Transformative Climate Communities Program

Round III DRAFT Program Guidelines
FY 2019 – 2020

August 9, 2019

Program information can be accessed at:
http://sgc.ca.gov/programs/tcc/

To sign up to receive notices, updates, and information regarding the TCC Program (and other SGC grant programs and initiatives), visit Strategic Growth Council (SGC) website and click on the “E-list” link at: http://sgc.ca.gov/.
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ABOUT THE TCC PROGRAM

Administered by the California Strategic Growth Council (SGC) in partnership with the California Department of Conservation

- Funds the implementation of neighborhood-level proposals with multiple, integrated projects
- Empowers communities to choose their own strategies for reducing greenhouse gas emissions and achieving community benefits
- Prioritizes California’s most disadvantaged communities – neighborhoods ranked in the top 10 percent (10%) of CalEnviroScreen
- Developed through a transparent and stakeholder-driven process, including a Statewide Summit and workshops held throughout California

ROUND III AWARDS

<table>
<thead>
<tr>
<th>Implementation Grants –</th>
<th>Planning Grants –</th>
</tr>
</thead>
<tbody>
<tr>
<td>$56,400,000 available for 2 awards ($28,200,000 each)</td>
<td>$600,000 available for 3 awards ($200,000 each)</td>
</tr>
</tbody>
</table>

CALIFORNIA CLIMATE INVESTMENTS

The TCC Program is part of California Climate Investments, a statewide program that puts billions of Cap-and-Trade dollars to work reducing GHG emissions, strengthening the economy, and improving public health and the environment – particularly in disadvantaged communities. The Cap-and-Trade program also creates a financial incentive for industries to invest in clean technologies and develop innovative ways to reduce pollution. California Climate Investments projects include affordable housing, renewable energy, public transportation, zero-emission vehicles, environmental restoration, more sustainable agriculture, recycling, and much more. At least 35 percent of these investments are located within and benefiting residents of disadvantaged communities, low-income communities, and low-income households across California. For more information, visit the California Climate Investments website at: www.cadclimateinvestments.ca.gov.

CONTACT US

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SECTION I. INTRODUCTION

A. BACKGROUND

The Transformative Climate Communities (TCC) Program is part of California Climate Investments, a statewide program that puts billions of Cap-and-Trade dollars to work reducing greenhouse gas emissions, strengthening the economy, and improving public health and the environment — particularly in disadvantaged communities.

Assembly Bill (AB) 2722 (Burke, Chapter 371, Statutes of 2016) established the Transformative Climate Communities (TCC) Program to “…fund the development and implementation of neighborhood-level transformative climate community plans that include multiple, coordinated greenhouse gas emissions reduction projects that provide local economic, environmental, and health benefits to disadvantaged communities as described in Section 39711 of the Health and Safety Code” (Pub. Resources Code § 75240).

In addition to reducing greenhouse gas (GHG) emissions in disadvantaged communities, AB 2722 includes the following goals:

- **Maximize community benefits:** “Projects shall maximize climate, public health, environmental, workforce, and economic benefits.”
- **Avoid displacement:** “In adopting the guidelines, SGC shall consider whether eligible plans and projects avoid economic displacement of low-income disadvantaged community residents and businesses.”
- **Comprehensive community engagement:** “SGC shall award grants for projects that demonstrate community engagement in all phases.”
- **Leverage additional funds:** “By making such comprehensive public investments, it is the intent of the Legislature that private resources can be more effectively catalyzed to support innovative community and climate transformation in disadvantaged communities;” and “SGC and all funded entities shall endeavor to identify additional public and private sources of funding to sustain and expand the program.”
- **Technical assistance:** “SGC shall fund technical assistance providers to assist in application development and project development and implementation.”

In addition to AB 2722, the following legislation governs the TCC Program:

- **Assembly Bill 32:** Requires California to reduce its greenhouse gas (GHG) emissions to 1990 levels by 2020 and tasks the California Air Resources Board with creating a Scoping Plan, enabling the development of the cap-and-trade program.
- **Senate Bill 32**: Requires California to reduce GHG emissions to 40 percent (40%) below 1990 levels by 2030.

- **Senate Bill 535** (De León, Chapter 830, Statutes of 2012) directs State and local agencies to invest in California’s “disadvantaged communities,” – as defined by CalEnviroScreen 3.0¹ – by spending a minimum of 25 percent (25%) of Greenhouse Gas Reduction Funds (GGRF) to benefit these communities.

- **Assembly Bill 1550** (Gomez, Chapter 369, Statutes of 2016) expands requirements for GGRF to include other Priority Populations based on income. In addition to the 25 percent (25%) of the proceeds required by SB 535, AB 1550 requires an additional minimum of five percent (5%) of funds be invested in projects that benefit low-income households or communities statewide; and an additional five percent (5%) be invested in projects that benefit low-income households or communities that are within a half-mile of a disadvantaged community. Together, SB 535 and AB 1550 prioritize investments to disadvantaged and low-income communities and households in need of assistance.

## B. PROGRAM SUMMARY

The TCC Program is administered by Strategic Growth Council (SGC) in partnership with the California Department of Conservation (DOC).

Round III of the TCC Program is funded by a FY 2019-2020 budget appropriation from the Greenhouse Gas Reduction Fund and includes two types of grants:

1. **Implementation Grants**
   - Implementation Grants fund neighborhood-level proposals that include multiple, coordinated projects that reduce greenhouse gas emissions and achieve other community benefits.
   - $56,400,000 is available for two grant awards of $28,200,000 each.
   - Grant terms are seven (7) years: a five (5) year Project Completion Period, followed by a two (2) year Performance Period, during which project outcomes will be monitored.
   - For more information about the program framework, eligibility, application, and grant administration, see Section II. Implementation Grants.

