORESTER:

- Advise Forests about appropriate use of K-V funds and legal projects. Develop and maintain Regional direction (Handbook supplements, policy letters, etc.).
- Provide program support costs pertaining to Washington Office and Regional Office. Approve requests for time extensions beyond the 5-year limitation.
- Establish direction for an Annual Review and Report of the CWKV Balance ('K-V balance report'), out-year budgeting for K-V program (primarily involving Outyear Program Projection Report, or OPPR), and other related reports.

FOREST SUPERVISOR:

- Approve SAI plans for timber sales under Forest Supervisor's authority. Advise Districts about appropriate use of K-V funds and legal projects. Develop and maintain Forest direction (Handbook supplements, policy/direction memos, etc.).
- Calculate Forest collection rates and publish them as a supplement to chapter 40 of Program Development and Budgeting Handbook (FSH 1909.13). These rates include program support costs for both Supervisor's Office and Ranger District (such as program management, unemployment compensation or UCI, Office of Workmen's Compensation or OWCP, and facilities maintenance (CP09) costs).
- Compile Annual Review and Report of the CWKV Balance ('K-V balance report') and an Outyear Program Projection Report.
- Monitor Forest's K-V Pool and respond to deficits or other problems.
- Cover unfunded K-V projects with appropriated funding, if possible.
- Collect and process K-V collections from timber purchasers by using an ATSA (Automated Timber Sale Accounting) system.
- Provide '640' reports and other ATSA resources to Ranger District personnel to assist them with management of local K-V resources (SAI plans and K-V funds).

DISTRICT RANGER:

- Develop SAI Plans for Forest Supervisor timber sales, and submit them to SO for approval and processing. Develop and approve SAI Plans for timber sales offered and sold under District Ranger's authority.
- Complete NEPA documentation for timber sales.

- Assure that K-V projects are consistent with a sale's NEPA documentation (or with other NEPA documentation such as a Forest-wide invasive plants EIS).
- Follow established direction (Handbooks, Handbook and Manual supplements, policy letters, etc.) when preparing SAI and K-V Collection plans.
- Submit Plan Profile worksheets (part of an Annual Review and Report of the CWKV Balance; aka 'K-V balance report') to the SO.
- Consult with SO to resolve questions about appropriate use of K-V funds.

APPROPRIATE USES OF K-V FUNDING

- "A wide variety of renewable resource activities are appropriate for CWKV funding" (section 13, FSH 2409.19).
- Exhibit 02 (next page) provides examples of activities that can be accomplished with K-V funds. It is not an all-inclusive list.
- Unfortunately, an activity can be appropriate in one situation, and inappropriate in another. Many situations in life are not black and white, and so it is with K-V. Considerable judgment is required. More often than not, unfortunately, a realistic response to an uncertain situation is: "it all depends."
- Use of K-V funds is appropriate to correct resource problems on a sale area existing prior to a proposed sale (OGC opinion of 12/17/1987). Since K-V funds are scarce on most recent timber sales, this flexibility should be used with discretion. [Rationale for the previous sentence is: When funds are scarce, resource problems resulting from a timber sale itself should take precedence over needs existing before the sale.]
- K-V funds may be used to construct, operate, and maintain tree coolers and certain other facilities, but it involves a long and detailed process. There are very tight constraints on use of K-V funds for construction and facilities (as described in a WO 2470/1410/6510 memo of 3/2/1992).
- K-V funds may be used for monitoring, but *only to monitor effects of K-V projects*, and only if it is possible to complete monitoring within 5 years of sale closure (or 10 years for sales where a time extension was requested and approved).
- K-V funds may be used for administrative studies, but only with an approved administrative study plan and only to study effects of K-V projects; a KV-funded administrative study could not be used to study effects of a timber sale or a forest fire, for example.

13 – Exhibit 02 (from chapter 10 of FSH 2409.19)

EXAMPLES OF APPROPRIATE K-V PROJECTS	
Plant, seed, or fertilize preferred vegetation to enhance wildlife forage, cover, or rangeland ecosystems	Prepare sites for planting, seeding, or natural regeneration
Construct nest boxes or tree cavities, guzzlers, and water catchments	Plant tree seedlings, including seedling production
Thin trees to enhance growth	Control animal damage to seedlings
Prescribed burn to enhance wildlife habitat and rangeland ecosystems	Manipulate vegetation to improve plant diversity
Treat slash or woody debris to enhance seedling plantability, survival, or growth	Control insect damage to seedlings
Protect T&E species habitat	Enhance soil productivity (physical or chemical)
Improve fish habitat	Restore barriers to livestock
Install gates, signs, and traffic control barriers	Construct waterbars, or close roads, associated with a K-V project
Treat noxious weeds	Set up firewood gathering areas
Replace barrier culverts	Rip or till compacted soils
Reconstruct game/range improvements	Stabilize erosion
Control undesirable vegetation	Provide interpretive signing/brochures
Conduct administrative studies (with approved administrative study plan)	Control stream temperature and provide cover with large woody debris
Plant riparian vegetation	Increase filter strip effectiveness with woody obstructions by using logging slash
Place checkdams in gullies	Control public, wildlife, and livestock use threatening plantations or other resources
Direct seeding, including collection or purchase of tree seed	Obliterate and restore productivity on unneeded roads not used by purchaser
Re-spread top soil	Prune trees to improve future product recovery and value
Incorporate organic matter into soils to maintain fertility	Landscape gullies that threaten loss of long-term site productivity

EXAMPLES OF APPROPRIATE K-V PROJECTS	
Pull back side cast from old roads to reduce landslide potential in sale area	Improve visual quality along roads and trails
Clean-up existing landslide debris	Use burning and other techniques to enhance wild berry production
Maintain KV constructed improvements existing at time of sale	Protect cultural resources discovered during K-V financed work
Remove barriers to fish passage and stabilize stream banks	Establish dispersed camping sites within sale area boundary
Enhance vistas or highlight 'character trees' by thinning, pruning, or planting seedlings	Clear or relocate trails within the sale area boundary when not the purchaser's responsibility
Provide recreation opportunities for Christmas tree cutting, berry picking, wildlife viewing, and other activities through vegetation management, marking, or other methods	Barrier removal or modification where recreation access problems exist
Provide interpretive signs or other media to assist the public in understanding management activities	Removal of preexisting slash such as root wads to enhance recreation and aesthetics
Prescribed burning of hazardous fuels in the Wildland-Urban Interface	Thinning of hazardous fuels in the Wildland-Urban Interface
Piling and burning of hazardous fuels in the Wildland-Urban Interface	

