Memorandum

DATE: March 8, 2023 [Updated: March 16, 2023]

TO: Applicants for Round 5 of the Transformative Climate Communities (TCC) Program

FROM: TCC Program Staff

RE: Instructions for the TCC Program Round 5 Project Development Grant Application

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This document contains instructions for the TCC Program Round 5 Project Development Grant Application. Applicants should familiarize themselves with the Round 5 TCC Guidelines and read through all instructions prior to beginning work. Information about the TCC Program, including the Program Guidelines, Application Technical Assistance, and other resources can be found at the SGC website: http://sgc.ca.gov/programs/tcc/resources/. Questions about the application and instructions may be directed to Application Technical Assistance Provider.

Application Process Overview

For Round 5 of the TCC Program, applicants will begin by submitting an Application Initiation Form to indicate their interest. Following confirmation of program eligibility, applicants will begin preparing the Grant Application. Grant Applications will consist of narrative questionnaires and workbooks presenting preliminary budgets and schedules. Application Technical Assistance for Project Development grants is currently only available to applicants with Project Areas in tribal communities and unincorporated communities. Further information related to deadlines, application materials, and application instructions is provided below.

Deadlines

Project Development Grant Applications must be submitted no later than **5:00 p.m. PST on Tuesday, August 1, 2023.** No late applications or application revisions will be accepted after the deadline. No hard copies, facsimiles, electronic transmissions via email, hand-delivered copies, or any other method of submitting complete Applications will be accepted.

To be considered for awards, Applicants must fill out the Project Development Grant Application Initiation Form and indicate their interest in applying for a TCC Project Development Grant by **July 3, 2023**. SGC encourages Tribal and DUC applicants to submit the form as soon as possible to begin receiving TA earlier in the application process; however, these applicants are eligible for extensions for this form. The form will be available on the TCC Resources page under "Current Application Materials" at https://sgc.ca.gov/programs/tcc/resources/.

Submittal

After receiving the survey responses, TCC Program staff will provide Applicants with a link to a TCC SharePoint folder where the application materials can be accessed and uploaded once they are completed. The Application is also available on the TCC website. TCC Program staff will also connect

Project Development Grant Applicants from tribal communities and unincorporated communities to the SGC-selected technical assistance provider to assist with the completion of application materials. Applicants that are unable to access an online application via TCC SharePoint folder may contact SGC for assistance. If Applicants experience any ADA accessibility issues with application materials, please contact SGC for assistance.

Application Review

All Applications will be reviewed by TCC Program Staff to ensure that all required documentation is submitted and the Application is complete. Applicants that may be missing Application information will be notified by TCC Program Staff. If Applicants are contacted because of missing information, the Application will be deemed incomplete if the Applicant does not provide the missing information within two (2) business days.

Instruction Sections

A. Application File Structure and Naming Conventions
B. Application Uploads
C. Workbook

A. Application File Structure and Naming Conventions

All application materials are provided in a defined file structure. Applicants will download the template folder and work on the application from their own computers. Applicants must complete the application according to the file structure and label application materials using the naming convention shown below. Once the application is complete, upload the final application folder to SharePoint.

- *Single document:*
    - [APPLICANT NAME]_[FILE NAME]
- *OR, if there are multiple documents:*
    - [APPLICANT NAME]_[FILE NAME]_1 of [total # of documents]

Example:
TCC_R5_Project Development Grant Application_City XYZ

- City XYZ_Application Workbook.xlsx
- City XYZ_Narrative Questions.doc
- City XYZ_Project Area Map.pdf
- City XYZ_Project Area Map.zip file
- City XYZ_Letter of Intent_1 of 3.pdf
- City XYZ_Letter of Intent_2 of 3.pdf
- City XYZ_Letter of Intent_3 of 3.pdf
- City XYZ_Letter of Support.pdf
- City XYZ_Resolution.pdf
- City XYZ_Planning Consistency Letter.pdf
- City XYZ_Priority Populations.pdf

B. Threshold Uploads

Applicants must upload the documents described below to demonstrate that they meet all TCC Program Thresholds. If an Applicant is unable to meet the Program Thresholds, their Proposal will not proceed to the next step of the review process. Some of the below documents will also be reviewed under the relevant scoring criteria. Refer to *Section 9.5 Program Thresholds and Scoring Criteria* (pages 63-64) of the Round 5 TCC Guidelines. These requirements are also outlined under Section 4. Project Development Grants, Section 6. Eligibility, Section 7. Program Policy Priorities, Section 8. Grant Activities, and Section 9. Application.