¹ CalEnviroScreen is a screening tool developed by the Office of Environmental Health Hazard Assessment to help identify communities with high levels of social and economic vulnerability that are also disproportionately burdened by multiple sources of pollution. [https://oehha.ca.gov/calenviroscreen/report/calenviroscreen-30]
2. Planning Grants

- Planning Grants fund planning activities in communities that may be eligible for future TCC Implementation Grants and/or other California Climate Investment programs.
- $600,000 is available for three (3) awards of $200,000 each.
- Grant terms are one (1) year.
- For more information about the program objectives, eligibility, application, and grant administration, see Section III. Planning Grants.

C. PROGRAM VISION

Vision for Transformation

The TCC Program establishes a new framework for achieving California’s climate goals. This framework represents an evolution in the State’s typical funding models in four (4) significant ways.

- **Place-Based Approach**: A place-based approach allows the state to make significant, targeted investments that meet multiple needs of burdened communities. It also empowers communities to tackle climate change and equity challenges at a neighborhood scale. Communities propose systemic solutions to address their neighborhood’s specific needs and assets.

- **Integrated Strategies and Projects**: Implementing multiple, integrated strategies and projects makes the whole of each grant greater than the sum of its parts. Integrating cross-sector activities into each proposal enables the state’s investments to maximize greenhouse gas reduction goals and other community benefits.

- **Transformative Elements**: Through community engagement and workforce development, Applicants are required to work closely with residents and stakeholders and coordinate with other city-wide planning efforts. Applicants are also required to implement measures that will avoid displacement of existing residents and businesses. The Program serves as a model for catalyzing local, multi-sector partnerships that leverage private and public funds to sustain community revitalization and equitable development, while meeting the State’s climate goals. Additionally, long-term indicator tracking allows the state to continually assess program outcomes and apply lessons learned.

- **Developing Partnerships**: The TCC Program enables the development of long-term partnerships at multiple levels. First, Applicants are required to develop “collaborative stakeholder structures” that bring together public agencies, non-profit organizations, residents, and other local entities in a process that fosters long-term investment in the community’s vision for transformation. Second, the TCC Program requires the state to establish partnerships with Applicants and Grantees through outreach and technical assistance. And lastly, the development of the TCC Program has resulted in partnerships at the state level, through consultation with experts from
multiple agencies during the development of program guidelines, drafting of grant agreements, and review of applications.

Investing in Priority Populations

The TCC Program focuses investment in communities most overburdened by environmental, socioeconomic and health inequities. In the TCC Program, these communities have been identified using the CalEnviroScreen 3.0 (“CES”) Tool:

- **Implementation Grants:** Communities in which more than half of the area overlaps with census tracts in the top 10 percent (10%) of the CES rankings, and the remaining 49% of the project area overlaps with census tracts in the top 25 (25%) of CES rankings, or with AB 1550 low-income tracts, and
- **Planning Grants:** communities in which all census tracts fall within the top 25 percent (25%) of the CES rankings

Communities defined as “disadvantaged” can include high populations of people with low-incomes and a high concentration of sources of pollution. Residents of these types of communities commonly experience elevated rates of health problems, as well as socioeconomic and environmental vulnerability. Many of these challenges are the result of a history of inequitable land use and zoning policies, underinvestment, and lack of meaningful engagement with community residents in planning and policy decisions.

SGC recognizes that the term “disadvantaged” overlooks the many assets these communities also possess, and particularly the community residents for whom these places are home. In many of these communities organized groups of neighborhood leaders actively engaged in local planning efforts, policy campaigns, and other activities to make their communities healthier, safer, and more sustainable. These efforts are particularly important today since these communities will disproportionately experience the impacts of climate change. The TCC Program is structured to provide existing residents and businesses with the tools and resources to drive change and to ensure they are also able to experience the benefits of investment.
SECTION II. IMPLEMENTATION GRANTS

The following section describes the eligibility requirements, program framework, application process, and grant administration for TCC Implementation Grants.

A. ELIGIBILITY

1. Applicant Eligibility

Applications will be submitted by a Lead Applicant in collaboration with Co-Applicants. Together, the Lead Applicant and Co-Applicants are collectively referred to as “Applicants.”

i. Eligible Lead Applicants

Organizations eligible to serve as Lead Applicant may include, but are not limited to: community-based organizations, local governments, nonprofit organizations, philanthropic organizations and foundations, faith-based organizations, coalitions or associations of nonprofit organizations, community development finance institutions, community development corporations, joint powers authorities, and tribal governments.

ii. Eligible Co-Applicants

Organizations eligible to serve as Co-Applicants includes the organizations listed above in Eligible Lead Applicants section, as well as Eligible Project Leads described in Appendix B.

iii. Public Agency Support

Either the Lead Applicant or one of the Co-Applicants must be a public agency.

If the Lead Applicant is a public agency, they must provide a formal resolution that includes an authorization to apply for and accept a TCC Implementation Grant and authority to execute all related documents.

If the public agency is a Co-applicant, then the Applicant must provide a letter of support from the public agency.