INAPPROPRIATE USES OF K-V FUNDING³

- Preparation of an original SAI and K-V Collection Plan (FS 2400-50 form).
- Monitoring effects of timber harvest (timber sale), a wildfire, or anything else that wasn't financed originally by using K-V.
- Preliminary surveys, presale planning, timber sale administration, environmental analysis (NEPA), and similar activities associated with a timber sale.
- Any project work outside a sale area boundary (except funds collected for program support costs, or for approved facility operations such as tree coolers).
- Protection or maintenance of cultural resources and other non-renewable resources, *unless they are directly affected by a K-V project*.
- Furniture, supplies, and equipment not tied to a K-V project, except for items included as a program support cost.
- Research.
- Preparation of an administrative study plan.
- Any project which cannot be completed within an approved time frame (5 years is standard, unless a time extension was requested and approved).
- Mitigation of timber sale effects (see mitigation definition in section 05 of Renewable Resources Handbook for information about this issue).
- Activities a purchaser is responsible for, as listed below (assuming a timber sale contract included appropriate clauses to make these activities a purchaser requirement). If a contract does not require this work to be completed by a purchaser, or to make deposits for its completion (BD), then many of the activities on this list are appropriate for K-V funding.
 - Closing/rehabilitating roads used in the timber sale.
 - Revegetation or erosion control on road cuts/fills, landings, and skid trails.
 - Disposal of slash created by timber sale activity.
 - Repair of trails, fences, roads, etc. damaged during timber harvest.
 - Treatment of stumps for root disease prevention.
 - Subsoiling to treat soil compaction caused by timber harvest activities.

³ Note that some items in this section (including NEPA) are permissible uses for CWK2 funds, even though they are impermissible uses for CWKV funds. See chapter 20 in Renewable Resources Handbook, FSH 2409.19, for further information about CWK2 funds.

SALE AREA IMPROVEMENT AND K-V COLLECTION PLAN

- A complete SAI and K-V Collection Plan includes a FS-2400-50 form, project narratives, and maps.
- Maps must show a sale area boundary, K-V collection boundary (if different than sale-area boundary), cutting unit locations, and K-V project locations.
[Note: Renewable Resources Handbook (FSH 2409.19, chapters 10 and 30, specifically) does not establish explicit requirements relating to a legend, scale bar, public land survey information (township, range, sections), and other associated information, but it is recommended that this cartographic information be included, just as it is for any professional map.]
- SAI Plans are prepared by a Ranger District (or by a multi-District zone) for all timber sales. They are approved at the S.O. or R.D., depending on which line officer has authority to approve NEPA documents for a timber sale.
[Note: this requirement means that a Ranger District or Zone prepares every SAI plan, even for plans where approval authority rests with the Forest Supervisor.]
- An original SAI Plan is prepared before a timber sale sells; it is usually revised immediately after a sale is sold to reflect actual funding available for K-V.
[Note: this means that a draft SAI Plan must be prepared for Gate 4 (appraisal) in order to ensure that K-V collections will be made within an Automated Timber Sale Accounting system. An SAI Plan will be finalized at Gate 6 when a sale sells.]
- All eligible K-V projects must be included on an SAI Plan (regardless of projected availability of funding), and must be ranked in order of priority.
Don't drop eligible but unfunded K-V projects from the SAI Plan until the timber sale closes (because escalation or other factors may generate sufficient funding to move them from unfunded to funded status).
At time of sale closure, any unfunded K-V work must be removed from the SAI Plan.
- Required reforestation must be shown as the highest priority project. Keep in mind that base rates were increased to include required reforestation costs, so it is assured that sufficient receipts will be collected to cover these costs.
- Include a Forest collection rate when calculating costs for project narratives. A Forest collection rate includes program management costs incurred at Ranger District and Forest levels (also including unemployment compensation, workmen's compensation, DRM, AQM, and certain facilities maintenance costs from Cost Pool 09). A Forest collection rate will typically be applied by FACTS when generating automated SAI Plans.

- Apply a National program support rate when preparing project narratives. As was true for the Forest collection rate, a National collection rate will be applied by FACTS when generating automated SAI Plans.
- Narratives should include a short project description or justification, treatment purpose and objectives, and cost calculations.
 [Note: the word ‘justification’ is sometimes used in Renewable Resources Handbook, but primary justification for a K-V project should come from NEPA for a timber sale or another activity (like invasive plants). So, when completing narratives for K-V projects, place more emphasis on providing useful project descriptions and objectives, rather than attempting to ‘justify’ project work.]
- Project costs should be inflated to an estimated year in which a project will be implemented. The inflation rate to use is published (generally annually) in a Forest Supplement to Program Development and Budgeting Handbook (FSH 1909.13).
 [Note: For Umatilla National Forest, a list of inflation rates is included in the same Supplement to Program Development and Budgeting Handbook, FSH 1909.13, that provides Forest collection rates for BD, KV, and SSF.]
- An SAI and K-V Collection Plan will be prepared automatically after all project data is entered into FACTS. All original and revised Plans must be prepared by using FACTS (see section 31.21 in FSH 2409.19 – Renewable Resources Handbook).
- A useful alternative for preparing project narratives is a simple Excel application called “Project Cost/FACTS Database Worksheet” developed for use on Umatilla National Forest. Other alternatives involve locally developed Word forms. Appendix 1 provides examples for both Excel and Word alternatives.
- SAI Plans must be reviewed, and revised if necessary, at least once each year. Preferably, annual Plan reviews will occur during mid-summer (July-August) because this timing allows Plan changes to be processed before a fiscal year-end closing date for an Automated Timber Sale Accounting system (September 30th), and in time for them to be included in an Annual K-V Balance Review.
 And, contrary to District opinion, this timing for Plan reviews is not designed to conflict with field season – it just seems that way ☺.

USEFUL K-V DEFINITIONS

Definitions in this section were taken from Renewable Resources Handbook, FSH 2409.19 (primarily section 05 – Definitions).

Base rates. “Base rates are the minimum rates charged for each timber species, and they cover all required improvement costs (36 CFR 223.61 and FSH 2409.18, ch. 40). Timber must be sold for the appraised value or base rates, whichever is higher. Where necessary, base rates may be increased to cover required reforestation improvements. However, it should be noted that, for sales offering low value timber or sales with high development costs, selling timber at above base rates may reduce a sale’s profitability to potential timber purchasers to such an extent that the timber sale does not sell. In such a case, base rates could be increased to include a portion of the required full reforestation to be funded by CWKV with the balance to be covered by appropriated funds; or, all reforestation could be funded with appropriated funds. These exceptions may be made where full or partial CWKV collections would make the sale unsaleable and the potential benefits from harvesting the existing stand and establishing a new stand justify the use of appropriated funds” (FSH 2409.19, sec. 31.24).