1 - Applicant Eligibility

Applicants must upload **Letters of Commitment** from the Lead Applicant and each Co-Applicant that describe each entity's role in completing the Project Development grant. See *Section 6.1 Applicant Eligibility*.

2 – Public Agency Support

Either the Lead Applicant or one of the Co-Applicants must be a public agency. Applicants whose Project Area crosses jurisdictional boundaries must have the support of the relevant public agency for each portion of the Project Area. See *Section 6.1 Applicant Eligibility* and *Section 6.2 Collaborative Stakeholder Structure*.

- If the Lead Applicant is the public agency, they must provide a **Formal Resolution** that includes an authorization to apply for and accept a TCC Project Development Grant if selected for an award, and the authority to execute all related documents.

- If the Co-Applicant is the public agency, they must provide a **Letter of Commitment** describing their commitment to supporting the completion of the Project Development grant.

3 - Collaborative Stakeholder Structure (CSS)

The Collaborative Stakeholder Structure will govern implementation of the entire TCC Implementation Grant. Applicants must submit:

a. **Signed Partnership Agreement:** Applicants must upload a Partnership Agreement, signed by the Lead Applicant and all Co-Applicants, that describes at a minimum:
   - Identification of the Grantee;
   - Roles and responsibilities for the Grantee and all Partners, residents, and/or community-nominated members;
   - Governance of the Collaborative Stakeholder Structure, including: process for handling disputes and procedures to change, add or remove members;
   - Legal and financial considerations including: liability provisions, financial relationships between the Grantee and Partners, the process Grantee will use to reimburse the Partners, and procurement processes;
   - Transparent decision-making processes;
   - Non-discrimination clause;
   - Meeting facilitation procedures, including frequency of meetings, minimum number of meetings open to public*, means for publishing meeting agenda and notes for public access*,
   - Process for involving community representatives and community-based organizations in decision-making; and
   - If Tribes are included as Lead Applicants or Co-Applicants, Tribes' sovereign status should be respected and upheld through the development of the Collaborative Stakeholder Structure. The Partnership Agreement should additionally outline

measures that will be taken to protect the confidentiality of Tribal Data and Traditional Ecological Knowledge collected or shared as part of grant activities.

b. **Memorandum of Understanding for Multiple Jurisdictions (if applicable):** Any Applicant whose Project Area crosses municipal boundaries, federally recognized tribal territory boundaries, or similarly relevant jurisdictional boundaries is required to submit a draft, signed Memorandum of Understanding (MOU) that outlines how relevant public agencies and tribal governments who collectively have jurisdiction over the entire Project Area will execute and manage the grant. See the **6.2 Collaborative Agreements** of the TCC Guidelines for additional detailed requirements. Applicants may either submit a MOU separate from the required Partnership Agreement that outlines the Collaborative Stakeholder Structure or submit an all-encompassing MOU that defines the governance structure for both the a) TCC Project Area with multiple jurisdictions, and b) TCC Collaborative Stakeholder Structure.

*If a Proposal is led by a Tribal community, requirement for "public" meetings and sharing of information should be interpreted to apply to the Tribal community, not to the public beyond that community.

4 – Project Area Eligibility

Applicants must provide project area maps that demonstrate the Planning Area meets the eligibility requirements described in the Guidelines. Use the TCC Mapping Tool[1] to view CalEnviroScreen, eligible unincorporated and tribal and tribal areas, and AB1550 census tract designations and download data. See *Section 6.4 Project Area Eligibility.*

Applicants will submit two files, while eligible unincorporated communities may submit up to three:

a. **Project Area PDF Map:** Submit a PDF map of the Project Area that clearly identifies the following elements (at a minimum):
   a. Project Area boundary
   b. Major streets or landmarks within the Project Area
   c. Incorporated and unincorporated areas
   d. CalEnviroScreen 4.0 or 3.0 top 25% disadvantaged census tracts
   e. AB 1550 low-income census tracts
   f. Disadvantaged unincorporated areas (if applicable)
   g. Federally recognized tribal areas (if applicable)
b. **Project Area Boundary Shapefile:**
   a. A .zip file that contains the .shp, .shx, .dbf, and .prj files that comprises the proposed Project Area shapefile
c. **Supporting Documentation for Disadvantaged Unincorporated Communities Designations** *(if applicable)*
   a. Applicants may opt to provide verification of this designation through a Local Agency Formation Commission (LAFCo) or self-identify as such using localized population characteristic and density data by a neighborhood-level assessment.