2. Collaborative Stakeholder Structure

The Lead Applicant and all Co-Applicants must form a Collaborative Stakeholder Structure to develop and submit one application. The Collaborative Stakeholder Structure also should include residents and community-nominated members such as community-based organizations that are not Co-Applicants.

i. Partnership Agreement

Applicants must develop a Partnership Agreement signed by the Lead Applicant and all Co-Applicants that describes the governance, organization, and financial relationships of the Collaborative Stakeholder Structure. Once the grant has been executed, Lead Applicants will be referred to as the “Grantee”, and Co-Applicants as “Partners.” For more information about SGC relationship with Grantee and Partners, see Section II.H.
The Collaborative Stakeholder Structure will govern implementation of the entire TCC Grant. Applicants may design their Collaborative Stakeholder Structure to best align with their needs, but the Partnership Agreement must, at a minimum, include the following:

- 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 procedure to change, add, or remove members;
- Legal and financial considerations including: liability provisions, financial relationship 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; and
- Process for involving community representatives and community-based organizations in decision-making.

iv. Memorandum of Understanding

Eligible Applicants listed in Section II.A.1 that have unincorporated areas are required to submit a legally binding Memorandum of Understanding that identifies arrangements and allocated Full-time equivalent positions committed from each local government involved to implement capital projects that overlap incorporated and unincorporated jurisdictions and systems designed to coordinate successful implementation of these projects.
3. **Applicant Capacity**

Applicants must provide sufficient information to demonstrate their management and financial capacity:

-i. **Management Capacity.**

Lead Applicants and Co-Applicants’ ability to oversee, manage, and implement large infrastructure projects, such as transportation, affordable housing, and green infrastructure projects is essential. For each proposed Project in the TCC Proposal, Applicants must:

- Identify the Lead Applicant or Co-applicant responsible for leading the implementation of each Project (the “Lead Entity”);
- Provide evidence of the Lead Entity having successfully implemented a similar project in scope and size in California over the last 10 years;
- Describe the full or part-time staff that will be dedicated to TCC Program Implementation; and
- Provide a letter of support from one (1) reference who can speak to the quality and timeliness of work completed by the Lead or Co-Applicant.

-ii. **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. See Section II.H for details about the reimbursement process.

To demonstrate financial capacity, the Lead and Co-Applicants will be asked to provide a current annual organizational budget, and recent financial statements, as specified in the application.

**Non-profit organizations** must submit a copy of their most recent Federal Form 990 and a copy of the organization’s IRS 501(c)(3) Tax Determination Letter. Any Applicant that had an audit finding in the last 5 years are required to enclose it in the application in an official letter.

4. **Project Area Eligibility**

Applicants must provide a description and map of the Project Area that demonstrate the Project Area meets all requirements below.

-i. **Project Area Size**

Applicants must define a contiguous Project Area that is no larger than approximately five-square miles (5 mi²).

-ii. **Priority Populations**

At least 51 percent (51%) of the Project Area must overlap with Census Tracts within the top 10 percent (10%) of disadvantaged communities, per CalEnviroScreen 3.0.
The remaining 49 percent (49%) or less of the Project Area must overlap either with a disadvantaged community in the top 25 percent (25%) of CalEnviroScreen 3.0 or a low-income community as defined by AB 1550.\(^2\)

### iii. Incorporated/Unincorporated Areas

Based on stakeholder feedback, SGC has explored expanding Implementation Grant eligibility to unincorporated areas. Due to limited funding, Round III will extend eligibility of unincorporated areas for Implementation Grants only to Round I and II Planning Grant recipients that included unincorporated areas within their Planning area. The proposed Project Area must fall within the TCC Planning Area and meet the Priority Population requirements above.

The Grantees or Partners from the following TCC Planning Grants have unincorporated areas within their Planning Area and are eligible to apply for Round III Implementation Grants:

- Nuestra Tierra, Nuestro Futuro: A Sustainable Community Ownership and Land Stewardship Pilot in East Los Angeles
- Franklin Community Climate and Revitalization Playbook
- Stockton 2017 Transformative Climate Communities Program Planning
- South LA Climate Commons Collaborative: Aligning State and Local Priorities with a Community Vision

Note: Threshold requirements related to Strategies and Project such as GHG emission reduction and readiness requirements are explained in Section II. D.2.

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\(^2\) California Environmental Protection Agency. California Climate Investments to Benefit Disadvantaged Communities. &lt;https://calepa.ca.gov/envjustice/ghginvest/&gt;
B. **OVERVIEW OF PROGRAM FRAMEWORK**

The Program Framework establishes the structure for all TCC Proposals. Proposals must be designed to address all three TCC Program Objectives and include the following inter-related components: a Vision Statement, Strategies, Projects, and Transformative Elements.

![Program Framework Diagram]

C. **OBJECTIVES AND VISION**

Applicants must develop a shared Vision statement that describes how the TCC Proposal will achieve all three Program Objectives, as described in AB 2722:

1. **Achieve Significant Reductions in Greenhouse Gas Emissions**

   Applicants must develop a proposal with integrated projects that will reduce GHG emissions and further the objectives of AB 32 and SB 32.

2. **Improve Public Health and Environmental Benefits**

   Applicants must describe how their proposal will improve public health outcomes for community residents and achieve environmental benefits for the Project Area.

3. **Expand Economic Opportunity and Shared Prosperity**

   Applicants must consider how the proposal will contribute to economic opportunities for the community and ensure that improvements are accessible and equitable.
The Vision Statement must articulate how the proposed Strategies, Projects, and Transformative Elements will be coordinated and integrated to achieve the vision for neighborhood transformation. In addition, the Vision Statement must capture the community resources, assets, and characteristics that make the Project Area ready for transformation.

D. STRATEGIES AND PROJECTS

Applicants will select Strategies and develop Projects that address the TCC Program Objectives.

1. Strategies

Applicants must select at least three (3) Strategies from the list below. Strategies should be thoughtfully selected and integrated to best meet the community’s needs. The eligible activities and fundable elements for each Strategy are outlined in Appendix B.