CWKV activity. An activity (project) for which K-V funds are expended. An activity must be located within defined timber sale and K-V collection boundaries, and be an appropriate use of CWKV funds per sections 12 and 13 of Renewable Resources Handbook.

CWKV collection. A collection made from timber sale receipts to fund an activity listed on an approved SAI plan for a particular timber sale.

CWKV pool. “The CWKV pool is an accounting process for each proclaimed national forest, established for ease of accounting so that individual expenditures need not be tracked separately on a sale-by-sale basis. The pool facilitates accounting for funds and allows for reasonable overruns and underruns of expenditures for the funded items listed on SAI plans. Do not use the CWKV pool to move funds between sales. Do not collect CWKV funds on one sale with the intention of spending them on another sale area. CWKV funds collected on one sale area must not be used to fund work that is unfunded on another sale area” (FSH 2409.19, sec. 32.1).

Eligible K-V activity (project). Work is deemed eligible for K-V funding if it is consistent with legal authorities, and appropriate to be accomplished with K-V funding, in accordance with sections 12, 13, 22, and 23 of FSH 2409.19, Renewable Resources Handbook.

Although some folks would like to show every project in a timber sale area on an SAI Plan (FS 2400-50 form), and then use ‘K-V Funded Projects’ columns on an FS-2400-50 form to distinguish KV-eligible projects from ineligible projects, this approach is incorrect because ineligible projects should not be shown on an SAI Plan.

[Note: a recent version of FS-2400-50 form, dated 12/2009, clearly states that only eligible projects can be included because it refers to: 'List of Eligible Projects' (column 9) and 'Cost of Eligible Projects' (columns 13a and 13b).]

Funded K-V activity (project). A CWKV activity (project) is termed K-V funded if on an SAI Plan for a specific sale there is sufficient stumpage available to finance the proposed activity (project).

K-V collection boundary. A boundary within which K-V funds may be collected and CWKV activities (projects) implemented. A K-V collection boundary may be the same as a sale-area boundary (or it can be smaller in extent), but it must never extend outside a timber sale area boundary.

Mitigation. Mitigation is any additional activity that must occur in order for an initial activity to occur. An example: in order to harvest timber, one or more post-sale activities must occur. If post-sale mitigation activities cannot occur (due to a lack of funding, for example), then timber harvest may not take place. *CWKV funds may not be used to perform mitigation.* This definition is based on FSH 2409.19, section 05. In section 13.5 (#14), FSH 2409.19 states: "mitigation of adverse effects of timber sales" cannot be funded with K-V.

Sale closure. Sale closure occurs on the date a letter is signed notifying a purchaser that a sale is closed. For a timber sale that is part of a stewardship contract, sale closure is the date on which the last commercial operation regarding a timber sale is completed.

Sale Area Improvement and K-V Collection Plan. CWKV projects must be documented on form FS-2400-50, Sale Area Improvement and K-V Collection Plan (commonly abbreviated to SAI Plan). Minimum standards for a complete, self-supporting SAI Plan include these items: copy of an approved FS-2400-50 form, narrative documents covering all projects on an FS-2400-50 form, and one or more maps showing project locations and a timber sale or K-V collection boundary.

Unfunded K-V activity (project). A CWKV activity (project) is termed an unfunded K-V activity if on an SAI Plan for a particular timber sale there is insufficient stumpage available to finance the proposed activity or project. Prior to sale closure, or contract termination, whichever occurs first, eligible KV activity may move between being funded and unfunded as receipts, national program support costs, project costs, priorities, or other factors change. *At time of sale closure, or contract termination, whichever occurs first, an activity's status as funded or unfunded is frozen and cannot change.*

CROSS REFERENCES (USEFUL K-V INFORMATION)

TOPIC	LOCATION
Environmental Policies and Procedures	FSM 1950; Environmental Policy and Procedures; FSH 1909.15, National Environmental Policy Act Handbook.
Timber Sale Area Boundary	FSH 2409.18, Timber Sale Preparation Handbook, section 54.2.
Base Rates	36 CFR 223.61; FSH 2409.18, Timber Sale Preparation Handbook, section 54.2.
Appropriation Use	FSH 6509.11g, Servicewide Appropriation Use Handbook.
Specific Resource Direction; Use of K-V Funds	FSH 2409.19, Renewable Resources Handbook, chapters 10 (Project planning) and 30 (Collections, costs, and accounting).
Timber Sale Statement of Account	FSH 6509.17, Automated Timber Sale Accounting Handbook, section 22.3, form FS-6500-174, Timber Stumpage Distribution and Associated Charge, Basic Contract Data.
Forest Collection Rates for BD, K-V, and SSF Funds	Umatilla NF Supplement to FSH 1909.13, Program Development and Budgeting Handbook (updated annually).
Preparation of Form FS-2400-50, Sale Area Improvement and K-V Collection Plan	FSH 2409.19, Renewable Resources Handbook, chapters 10 (Project planning) and 30 (Collections, costs, and accounting).
Analysis of Remaining K-V Work By Timber Sale, and Status of the Forest's K-V Program (Annual K-V Balance Review)	Plan Profile Worksheets (Part A) completed for each timber sale, and Forest K-V Balance Sheet (Part B) summarizing Forest K-V program as a whole; instructions provided annually by RO and SO memos.

APPENDIX 1: EXAMPLES OF SAI PLAN NARRATIVES

This appendix provides two examples of forms used as narratives for projects included on SAI and K-V Collection Plans. One example is an older alternative produced by using a word processor – a contemporary version of this option could easily be produced by using the forms capability of Microsoft Word.

A second example is a more recent alternative implemented by using Microsoft Excel. This spreadsheet option provides less flexibility than Word for handling text items (like project descriptions and project objectives), but it is much more useful than Word for automating cost calculations.

Note that SAI and K-V Collection Plans are now generated by FACTS, so cost calculations are now completed in FACTS and included on an FS 2400-50 form by individual work activity. This differs from historical circumstances because in the past, a Planting Project would have been shown on an FS 2400-50 form by including only a single per-acre cost pertaining to the whole project (\$400 per acre, for example). But, this total cost actually represents a whole suite of work activities, all of which must be accomplished in sequence or in combination, to have a successful planting project.