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[1] TCC Mapping Tool – https://gov-opr.maps.arcgis.com/apps/webappviewer/index.html?id=aad5277a3ff14f64a4e9db7368077887

5 – Financial Capacity

Lead Applicants and Co-Applicants must possess the financial capacity to adhere to the reimbursement processes of the TCC Program and defined by the Partnership Agreement. Applicants that are responsible for leading Sub-Projects that involve infrastructure construction or site remediation activities must provide sufficient information to demonstrate their financial capacity to oversee, manage, and implement large infrastructure projects. See *Section 6.3 Applicant Capacity*. All Lead Applicants and relevant Co-Applicants must submit:

a. **Financial Audits for each Lead and Co-Applicant:** Provide copies of current annual organizational budgets and a copy of recent financial statements.
b. **Non-Profit Documentation:** Provide copies of the most recent Federal Form 990 and a copy of the organization's IRS 501 (c)(3) Tax Determination Letter.
c. **Audit Findings (last 5 years):** Any Applicant that has had an audit finding in the last five (5) years is required to enclose it in the application in an official letter.

6 – Management Capacity

Lead Applicants and Co-Applicants must possess the management capacity to implement the grant requirements of the TCC Program and the Partnership Agreement. Applicants that are responsible for leading Sub-Projects that involve infrastructure construction or site remediation activities must provide sufficient information to demonstrate their management capacity to oversee, manage, and implement large infrastructure projects. See *Section 6.3 Applicant Capacity*. All Lead Applicants and relevant Co-Applicants must submit:

a. **Annual reports, project close-out reports, or other similar documents:** Demonstrate the ability each "Lead Entity" to implement similar projects in scope and size in California over the last ten (10) years by providing a portfolio of: lead staff experience, organizational annual reports, project close-out reports, or similar documents.
b. **Reference Letters for Lead and Co-Applicant:** Provide at least one (1) letter of reference for each applicant leading a sub-project (the Sub-Project Lead) that includes infrastructure construction of site remediation activities. The letter should speak to the quality and timeliness of the work completed by either the Lead or Co-Applicants.

7 – Program Policy Priorities

a. **Consistency with Existing Local Land Use and Transportation Plans:** Applicants must provide a letter from the local jurisdiction's Planning and Public Works Department, or equivalent, to verify that the Proposal is consistent with land use designations, building intensity and density requirements, as well as all applicable goals, policies and programs, such as climate action or adaptation plans and local growth or conservation planning elements.
b. **Consistency with Community Plans**: Applicant has submitted a community plan or other documentation verifying that the TCC Project Development Proposal is consistent with community planning and project priorities and needs.
c. **Climate Adaptation and Resilience**: Applicant has submitted supporting documentation verifying that TCC Project Development Proposal is consistent with either existing Climate Adaptation and Resilience planning efforts or responds to Climate Adaptation and Resilience needs. Documentation may include existing plans (Climate Adaptation, Climate Action, or Resilience Plans; Hazard Mitigation Plans; etc.), assessments, data, or profiles. See *Appendix C-4: Climate Adaptation and Resilience* of the TCC Round 5 Guidelines for a list of potential resources.
d. **High-Speed Rail (HSR):** Applicants from cities with planned HSR stations along the initial "Silicon Valley to Central Valley Line" must demonstrate that the TCC Project Area includes multi-modal connectivity and affordable and mixed-income housing (if proposed), connected

and accessible to the HSR station area, and support for community engagement on station area design and implementation.

  i. **Project Area Map:** Demonstrate multi-modal connectivity to the HSR station area and the location of affordable and mixed-income housing connected and accessible to the HSR station area via active transportation and transit. The major street names should be labeled on the map. If transit routes are included, the frequency of buses (developed or proposed) should be labeled, color coded, or provided in a legend or description.

  ii. **Community Engagement Plan:** Demonstrate support for community engagement in the TCC Proposal on HSR station area design and implementation.