   1. Equitable Housing and Neighborhood Development
   2. Affordable Housing Land Acquisition
   3. Transit Access and Mobility
   4. Solar Installation and Energy Efficiency
   5. Water Efficiency
   6. Recycling and Waste Management
   7. Urban Greening and Green Infrastructure
   8. Land Conservation
   9. Health and Well-Being

2. Projects

Applicants must develop Projects based on the eligible elements in each Strategy. Note that:

- At least three (3) Projects must be both quantifiable AND meet all readiness requirements at the time of application submittal;
- Projects that are both quantifiable and ready must account for at least fifty percent (50%) of the requested grant funds; and
- All Projects must meet readiness requirements within the first year of the grant term.
- All Projects must be completed within the five (5) year Project Completion period. Shorter timelines are also acceptable.

   i. Quantifiable Projects

Quantifiable Projects include elements that are quantifiable using GHG Quantification Methodologies approved by the California Air Resources Board. Quantifiable projects may include both quantifiable and non-quantifiable elements.
Examples of potential GHG reduction for quantifiable elements are provided in Appendix E.

**ii. Readiness Requirements**

Readiness requirements include California Environmental Quality Act (CEQA) documentation, site control, permits, project maps and designs, operations and maintenance plans, and other Strategy-specific requirements. Strategy specific Readiness Requirements are listed in Appendix B. Readiness requirements must be complete prior to beginning project implementation. Some Strategies are eligible for pre-development cost to meet readiness requirement as defined in Appendix B.

In addition to the eligible and ineligible direct implementation costs described in Appendix B, the TCC Program generally funds four types of costs:

<table>
<thead>
<tr>
<th>Eligible Costs</th>
<th>Percent of Grant Award</th>
</tr>
</thead>
<tbody>
<tr>
<td>Direct Implementation Costs</td>
<td>At least 62%</td>
</tr>
<tr>
<td>Pre-Development Costs</td>
<td>Up to 5% (10% of an individual Project)</td>
</tr>
<tr>
<td>Indirect Costs</td>
<td>Up to 10%</td>
</tr>
<tr>
<td>Transformative Elements (see next section)</td>
<td>Up to 18%</td>
</tr>
<tr>
<td><strong>TOTAL</strong></td>
<td><strong>100%</strong></td>
</tr>
</tbody>
</table>

**i. Direct Implementation Costs**

Direct implementation costs are defined as costs directly tied to the implementation of the grant agreement including, but not limited to: personnel costs for project management and grant administration, labor, subcontracts, equipment costs, travel expenses, etc. Eligible direct implementation costs are defined for each Strategy in Appendix B.

Note that Travel reimbursements must adhere to the State rates and conditions established on the CalHR website, with the exception of “Incidentals” and out of state travel, which will not be reimbursable under this grant.

**ii. Pre-Development Costs**

Pre-development costs may account for up to 10 percent (10%) of an individual Project budget and should not exceed five percent (5%) of total TCC grant award.

Pre-development costs include, but are not limited to, soft costs for activities such as construction or project plans, specifications and estimates including but not limited to, planning, engineering, architectural, and other design work, environmental impact reports and assessments, appraisals, legal expenses, and necessary easements.

Pre-development activities and costs can be used to meet readiness requirements.
iii. **Indirect Costs**

**Indirect costs may account for up to 10 percent (10%) of the total TCC grant award.**

Indirect costs are costs of doing business that are of a general nature. These costs are not directly tied to the grant but are necessary for the general operation of the organization. Indirect costs include, but are not limited to:

- Personnel costs associated with administrative, supervisory, legal, and executive staff;
- Personnel costs associated with support units, including clerical support, housekeeping, etc.; and
- Operating expenses and equipment costs not included as part of direct project costs.

iv. **Reasonableness**

In addition, all costs must be reasonable. A cost is reasonable if, in its nature and amount, it does not exceed that which would be incurred by a prudent person under the circumstances prevailing at the time the decision was made to incur the cost. In determining reasonableness of a given cost, consideration must be given to:

- Whether the cost is of a type generally recognized as ordinary and necessary for the operation of the entity or the proper and efficient performance of this Grant Agreement.
- The restraints or requirements imposed by such factors as: sound business practices; arm's-length bargaining; federal, state, local, tribal, and other laws and regulations; and terms and conditions of this Grant Agreement.
- Market prices for comparable goods or services for the geographic area.
- Whether the individuals concerned acted with prudence in the circumstances considering their responsibilities to its employees, the public at large, and the State.
- Whether the cost significantly deviates from the acquiring entity’s established practices and policies regarding the incidence of costs.
E. TRANSFORMATIVE ELEMENTS

In addition to selecting Strategies and developing Projects, Applicants must include six (6) Transformative Elements as part of a TCC Proposal. Transformative Elements are critical to furthering the TCC Program Objectives and supporting the implementation of Strategies and Projects.

Below is a brief description of each Transformative Element. Specific information about eligible activities, eligible costs, and additional requirements can be found in Appendix C.

Note that:

- Some Transformative Elements may be paid for with grant funds, and others are integrated into the proposal or require outside funding.
- All Transformative Elements must last for the duration of the entire five (5) year Project Completion Period. Applicants must consider this when developing the Work Plans and Budgets for all “plans.”

<table>
<thead>
<tr>
<th>Transformative Elements</th>
<th>Percent of TCC Grant Award</th>
</tr>
</thead>
<tbody>
<tr>
<td>Data Collection and Indicator Tracking</td>
<td>5% required</td>
</tr>
<tr>
<td>Community Engagement</td>
<td>Up to 5%</td>
</tr>
<tr>
<td>Workforce Development and Economic Opportunities</td>
<td>Up to 5%</td>
</tr>
<tr>
<td>Displacement Avoidance</td>
<td>Up to 3%</td>
</tr>
<tr>
<td><strong>TOTAL</strong></td>
<td><strong>Up to 18%</strong></td>
</tr>
<tr>
<td>Climate Adaptation and Resiliency</td>
<td>None – costs must be integrated into the entire TCC Proposal</td>
</tr>
<tr>
<td>Leverage Funding</td>
<td>None – Grantee must leverage additional funding sources that equate to least 50% of the total grant award</td>
</tr>
</tbody>
</table>