Work activities for planting, for example, typically include unit layout, seed procurement, seedling procurement, site preparation for planting, planting contract cost, contract administration, animal damage control, first and third year survival surveys, third and fifth year stocking surveys, and so forth.

Historically, costs for individual work activities (site preparation, contract administration, surveys, etc.) were described on a project narrative form, and only a total cost for an entire project (Planting) would appear on an FS 2400-50 form. Currently, FACTS includes each work activity on an FS 2400-50 form individually, rather than combining them to generate a total planting cost and then including it on the form.

Narrative examples in this appendix reflect the historical way of making project calculations – work activities for a project are calculated separately, but they are combined at the end to generate an overall total cost for a project, which was then carried forward to an FS 2400-50 form.

Narrative form in a word processing format	18
Narrative form in a spreadsheet format.....	19

RESOURCE PROJECT PROPOSAL

--PROJECT DESCRIPTION--

F.Y. 97 SAI PRIORITY TREAT. NO. _____ STATE: OREGON

RANGER DISTRICT: Walla Walla TIMBER SALE: Grande Ronde Salvage SALE ACRES: 1281

PROJECT NAME/NUMBER and DESCRIPTION (North End Allotment): NOXIOUS WEEDS
Multi-year project to prevent noxious weeds from spreading and becoming established in disturbed soils. Treat and monitor invading noxious weeds. Inventory work conducted around and within the planning area has produced seven Diffuse Knapweed sites, two Tansy Ragwort sites, five Canada Thistle sites, and one Yellow Starthistle site. There is potential for infestations to result from timber sales activities. This plan will be adjusted to reflect the cost of treatment as needed. Seeding and/or planting of hardwood cuttings shall be used as added control measures.

PROJECT PURPOSE & OBJECTIVES: To prevent noxious weeds from spreading and becoming established in disturbed soils.

PROJECT LOCATION: T 4 & 5N ; R 40 E; SECTION(s) See sale area map

SIZE OF PROJECT (Acres, Structures, etc.): 400 acres

DATE OF COMPLETED ENVIRON. ASSESS. _____ and S.A.I PLAN _____

FUND CODE: CWKV ACTIVITY CODE: DN24

ESTIMATED PROJECT COSTS: FOREST SERVICE OTHER

1. Materials Tools, Equipment & Equip. maintenance, herbicide			
\$65.00 ac x 7 ac	-x 5 years	\$ 2275	\$
2. Person Days 4 @ \$ 79 /Day	-x 5 years	\$ 1580	\$
2 @ \$ 90 /Day	-x 5 years	\$ 900	\$
2 @ \$ 212 /Day	-x 5 years	\$ 2120	\$
3. Transp./Equip. 3 Days @ \$ 45 /Day	-x 5 yrs	\$ 675	\$
4. Per Diem of Days @ \$ /Day	-----	\$	\$
5. Other Miscellaneous Costs	-----x 5 yrs	\$ 250	\$

SUB-TOTALS: \$ 7800 \$

6. R.D. Overhead Costs(FSM 6520 Suppl. 16%)-\$ 1248

SUB-TOTALS: \$ 9048 \$

7. Est. Inflation Costs (4.0% for 5 yrs.)-- \$ 1960.28

PROJECT TOTALS: \$ 11008.28 \$

PROJECT UNIT COSTS: (\$ 1572.61) (\$)
 (314.52 x 5)

PROJECT GRAND TOTAL: \$ 11008.28 (over 5 yrs)

ESTIMATED BENEFITS: _____ WFUD's _____ SMOLTS/LBS. _____ RVD'S
 _____ T&E RECOVERY UNITS _____ AUMs _____ TONS
 7 ACRES _____ Other Outputs ()

PREPARED BY: Jana Leinbach Rangeland Management Specialist DATE: 10/22/96
 Name Title

SALE AREA IMPROVEMENT AND K-V COLLECTION PROJECT PROJECT COST/FACTS DATABASE WORKSHEET

Umatilla National Forest; Walla Walla Ranger District

Directions for this form: Complete by using FACTS Activity Code Groupings, Activity Codes, and Descriptions (see KV Coord. for list). Check that the cost section is calculating correctly. Attach a map showing project location(s) and K-V Collection or Timber Sale Area boundary.

Timber Sale Name: Loon; DN/FONSI for Loon Fuels Reduction Project signed 8/1/2008				
Project Description: Mastication/mowing				
Purpose/Objective: Masticate pre-existing slash and woody debris to facilitate tree planting. Reduce slash to a depth of 24 inches or less. Ensure that at least 150 well-distributed planting spots are created per acre (17-foot average spacing).				
Activity Code Grouping: (check one) <input type="checkbox"/> Fire <input type="checkbox"/> Range <input type="checkbox"/> Cultural and Rec <input checked="" type="checkbox"/> Timber and Silviculture <input type="checkbox"/> Soil/Air/Watershed <input type="checkbox"/> Wildlife, TES Species, Fisheries <input type="checkbox"/> Miscellaneous <input type="checkbox"/> Engineering				
Project Implementation Year	2010			
Unit Measure:	Quantity:	Activity Code:	Priority Number (District Decision)	Required (Y/N)? (Y if required reforestation)
acres	209	4580	2	Y

ESTIMATED PROJECT COSTS: (Add or remove items, units, and costs as needed)

Item	Unit	Cost/Unit	# Units	Cost
Contract:				
Average cost/unit	acres	\$385	209	\$80,465
Supplies:				\$0
FS layout, admin, data mgt., etc:				
GS-11	(usually days)			\$0
GS-9				\$0
GS-4				\$0
FS Vehicle:				
FOR	(usually months)			\$0
Mileage				\$0
TOTAL PROJECT COST				\$80,465

Unit Cost (Total Project Cost / Quantity):	\$385.00
---	-----------------

(Will say division by zero until a quantity value is entered on line 16)

FACTS will calculate inflation and overhead. The value showing up on the SAI and KV Collection Plan (FS-2400-50 form) will be about 1.5 times the District project cost.

Prepared By _____

Title _____

Date _____

APPENDIX 2: K-V FREQUENTLY ASKED QUESTIONS

Where can I find the KV handbooks?

The KV handbook is available at:

http://www.fs.fed.us/cgi-bin/Directives/get_dirs/fsh?2409.19

Who would typically be a district KV coordinator?

It is up to each Forest and/or District to decide how to determine the unit KV Coordinator. It is strongly recommended to choose someone that has an interest in doing it.

What's the difference between a KV plan and an SAI plan?