8 – Readiness Documentation

a. All Applicants must submit **Letters of Commitment** demonstrating site control permissions have been obtained for proposed Project Development activities on property not owned by the Applicant, or on jurisdictions not within the Applicant's planning authority. Letters must clearly state the ownership or leasehold interests of the parties, or jurisdictional authority of the proposed planning area.

b. Applicants that include infrastructure construction or site remediation activities must also provide sufficient information to demonstrate the projects can be implemented within the grant term. Relevant applications must include for each construction or remediation project component:

  a. CEQA compliance documentation

  b. Site Control

  c. Permits

  d. Sub-Project Map or Site Plan

  e. Long term operations and maintenance plan

C. Workbook

General Guidance for Workbook

- **Do not edit any shaded cells.** Applicants should fill in the white cells only.
- Comments and reminders are <mark>highlighted in yellow.</mark>
- Double check that all Applicant and Co-Applicant information is correct.
- If Applicants experience any difficulty with workbook formatting, formulas, or functionality, they should contact tcc@sgc.ca.gov.

Work Plan

- Timelines should be clear and should not exceed two (2) years.
- Work Plan should include discrete sub-projects and subtasks with detailed deliverables.

Budget

- Ensure that Budget line items clearly align with the tasks described in the Work Plan.
- Use the "Budget Narrative" in the Narrative Questions to provide additional context for how TCC funds will be spent.
- Cost Descriptions for personnel should clearly identify organizations and positions. For example:
  a. "Organization X – Outreach Specialist"
  b. "Organization Y – Senior Project Manager"
- Cost per Unit and Number of Units may correspond to supplies, staff hours and rates, or estimated subcontracts (where the "unit" may equal "1").
- Budgets must be accompanied by supporting documentation if they include:
  a. Subcontractors over $100,000
  b. Equipment over $5,000

Application Checklist

Main Folder

- ❑ General Narrative Questions
- ❑ Workbook

Threshold Uploads

- ❑ 1 - Applicant Eligibility
  - o Letters of Commitment from Lead and Co-Applicants
- ❑ 2 – Public Agency Support
  - o Formal Resolution *or* Letter of Commitment from Public Agency
- ❑ 3 - Collaborative Stakeholder Structure
  - o Signed Partnership Agreement *or* Memorandum of Understanding
  - o Organizational Chart or Diagram
  - o Memorandum of Understanding for Multiple Jurisdictions *(if applicable)*

- ❑ 4 - Project Area
    - o Project Area PDF Map
    - o Project Area Boundary Shapefile
    - o Supporting Documentation for Disadvantaged Unincorporated Communities Designations *(if applicable)*
- ❑ 5 - Financial Capacity (for each Lead Applicant and relevant Co-Applicants)
    - o Financial Audits
    - o Non-Profit Documentation
    - o Audit Findings (past 5 years)
- ❑ 6 - Management Capacity (for each Lead Applicant and relevant Co-Applicants)
    - o Annual reports, project close-out reports, or other similar documents
    - o Reference Letters
- ❑ 7 - Program Policy Priorities
    - o Letter from Local Jurisdiction's Planning and Public Works Department
    - o Documentation of Consistency with Community Plans
    - o Documentation of Climate Adaptation and Resilience Plans
    - o High-Speed Rail Project Area Map & Community Engagement Plan *(if applicable)*
- ❑ 8 – Readiness Documentation
    - o Letter of Commitment demonstrating Site Control
    - o Additional Readiness Documentation for Sub-Projects with construction or remediation *(if applicable)*

Sub-Projects
- ❑ Readiness Documentation *(if applicable)*

Final Submission in SharePoint
- ❑ Double check the Proposal meets all threshold and cost cap requirements
- ❑ Double check naming conventions for all files
- ❑ Double check folder structure and delete any empty/unused folders
- ❑ Upload final application folder to SharePoint

END OF DOCUMENT