1. **Data Collection and Indicator Tracking**

Applicants must allocate 5% of their budget for data collection and indicator tracking as follows:

- Three percent (3%) will be used to hire a pre-qualified TCC Evaluation team; and
- Two percent (2%) will cover Grantee and Partners’ costs to gather data and report to the TCC Evaluation Team on:
  
  - *California Air Resources Board*

  The California Air Resources Board’s (CARB) Funding Guidelines for California Climate Investments requires reporting on the benefits estimated from the GHG Quantification Methodology as well as reporting on employment outcomes for all projects and reporting actual
outcomes for a subset of funded projects. For quantifiable projects, grantees are required to track and report project indicators listed in the reporting template for the applicable project type (www.arb.ca.gov/cci-resources).

ii. **TCC Program Indicators**

In addition, SGC has worked with academic institutions to develop other indicators to track overall impact of TCC investments.

A sample list of general CARB and SGC required tracking indicators are available on SGC website and in the sample grant agreement in Appendix I. A list of specific indicators will be finalized for each Grantee by the Evaluation team prior to grant execution. Tables below summarizes the indicator reporting requirements.

### Greenhouse Gas Reduction Estimation

<table>
<thead>
<tr>
<th>Phase</th>
<th>Greenhouse Gas Emissions and Co-Benefits</th>
</tr>
</thead>
<tbody>
<tr>
<td>Application</td>
<td>Collection and submittal of the inputs needed to calculate GHG emission reductions and co-benefits for Projects with quantifiable elements using CARB-approved quantification methodologies.</td>
</tr>
</tbody>
</table>

### Indicator Tracking and Reporting

<table>
<thead>
<tr>
<th>Phase</th>
<th>Frequency</th>
<th>Project Outcome</th>
</tr>
</thead>
<tbody>
<tr>
<td><strong>Project Implementation</strong></td>
<td></td>
<td></td>
</tr>
<tr>
<td>Project Operational Stage</td>
<td>Annual</td>
<td>CARB and SGC required tracking indicators</td>
</tr>
<tr>
<td>Close out</td>
<td></td>
<td>CARB and SGC required tracking indicators</td>
</tr>
</tbody>
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2. Community Engagement

Applicants may allocate up to five percent (5%) of their budget for eligible community engagement and outreach activities during grant implementation.

In order to ensure that grant funds provide direct, meaningful, and assured benefits to disadvantaged communities, the TCC Program requires that Applicants appeal to community members and stakeholders through direct engagement. Applicants must involve residents and businesses from the Project Area and key stakeholders in all phases of TCC Proposal development and implementation. TCC Proposals should be designed to meet residents’ needs that have been identified through a documented outreach and engagement process.

Applicants must also use proven methods of engagement to facilitate direct participation of community residents, including ensuring translation of meetings and materials, scheduling of meetings at times that are convenient to community members, and engaging community members in information gathering as well as outreach. See Appendix C for a list of recommended activities to ensure meaningful community engagement.

TCC Proposals must develop a Community Engagement Plan with two (2) main sections:

i. Description of Community Engagement during Proposal Development

Priority will be given to TCC Proposals that meaningfully included residents and key stakeholders during proposal development, from the visioning process to selecting Strategies and Projects using proven methods of community engagement such as Participatory Budgeting. This section of the Community Engagement Plan must describe, at a minimum:

- Key stakeholders and residents, including any existing neighborhood organizations or advisory councils serving the Project Area;
- Recent history of resident engagement in neighborhood issues of the proposed Project Area, including involvement in any planning or community development activities administered by the local government or other administrative entities; and
- Process that has been used to identify the needs of residents and other stakeholders during the TCC Proposal development phase and selection of proposed projects and, if applicable, the relationship of this process to any pending planning activities or public improvements for the Project Area within the time frame of implementation.

ii. Description of Future Community Engagement

This section should describe strategies and methods that will be used to engage residents and key stakeholders during grant implementation. Priority will be given to proposals that include a robust combination of activities to meaningfully engage community stakeholders. This section of the Community Engagement Plan must describe, at a minimum:

- Timeline of proposed community engagement activities (see Appendix C for list of recommended activities to ensure meaningful community engagement);
3. Workforce Development and Economic Opportunities

Applicants may allocate up to five percent (5%) of their budget to support workforce development and economic opportunities.

TCC Applicants must develop a Workforce Development and Economic Opportunities Plan that accomplishes the two (2) goals below:

i. Create workforce development and training programs with career pathways for residents of the Project Area.

Education and training initiatives should include pre-apprenticeship programs that use industry standard developed curriculum such as the Multi-Craft Core curriculum developed by the North America’s Building Trades Unions (NABTU) and are tied to state-certified apprenticeships.

Applicants must demonstrate demand for the proposed education and training initiatives. Applicants will be asked to explain how demand is determined in their local region.

Training programs should:

- Target occupations and industries that support TCC Proposal implementation;
- Reduce barriers to employment;
- Reflect the range of employment readiness needs of local residents and individuals with employment barriers;
- Lead to partnership with local workforce development boards and other key stakeholders, including organized labor and education providers, and;
- Align and enhance high-performing education and training programs that have a proven record of leading to industry-recognized credentials and labor market advancement.