They are the same thing. SAI plan is the technical term, but many people refer to it as a "KV Plan"

Does the Initial SAI plan need to be approved?

Yes. The initial SAI plan is not official until it is signed as approved by the appropriate line officer. If there is required reforestation for the sale, this document is used to determine the reforestation costs that go into the determining the base rate in the appraisal process (TIM Gate 4).

When revisions to SAI plans are done, do the revisions also need to be approved?

Yes. They need to be signed by the person who has the comparable authority to sign the NEPA document that covers the timber sale. .

Who signs the SAI plan when the volume of the sale is under the Ranger's authority, but the sale was part of a larger NEPA document that was under the Forest Supervisor's authority?

The SAI plan must be signed by the person with sufficient NEPA signing authority to have been able to sign the decision document covering the harvest units; e.g. this timber sale is one (11,000 ccf) of many to come out of the source Decision Notice or Record of Decision which estimated that 70,000 ccf would be harvested; the line officer signing the SAI plan for the 11,000 ccf sale must have at least 70,000 ccf NEPA signing authority.

Who signs the SAI plan when one part of the plan is covered under project-level NEPA, and other parts are covered under programmatic NEPA (for example: reforestation is covered under the timber sale NEPA, but invasives treatment is covered under a programmatic EIS)?

The SAI plan needs to be signed by the person who has the comparable authority to sign the NEPA document for the timber sale.

Does the map in the SAI plan need to be one page, or can each program area have individual maps?

Your map needs to have enough detail that someone else can go out and figure out where to implement the work on the ground, and the map also needs to demonstrate that the KV project(s) on the map are within the SAI plan boundary. The map can be one or more pages; each functional area can have their own map(s), etc.

Can the SAI boundary be bigger than the sale area boundary?

No, the SAI boundary cannot be larger than the sale area boundary. It may only be smaller, or the same size. Work with your timber and contracting staff when they determine the sale area boundary to accommodate appropriate KV opportunities.

From FSH 2409.19, Chapter 10, 11.3 Delineation of CWKV Collection Boundaries: "CWKV projects must be implemented within the sale area boundary as defined in FSH 2409.18, chapter 50 and within the CWKV collection boundary. The CWKV collection boundary may be the same as the sale area boundary but may not extend outside the sale area boundary."

Is it appropriate to develop the SAI plan after the sale has been awarded?

No. The initial SAI plan must be completed during TIM Gate 4 for use in the appraisal process, and signed prior to or at the same time as the Gate 4 cert (prior to advertisement) – FSH 2409.19 Ch. 50. At Gate 6 the collection accounts for the sale are created, and failure to create the KV collection account at this stage may result in funds not being available for the SAI plan later.

Can KV funds be collected from the sale of forest products other than timber?

KV funds can only be collected for convertible products (timber, posts, poles, fuelwood). You cannot create a SAI Plan for botanical product harvests (16 U.S.C. 528).

What are some examples of post-sale activities that can be completed with KV funds?

The CWKV Project Planning Handbook (FSH 2419.19 ch. 13) has several pages of appropriate CWKV activities.

Can you use KV to build exclusion fences for aspen?

Yes, if the reason is to protect the aspen establishment, and if the aspen establishment was a KV restoration activity. KV can be expended to protect a valid KV activity.

Can KV funds be used for mitigation?

No, KV funds cannot be used for mitigation. The Zero code of the KV Handbook defines mitigation in regards to KV as any additional activity that must be performed in order for

*the initial activity to occur. For example, in order to harvest timber, one or most post-sale activities **HAVE TO BE PERFORMED**. If the post-sale activities are not performed then the timber harvest may not take place.*

If you are mitigating an adverse effect of a timber sale, or completing an activity that if it is not done, the sale can't go forward, that is considered mitigation and is not an appropriate use of KV.

If you clearcut and collect KV funds for planting, isn't that mitigating a harvest?

The original purpose of the KV Act was to allow collections to be made for reforestation after timber harvest activities. Required reforestation is always the number one priority if you have it in a sale area, and it has to be included in the base rates so that the appraisal includes those costs. This can be kind of a gray area and it's easy to think of things that meet the definition of mitigation. If you need to think of reforestation activities as mitigation, then just understand that reforestation of trees is the only allowed 'mitigation' by the KV Act. If you're unsure if an activity is mitigation, take a moment to think about why you're doing it, and if you are still not sure, ask your forest KV coordinator or RO KV coordinator for advice.

Should KV be collected for non-required (enhancement) planting?

You can collect and expend KV funds for enhancement planting if it can be tied to some identified need for habitat enhancement or ecological restoration; e.g., to add to an underrepresented species, underplant for increasing or modifying stand structure, add a browse species to the site, improve thermal cover, etc.

When is it appropriate to use KV funds for prescribed burning? Can KV funds be used to treat harvest created slash or existing downed fuels?

*You can use KV funds for prescribed burning if it is a restoration or enhancement activity within the SAI boundary and was included in the SAI plan. It is not appropriate to treat activity fuels generated by the timber harvest activity with KV funds; that is the responsibility of a timber sale purchaser as defined in a timber sale contract. You may only expend KV funds on treating KV activity fuels or existing fuels (e.g. natural fuels) **NOT** generated by the timber harvesting activity). Pro-rating the expenses to other non-KV is allowed for treating the timber sale generated activity fuels; e.g. if 30% of the fuel loading was attributed to the timber harvest activity, then it may be appropriate for BD to pay 30% and KV to pay 70%.*

When is the use of KV funds for monitoring appropriate?

You can use KV to monitor the effects of a KV treatment. For example, if you treat invasives with KV, you can come back and monitor the effectiveness of that treatment,

evaluate the need for more treatment, or complete an additional treatment, if needed, by using KV funds.

Are stocking surveys, pretreatment exams and plantation survival exams considered "inventory"?

When used in conjunction with a reforestation activity, they are viewed as monitoring activities. The reforestation has already been determined as an expected need. They are used to determine effectiveness of the reforestation process, and to evaluate if additional treatments are needed.

Is the order of priorities in the SAI plan determined by what was specified in the NEPA documents?

No. All actions included in the SAI plan must have NEPA documentation. Priorities are recommended by the IDT and approved by the Line Officer. The Line Officer can alter priorities as needed.

Note: Required reforestation is always the #1 priority for KV funds.

Can you use KV funds to update SAI plans?

Yes, KV funds can be used to update a SAI plan under two conditions: 1) The narrative needs to include plan revision as part of your cost basis. 2) Any additions to your SAI plan have to meet the conditions for inclusion on a SAI plan; i.e. must be a restoration or enhancement activity that is an existing condition, is covered under a completed NEPA document, is located within the SAI boundary, and was vetted by an IDT.

KV funds cannot be used in the planning process. So, you cannot use KV to look for more activities to include on the SAI plan, such as looking for invasives to treat within the SAI boundary. That would be considered inventory work, because it is not a known condition, so this is not an appropriate use of KV funds.

Is there a due date for updating SAI plans?

Update your plans as needed (e.g. if the contract is extended, costs change, etc.), but at a minimum update your plans annually, prior to the end of the fiscal year. If any adjustment in funds is needed, adjustments must occur during the same fiscal year as when the collection occurred. Also, the following items depend on having up-to-date SAI plans:

- The November OPRR submission reports the percentage of KV plans that have been updated. The response is entered into the budget equation to determine your base funding. Not having all your KV plans updated means you receive less base funding.*
- The KV Balance report (generally completed in November) depends on having up-to-date and accurate KV Plan information. This report is signed by the Forest Supervisor, verifying its accuracy.*

Is the sale closure date based upon individual units or all units combined?

The closure date will be for the entire timber sale, not for individual units. The official sale closure date is the date the completion of the sale was input to TSA.

What is the purpose of reviewing SAI plans for closed sales? What are we looking for?

Closed sales are reviewed primarily to ensure that planned work is completed, and any unaccomplished work is eventually either assigned to another funding source, or removed from the planned activities list in FACTS. Also, if a Forest ever overspends its KV funds and has a negative annual balance, funded activities from closed sales are the only source of funds that a forest can use to get their forest back into balance. A forest must balance to zero every year.

Is there any way to update or revise a SAI plan after a sale contract has closed?

The SAI plan is frozen when the sale is closed. Technically, the only time it should be modified after that is if an extension is approved. In FACTS, the only cells you can modify after the sale is closed is the planned date to implement an activity, and the accomplishment reporting fields. All the costing fields and other update fields associated with the activity are locked to changes, and the create activity function is inactivated.

Your timeline chart indicates KV closure could be up to 10 years after sale closure. What can be done in years 5 to 10 after sale closure?

You can only expend funds in the 5-10 years after sale closure for those activities that have been approved (extended) by the Regional Forester. Generally, you will only get regional authorization for activities that you could not implement within 5 years because of some situation that was beyond your control (e.g. wildfire, insect, disease). Poor planning to complete KV activities is never considered a valid reason, and an extension will not be granted for this reason.

What is the “base year”?

The “base year” refers to the year of origin for any of the costs figures used to determine your unit costs in the SAI plan narrative; e.g. if the salary rates for workers were their salary rates in 2006, the base year is 2006 for the salary costs; if gates cost \$600 in 2009, 2009 is the base year for the gate costs. Try to use costs for the same base year when calculating your unit costs.

When you recalculate costs in a revised SAI plan, should you change the base year?

You would only change your base year if you redo the costing out in your narrative to determine your unit costs, and you use a different base year for those costs. FACTS will always use the internal inflation rate to inflate out year costs to the planned imple-

mentation year. Whenever you use the “Recalculate” button on the FACTS Trust Fund form, it will do this for any unaccomplished activities on that SAI plan.

What year is considered the "year of collection"?

The “year of collection” is the fiscal year in which the funds are actually deposited into that account. You can determine this for a sale by looking at various ATSA reports; e.g. TSA640-01, which shows what funds have been deposited into selected accounts (NFF, SSF, KV), both by current fiscal year (Column FYTD) and also total funds currently deposited (Column To-Date)

How many times during the year do rates change?

Rates need to be updated once each year. The WO issues a letter each year, usually in October, with the National Assessment rates for each of the Trust Funds for that fiscal year, as well as the inflation rate. Forests should calculate their Forest level assessment rate for each of these funds each fiscal year.

Does the FACTS web site have a list of Forest FACTS contacts?

Yes, it is under the FACTS Contact Information link at:

http://fsweb.ftcol.wo.fs.fed.us/frs/facts/contacts/documents/FACTS_Contacts_List_AllRegions.pdf

If you are completing an activity between 2 cutting units, is the FACTS ID derived from the cutting unit or from the stand number where the activity is actually completed?

Each Forest has its own way to define FACTS_ID (Activity units), so this needs to be a question each Forest should address and come up with their own protocols.

How do I search for Activity units (FACTS_IDs) for KV treatments that are not located in a cutting unit?

There are lots of ways to get this info. If you are just looking for a report, then you can run the query activity view, input the criteria you need to search and generate the report. A favorite is to use either the FACTS Query activity form or the Update Activities/Adjust Planned dates form to bring up a data record itself.

Dashboard Release 2
Welcome, favella, to I-Web Dashboard

I-Web Main Menu Portlet

Select a topic << Main Menu Live Search ☐ Hover Help

Topics

- BUSINESS AREAS
- FACTS (New)
 - Activities
 - NEPA
 - Trust Funds
- INVENTORY
- NRIS
- LOCAL APPLICATIONS
- SYSTEM MAINTENANCE
- TOOLS

Forms | Maps | Reports | User Views

Module Name

- FACTS User Profile
- Activities Data Entry
- Implementation Projects
- FACTS Query Activity
- Update Activities/Adjust Planned Dates

Enter some general criteria (this form is specific to your profile setting, whereas others are not, and you'll have to input your org criteria). Here I am looking for all KV funded activities planned for 2014 on 060501.

FACTS Update Activities

Welcome, FAVELLA

Save Print Export Revert Return Link Attach Import From

Welcome, FAVELLA Home Org: 060501

Query Activities

Program Area: Activity Code: Activity:

Fiscal Year Planned: 2014 Local Qualifier: Causal Agent:

AU Org: FACTS ID: AU Name:

SUID: Subunit: Fund Code: CWKV

Sale Org: 060501 Sale Number: Sale Name:

NEPA Doc Nbr: NEPA Doc Name:

Impl Project Nbr: Impl Project:

Unaccomplished Only: ☐

Execute Last Query

Reference: Any items with * or red colored names are required

How do I find out details about the FACTS ID naming system for my particular Forest or District (e.g. can I use subunit code 000?, should I create a FACTS ID for the timber sale, or for each cutting unit)?

It's up to each Forest to make those decisions. Talk with your Forest FACTS coordinator to find out if your Forest has FACTS naming conventions and recording rules. Check the website above, or call the RO, if you're not sure who your Forest FACTS coordinator is.