Organizations leading the workforce development and training programs should use existing formalized pathways or partnerships with potential employers or industries, and have a demonstrated track record of providing training with sufficiently high rates of completion, post-training job placement, and job retention. Previous experience should be similar in scale, scope, and activities to the proposed TCC workforce development programs. Applicants may be asked to verify the track record of the organization through the Bureau for Private and Post-Secondary Education (BPPE), the Division of Apprenticeship Standards, their local workforce board, or by using outcome data provided by a State Agency funder (ex. ETP or Chancellor’s Office).
Workforce development and training programs must meet all of the following criteria:

- Train participants for jobs and skills that are transferable;
- Result in recognized credentials (e.g., certifications, certificates, degrees, licenses, other documentation of competency and qualifications) to support long-term, stable employment and career development. Credentials should follow guidance established by the California Workforce Development Board. Stipends to cover basic costs may be provided to participants during training. Programs that provide recipients with more than one type of skill or credential should be prioritized;  
- Focus on high-quality employment. Factors commonly considered to influence job quality include, but are not limited to: local living wages; benefits provided: health insurance, paid leave, sick leave, child care services; opportunities for advancement; geographic accessibility and commute distance; job strain, scheduling, flexibility; working conditions and health risks; and job retention or duration of employment; and,
- Recruit trainees who are residents of Project Area

ii. Provide economic opportunities through the creation of high-quality jobs.

The Lead Applicant in collaboration with other Project partners should develop a plan that would result in the creation of local, high-quality jobs that offer living wages, benefits, worker voice, predictable scheduling, and opportunities for advancement with clear access points for low-income residents in and near the Project Area. The jobs created may – but do not have to – be tied directly to Projects that are part of the TCC Proposal.

Recruitment practices that could provide benefit from a TCC investment would use targeted recruitment strategies, consistent with federal and state law, to direct training opportunities to residents and/or businesses within the TCC Project Area, low-income residents, residents of disadvantaged communities, veterans, and/or residents displaced or otherwise impacted by project development. Organizations and individuals responsible for recruitment should have proven track records working among barrier and diverse populations by providing evidence of previous similar experience.

Tools to support targeted hiring may include, but are not limited to:

- Community Benefits Agreement (CBA): A contract between community-based organizations and project proponents or agencies that identifies benefits to be provided as part of a project or program. CBAs commonly feature hiring priority for low-income individuals and prevailing wage requirements. CBAs may also include provisions for ongoing community engagement to ensure continued success.

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- Labor agreements or community workforce provisions: Comprehensive agreements between labor unions and project proponents (e.g., contractors, developers) or local agencies (e.g., transit agencies, cities) to achieve breadth of objectives including uniform labor standards. These agreements may extend across multiple projects. Applicants may choose to prioritize projects with established labor agreements or community workforce provisions that contain targeted hiring provisions.

- Contract provisions: Contract provisions between a Grantee and Partner or subcontractor that include criteria for targeted hiring that provides quality jobs.

Lead Applicant and/or partners can collaborate with local non-profit organizations for successful implementation of targeted hiring.

4. **Displacement Avoidance**

Applicants may allocate up to three percent (3%) of their budget to support displacement avoidance activities performed by non-profits.

TCC Proposals must include a Displacement Avoidance Plan that details the actions Lead Applicants and Partners will take to establish policies and programs to avoid the displacement of existing households and small businesses within the Project Area.

The Displacement Avoidance Plan must include, at a minimum:

- Description of displacement vulnerability among existing households and small businesses within the Project Area;
- Description of the policies, plans, ordinances, or programs that are already in place to avoid displacement;
- Identification of additional new policies and programs that will be pursued to avoid displacement among existing households and businesses within the Project Area. Applicants must select policies from examples provided in Appendix C:
  - At least three (3) new policies to prevent the displacement of very low and low-income households;
  - At least two (2) new policies from prevent the displacement of local and small businesses;
  - Applicants are encouraged to define quantifiable goals for selected policies through the community engagement process.
- Identification of the entities responsible for and involved in implementing each new policy and program, and whether the implementing entities are the Lead Applicant or Co-Applicants; and
- If a project is subject to State Relocation Law and a relocation plan is required by State Relocation Law ([Gov. Code, § 7260 et seq.](Gov. Code, § 7260 et seq.)) and Section 6038 of the Relocation Assistance...
and Real Property Guidelines (25 Cal. Code of Regulations, div. 1, ch. 6, § 6000 et seq.) for the Project Area, Applicants must provide a copy of the relocation plan.

5. Climate Adaptation and Resiliency

Climate adaptation and resiliency provisions should be integrated into the Vision Statement, Strategies, Plans, and Projects of the TCC Proposal.

Applicants must describe how the TCC investment and leverage funded projects will increase resiliency of the Project Area to the anticipated impacts from climate change. This includes describing:

- Climate change risks and exposures within the Project Area, such as additional days of extreme heat or precipitation, flooding, sea level rise, and drought.
- Anticipated impacts of climate change risks and exposures on the community, including vulnerable populations; and,
- Anticipated impacts of climate change risks and exposures on the built environment

Based on the risks and anticipated impacts, Applicants will describe the processes they will use to identify and prioritize adaptation measures to:

- Address climate change-related impacts and exposures for vulnerable populations; and
- Increase resiliency and functionality of proposed infrastructure projects
6. Leverage

Applicants must leverage additional funding sources that equal a minimum of 50 percent (50%) of the total requested grant funds.

Applicants must leverage additional funding to support the implementation of the TCC Proposal. Leverage funds may come from a variety of sources, such as federal, state, local public, private and/or philanthropic. For additional information about eligible funding sources, refer to Appendix C.

i. Leverage Funding Requirements

- Leverage funding must be committed at the time Applicants submit their Applications.
- Leverage funding must be clearly integrated into the budget of a grant funded Project or Transformative Plan.
  
  Stand-alone projects funded entirely by non-grant sources (previously referred to as “Leverage Projects” in Rounds I and II of the TCC Program) will not count towards the fifty percent (50%) threshold. Instead, these projects will be evaluated in the Vision for Transformation and Capacity Sections of the Scoring Criteria.
  
  - Leverage funding must clearly support the implementation of the Strategies selected to achieve the TCC Program Objectives (see Section II.C).
  