How do I attach a narrative document in FACTS?

Attaching a narrative document to a Trust Fund Plan is done using the Attach button located in the Trust Fund Plan form in the FACTS application:

Welcome, FAVELLA Home Org: 060501

K-V / BD Plan **Link** **Attach**

Create

Select	Sale Nbr	Sale Name	Plan Type
<input checked="" type="radio"/>	00000	TESS TIMBER SALE	KV

Sale Category: H
Award Date: 1/1/11

Other

Plan Revision Nbr: 0
Trust Fund Comments:
Comp or GIS Ref:

Rates

A complete set of instructions for attaching documents to trust fund plans or to activities can be found in the FACTS help document under USING FACTS, Link and Attach.

Home > Using FACTS > Link and Attach

Link and Attach

FACTS includes two features that are used to associate related data to your FACTS record.

Link

The Link feature allows you to connect a FACTS record to other records in the NRM database. You may link a record to a Land Unit, a Feature, a Travel Route, an Accomplishment. The Link feature is displayed in the FACTS toolbar, it is disabled. Instead, you'll find Link buttons throughout the data entry forms where the Link feature is allowed. [Image](#)

Activity Units	Link	Attach
Create Duplicate Sort Delete		
Select AU Region AU Forest AU District		
01 10 01		
01 10 01		
01 10 01		
01 10 01		

Clicking on the Link button opens the Link form. [Image](#): For more information on using this form, refer to this Help:

<http://web.nrm.fs.fed.us/support/help/basic/mergedProjects/link/>

How do I retrieve the narrative document in FACTS?

In the Trust Fund form select a KV plan. Use the Attach button to either add a narrative to retrieve one.

[Link Attachment to Accomplishment Instrument](#)

Page | Safety | Tools | Help

Attachments

Welcome,
FAVELLA

Save
 Rollback
 Print
 Return
 Find

Accomplishment Instrument
Id 1000000000006400010602 Name TESS TIMBER SALE Type KV PLAN

Linked Documents

[Link New Attachment](#)
[Unlink Attachment](#)
[Edit Attachment](#)
[Link Existing Attachment](#)

Row 1 of 0 rows

ID	Title	Link Type	Type	Sub-type	Modified By	Modified Date	File Size
----	-------	-----------	------	----------	-------------	---------------	-----------

You cannot spend funds collected in one SAI plan area on activities in another SAI plan area. This is basic to the KV Act. There really is no “Forest KV pot”; closest thing to a pool of KV funds for expenditures across a forest is the “Forest Level Assessment”. The Forest level Assessment includes those direct costs to the management of the KV program that cannot be easily attributed to any single SAI plan; e.g., OWCP claims, CP09, DRM, AQS charges, utility fees related to KV funded facilities, general program management – staff costs, etc. Note that none of these funds are spent on the ground, in the woods.

We will spend and monitor funds in the year they are collected by using a fiscal year indicator.

The Cost of Funded Work is the line to be entered into TSA.

When there is no essential KV, should you put \$1 on the SAI plan so that it will register in TSA?

No, you should not use a place holder. Instead, create an SAI Plan based on need, and availability of advertised value. Follow Forest policy to determine the percent of collections available to KV.

What is the requirement for funding to NFF? (25% of the total stumpage value, or 25 cents per ccf)?

NFF is collected at .25 cents per CCF, .50 per MBF, with an additional 10% of all NFF Collections going to trails and roads.

At what point should the presale folks get the advertised value to the silviculturist? What is an appropriate time frame for the silviculturist to complete the SAI plan and submit it to presale for input to gate 4, before the sale is advertised?

The initial plan is due on or before the date of the TIM Gate 4 certification is signed, which is prior to advertising. The presale team on each forest should develop a plan to ensure that everyone has time to complete their portion of the sale package.

Where is the stumpage available for KV figure generated from for the final SAI plan?

It depends. The remainder of total stumpage when the sale is completed minus the 25% mandatory payment to NFF is divided among plans (KV, SSF, etc.) as decided by the Line Officer.

Is KV subject to fire spending appropriations during high fire years?

Yes, there are three instances listed in the FSH 2409.18 CH 32.2 that can result in redistribution of CWKV to other accounts:

- 1. Funds have been transferred from the CWKV account to another appropriation under the authority of 7 U.S.C. 2257.*
- 2. Funds have been advanced for emergency firefighting purposes under the authority of 16 U.S.C. 556d or if funds have been transferred for emergency firefighting purposes under the authority of the relevant year's Appropriation Act.*
- 3. This is qualifying CWK2 work.*

Number 3; qualifying CWK2 is a normal practice that occurs each year if the Chief decides to reallocate excess CWKV identified in the annual KV balance report to CWK2.

Can KV fund lump sum payouts?

Yes, this is considered legitimate costs for KV, IF that person worked on KV funded work AND the amount of the lump sum is based on the percentage of time that employee typically worked on KV projects. Lump sum payouts would need to be collected as part of the costs of the KV work done by that employee and prorated with the amount of time spent working on KV.

Does use of the word "region" in the 2005 amendment to the KV Act allow KV funds to be used anywhere throughout the Forest Service Region (i.e. Region 6)?

No. FSH 2409.19 Chapter 10 specifically states that CWKV projects must be implemented within the sale area boundary as defined in FSH 2409.18, chapter 50 and within the CWKV collection boundary. CWKV funds may only be used within their SAI boundary (i.e., "region," with a small r). In contrast, CWK2 funds may be used within their Forest Service Region (i.e. "Region," with a capital R).

Can KV be used in stewardship contracts?

SAI plans can be created, and cash deposits can be collected for KV under Integrated Resource Timber Contracts (IRTC). Deposits for KV should only be collected for activities that need to be completed after the term of the stewardship contract (such as planting surveys) or cannot be completed by the contractor as part of the contract. SAI plans and collections are not allowed under Integrated Resource Service Contracts (IRSC) or Stewardship Agreements. See the Stewardship Contracting Handbook, FSH 2409.19 Chapter 60, for additional information.

APPENDIX 3: SILVICULTURE WHITE PAPERS

White papers are internal reports, and they are produced with a consistent formatting and numbering scheme – all papers dealing with Silviculture, for example, are placed in a silviculture series (Silv) and numbered sequentially. Generally, white papers receive only limited review and, in some instances pertaining to highly technical or narrowly focused topics, the papers may receive no technical peer review at all. For papers that receive no review, the viewpoints and perspectives expressed in the paper are those of the author only, and do not necessarily represent agency positions of the Umatilla National Forest or the USDA Forest Service.