  - Leverage funding must be spent within the TCC Project Area.
  
  - Expenditure of leverage funding will only count towards the 50 percent (50%) threshold if it occurs after the grant has been awarded by Strategic Growth Council and before the end of the grant term.

SGC encourages Applicants to coordinate federal, state, local, public, private and philanthropic funds that align with the goals of the TCC Proposal.

ii. Leverage Reporting Requirements

- Applicants will report annually on the expenditure of leverage funding.
- Expenditures for stand-alone projects funded entirely by non-grant funding sources (previously referred to as “Leverage projects” in Rounds I and II of the TCC Program) will not be tracked under this grant and will not count towards the 50 percent (50%) threshold. Instead, Applicants may describe these complementary investments to the Project Area as part of their application materials. Grantees will be expected to submit a written commitment that the leverage-only projects will be completed by the end of the TCC grant term and define the financial sources that are committed at the time of application. Implementation of these additional projects must be reported at a high level on an annual basis and at the end of the grant term.
F. PROGRAM POLICY PRIORITIES

In addition to the TCC Program Framework, the following program policy priorities will be evaluated during the application process:

1. High Speed Rail Connectivity

*Note: This section is only applicable to Applicants from cities with planned High Speed Rail stations along the initial “Silicon Valley to Central Valley Line."

The California High Speed Rail Authority’s 2018 Business Plan describes the plan to complete construction of the initial “Silicon Valley to Central Valley Line” from San Francisco to Bakersfield and begin providing passenger service by 2027. To leverage the State’s investment in High Speed Rail and support its successful implementation, as well as to help ensure that economic benefits, job opportunities, and environmental improvements accrue to neighborhoods immediately surrounding the High Speed Rail station area, Applicants from cities with planned High Speed Rail stations along the initial “Silicon Valley to Central Valley Line” must assure that the TCC Planning Area includes:

i. Multimodal connectivity to the High Speed Rail station area; and

ii. Affordable and mixed-income housing (if proposed) is connected and accessible to the High Speed Rail station area.

2. Consistency with Existing Local Land Use and Transportation Plans

Applicants must demonstrate that TCC Proposals are consistent with all relevant land use plans, designations, zoning, building intensity and density requirements, design guidelines, and applicable goals, policies, and programs. Consistency shall be demonstrated by submittal of a letter from the local jurisdiction’s Planning Department and Public Works Department describing the proposed TCC projects’ consistency with all relevant plans.

3. Pro-housing Policies

The TCC program will provide additional points for applications from jurisdictions that have adopted pro-housing policies that would facilitate sustainable housing production. A list of policies that qualify as pro-housing policies is listed in Appendix D.
G. APPLICATION

1. Application Components and Process

Implementation Grants will be evaluated and awarded in a statewide competitive process. Applications will be submitted electronically and SGC will provide instructions with the Notice of Funding Availability and Application materials.

All applications and submitted materials will be treated in accordance with Public Records Act requirements and certain information subject to those requirements will be publicly disclosed. SGC will post a summary of all applications received prior to funding decisions.

Staff recommendations will be made available for public review ten (10) days prior to SGC public meeting, at which point the Council will consider staff’s award recommendations.

i. Application Review Process

TCC Program Staff will first evaluate Proposals using the Program Thresholds below. Program Thresholds are based on eligibility and TCC Program requirements. If an Applicant is unable to meet the Program Thresholds, their Proposal will not proceed to the next step of the review process.

If a Proposal meets all Program Thresholds, TCC Program Staff and an interagency review panel will evaluate the Proposal using the Scoring Criteria below. Applicants will receive a single score out of 200 points.

In addition to submitting Proposals, all Applicants who have met the Program Thresholds must host a site visit for TCC Program Staff and members from the interagency review panel. Site visits will be conducted during standard work hours and will be coordinated between Applicants and TCC Program Staff.

ii. Application Components

Below is a brief summary of the application components:

- Program Thresholds Documentation (outlined below)
- Narrative descriptions of the Project Area and the Vision Statement
- Narrative descriptions of Strategies and how they will address Project Area needs
- Narrative descriptions of climate risks, exposures, and adaptation/resilience measures
- For all Projects and Transformative Plans:
  - Narrative questions
  - Work Plans with clear timelines, discrete tasks and detailed deliverables
  - Budgets broken down by task and line item, accompanied by sufficient supporting documentation: Quotes must be provided for the purchase of any electronics, equipment above $5,000, and for subcontractors above $100,000
- Readiness documentation and/or letters of support
- Priority Population Benefit Criteria Tables, as required by the California Air Resources Board. Accessible here: <www.arb.ca.gov/cci-resources>