Large or important papers, such as two papers discussing active management considerations for dry and moist forests (white papers Silv-4 and Silv-7, respectively), receive extensive review comparable to what would occur for a research station general technical report (but they don't receive blind peer review, a process often used for journal articles).

White papers are designed to address a variety of objectives:

- (1) They guide how a methodology, model, or procedure is used by practitioners on the Umatilla National Forest (to ensure consistency from one unit, or project, to another).
- (2) Papers are often prepared to address ongoing and recurring needs; some papers have existed for more than 20 years and still receive high use, indicating that the need (or issue) has long standing – an example is white paper #1 describing the Forest's big-tree program, which has operated continuously for 25 years.
- (3) Papers are sometimes prepared to address emerging or controversial issues, such as management of moist forests, elk thermal cover, or aspen forest in the Blue Mountains. These papers help establish a foundation of relevant literature, concepts, and principles that continuously evolve as an issue matures, and hence they may experience many iterations through time. [But also note that some papers have not changed since their initial development, in which case they reflect historical concepts or procedures.]
- (4) Papers synthesize science viewed as particularly relevant to geographical and management contexts for the Umatilla National Forest. This is considered to be the Forest's self-selected 'best available science' (BAS), realizing that non-agency commenters would generally have a different conception of what constitutes BAS – like beauty, BAS is in the eye of the beholder.
- (5) The objective of some papers is to locate and summarize the science germane to a particular topic or issue, including obscure sources such as master's theses or Ph.D. dissertations. In other instances, a paper may be designed to wade through an overwhelming amount of published science (dry-forest management), and then synthesize sources viewed as being most relevant to a local context.
- (6) White papers function as a citable literature source for methodologies, models, and procedures used during environmental analysis – by citing a white paper, specialist reports can include less verbiage describing analytical databases, techniques, and so forth, some of which change little (if at all) from one planning effort to another.
- (7) White papers are often used to describe how a map, database, or other product was developed. In this situation, the white paper functions as a 'user's guide' for the new product. Examples include papers dealing with historical products: (a) historical fire extents for the

Tucannon watershed (WP Silv-21); (b) an 1880s map developed from General Land Office survey notes (WP Silv-41); and (c) a description of historical mapping sources (24 separate items) available from the Forest's history website (WP Silv-23).

The following white papers are available from the Forest's website: [Silviculture White Papers](#)

Paper #	Title
1	Big tree program
2	Description of composite vegetation database
3	Range of variation recommendations for dry, moist, and cold forests
4	Active management of Blue Mountains dry forests: Silvicultural considerations
5	Site productivity estimates for upland forest plant associations of Blue and Ochoco Mountains
6	Blue Mountains fire regimes
7	Active management of Blue Mountains moist forests: Silvicultural considerations
8	Keys for identifying forest series and plant associations of Blue and Ochoco Mountains
9	Is elk thermal cover ecologically sustainable?
10	A stage is a stage is a stage...or is it? Successional stages, structural stages, seral stages
11	Blue Mountains vegetation chronology
12	Calculated values of basal area and board-foot timber volume for existing (known) values of canopy cover
13	Created opening, minimum stocking level, and reforestation standards from Umatilla National Forest Land and Resource Management Plan
14	Description of EVG-PI database
15	Determining green-tree replacements for snags: A process paper
16	Douglas-fir tussock moth: A briefing paper
17	Fact sheet: Forest Service trust funds
18	Fire regime condition class queries
19	Forest health notes for an Interior Columbia Basin Ecosystem Management Project field trip on July 30, 1998 (handout)
20	Height-diameter equations for tree species of Blue and Wallowa Mountains
21	Historical fires in headwaters portion of Tucannon River watershed
22	Range of variation recommendations for insect and disease susceptibility
23	Historical vegetation mapping
24	How to measure a big tree
25	Important Blue Mountains insects and diseases
26	Is this stand overstocked? An environmental education activity
27	Mechanized timber harvest: Some ecosystem management considerations
28	Common plants of south-central Blue Mountains (Malheur National Forest)
29	Potential natural vegetation of Umatilla National Forest
30	Potential vegetation mapping chronology

Paper #	Title
31	Probability of tree mortality as related to fire-caused crown scorch
32	Review of “Integrated scientific assessment for ecosystem management in the interior Columbia basin, and portions of the Klamath and Great basins” – Forest vegetation
33	Silviculture facts
34	Silvicultural activities: Description and terminology
35	Site potential tree height estimates for Pomeroy and Walla Walla Ranger Districts
36	Stand density protocol for mid-scale assessments
37	Stand density thresholds related to crown-fire susceptibility
38	Umatilla National Forest Land and Resource Management Plan: Forestry direction
39	Updates of maximum stand density index and site index for Blue Mountains variant of Forest Vegetation Simulator
40	Competing vegetation analysis for southern portion of Tower Fire area
41	Using General Land Office survey notes to characterize historical vegetation conditions for Umatilla National Forest
42	Life history traits for common Blue Mountains conifer trees
43	Timber volume reductions associated with green-tree snag replacements
44	Density management field exercise
45	Climate change and carbon sequestration: Vegetation management considerations
46	Knutson-Vandenberg (K-V) program
47	Active management of quaking aspen plant communities in northern Blue Mountains: Regeneration ecology and silvicultural considerations
48	Tower Fire...then and now. Using camera points to monitor postfire recovery
49	How to prepare a silvicultural prescription for uneven-aged management
50	Stand density conditions for Umatilla National Forest: A range of variation analysis
51	Restoration opportunities for upland forest environments of Umatilla National Forest
52	New perspectives in riparian management: Why might we want to consider active management for certain portions of riparian habitat conservation areas?
53	Eastside Screens chronology
54	Using mathematics in forestry: An environmental education activity
55	Silviculture certification: Tips, tools, and trip-ups
56	Vegetation polygon mapping and classification standards: Malheur, Umatilla, and Wallowa-Whitman National Forests
57	State of vegetation databases for Malheur, Umatilla, and Wallowa-Whitman National Forests
58	Seral status for tree species of Blue and Ochoco Mountains

REVISION HISTORY

February 2014: Material in this white paper was originally prepared for a training session (*K-V Program: An Introduction*) presented on February 10, 1997 at Umatilla NF Supervisor's Office in Pendleton, OR.

Minor formatting and editing changes were made in February 2014, primarily to bring this material in line with a recent version of Renewable Resources Handbook, FSH 2409.19, and to add formatting and an appendix relating to Forest's white-paper system.