2. **Program Thresholds**

<table>
<thead>
<tr>
<th>Program Thresholds</th>
<th>Yes/No</th>
</tr>
</thead>
<tbody>
<tr>
<td><strong>General Completeness</strong></td>
<td></td>
</tr>
<tr>
<td>1. Application materials are fully completed.</td>
<td></td>
</tr>
<tr>
<td>2. Application documents are properly labeled, stored in the proper file structure, and are easily accessible.</td>
<td></td>
</tr>
<tr>
<td>3. Work Plans adhere to the five (5) year Project Completion Period and contain sufficient detail.</td>
<td></td>
</tr>
<tr>
<td>4. Budgets contain sufficient detail and are accompanied by all necessary supporting documentation.</td>
<td></td>
</tr>
<tr>
<td><strong>Applicant Eligibility</strong></td>
<td></td>
</tr>
<tr>
<td>1. Lead Applicant is an eligible organization</td>
<td></td>
</tr>
<tr>
<td>2. Co-Applicants are all eligible organizations</td>
<td></td>
</tr>
<tr>
<td>3. Lead Applicant or Co-Applicant are a public agency</td>
<td></td>
</tr>
<tr>
<td><strong>Collaborative Stakeholder Structure</strong></td>
<td></td>
</tr>
<tr>
<td>1. Partnership Agreement for the Collaborative Stakeholder Structure meets all requirements as described in Section II.A.</td>
<td></td>
</tr>
<tr>
<td>2. Applicants with unincorporated areas have submitted a Memorandum of Understanding that meets all requirements described in Section II.A.</td>
<td></td>
</tr>
<tr>
<td><strong>Project Area Eligibility</strong></td>
<td></td>
</tr>
<tr>
<td>1. Project is no larger than approximately five (5) square miles</td>
<td></td>
</tr>
<tr>
<td>2. Project area meets all Priority Population requirements</td>
<td></td>
</tr>
<tr>
<td>3. Project is contained within the jurisdiction of a single city, unless specifically authorized as a Planning Grantee with unincorporated areas in Section II.A.</td>
<td></td>
</tr>
<tr>
<td>4. Applicant has submitted a Project Area Map in all required formats, as described in Section II.G</td>
<td></td>
</tr>
</tbody>
</table>
Strategies and Projects

1. Applicant has selected at least three (3) Strategies and proposed at least three (3) Projects.

2. At least three (3) proposed Projects are both quantifiable and ready, and comprise of at least 50 percent (50%) of requested grant funds.

Priority Policies

1. High Speed Rail (HSR): Applicants with planned HSR stations located along “Silicon Valley to Central Valley” corridor have included the following in their proposals:
   - Multi-modal connectivity to the HSR station area.
   - Affordable and mixed-income housing is connected and accessible to the High Speed Rail station area.

2. Applicant has submitted a letter from the local jurisdiction’s Planning Department verifying that the TCC Proposal is consistent with land use designations, building intensity, density, applicable goals, policies and programs.

3. Scoring Criteria

<table>
<thead>
<tr>
<th>SCORING CRITERIA SUMMARY</th>
</tr>
</thead>
<tbody>
<tr>
<td><strong>Vision for Transformation</strong></td>
</tr>
<tr>
<td><strong>Capacity</strong></td>
</tr>
<tr>
<td><strong>Transformative Elements</strong></td>
</tr>
<tr>
<td><strong>Projects</strong></td>
</tr>
<tr>
<td><strong>Pro-housing Policy Incentive</strong></td>
</tr>
<tr>
<td><strong>TOTAL</strong></td>
</tr>
</tbody>
</table>
### OBJECTIVES AND VISION – 40 POINTS

<table>
<thead>
<tr>
<th>I. Vision for Transformation</th>
<th>20 Points</th>
</tr>
</thead>
<tbody>
<tr>
<td>1. Vision Statement has been designed to meet the needs of the Project Area and achieve the TCC Program Objectives.</td>
<td></td>
</tr>
<tr>
<td>2. Strategies have been selected to effectively address the Vision Statement.</td>
<td></td>
</tr>
<tr>
<td>3. Projects and Transformative Elements are integrated to maximize benefits to the Project Area.</td>
<td></td>
</tr>
<tr>
<td>4. Proposed Projects demonstrate they provide benefits to priority populations as defined by CARB Priority Population Benefit Criteria Tables. Refer to the Priority Population Benefit Criteria Tables, accessible here: &lt;www.arb.ca.gov/cci-resources&gt;</td>
<td></td>
</tr>
<tr>
<td>5. Applicant has provided a holistic, thoughtful description of the community resources, assets, and local characteristics that make the Project Area ready for transformation and able to achieve the Program Objectives.</td>
<td></td>
</tr>
</tbody>
</table>

<table>
<thead>
<tr>
<th>II. Greenhouse Gas Emissions Reductions</th>
<th>20 Points</th>
</tr>
</thead>
<tbody>
<tr>
<td>1. GHG Emission reduction estimates for top three (3) Projects with highest GHG reduction potentials using CARB approved quantification methodologies that meet readiness requirements at time of Application submittal.</td>
<td></td>
</tr>
<tr>
<td>2. GHG Emission reduction estimates for all projects with CARB Quantification Methodology.</td>
<td></td>
</tr>
</tbody>
</table>

Note: Points for this section will be awarded on a sliding scale, determined relative to the estimated GHG emission reductions for all eligible applications submitted.

### CAPACITY – 30 POINTS

<table>
<thead>
<tr>
<th>I. Financial</th>
<th>10 Points</th>
</tr>
</thead>
<tbody>
<tr>
<td>1. Lead Applicant demonstrates the experience, financial stability and capacity to manage program funds from multiple sources.</td>
<td></td>
</tr>
<tr>
<td>2. Co-applicants demonstrate the experience, financial stability and capacity to manage program funds from multiple sources.</td>
<td></td>
</tr>
<tr>
<td>3. The Proposal includes funding that exceeds the 50 percent (50%) leverage requirement.</td>
<td></td>
</tr>
</tbody>
</table>

<table>
<thead>
<tr>
<th>II. Management and Organization</th>
<th>10 Points</th>
</tr>
</thead>
<tbody>
<tr>
<td>1. Lead Applicant demonstrates organizational capacity to implement the TCC Proposal (e.g. has experience managing similar programs and/or long-term grant implementation)</td>
<td></td>
</tr>
</tbody>
</table>
2. Co-applicants demonstrate organizational capacity to support Lead Applicant in implementation of the TCC Proposal.

3. Public agency partner(s) demonstrates a strong commitment to support the implementation of projects and policies included in the TCC Proposal.

III. Collaborative Stakeholder Structure

<table>
<thead>
<tr>
<th></th>
<th>10 Points</th>
</tr>
</thead>
<tbody>
<tr>
<td>1.</td>
<td>Lead Applicant and Co-applicants have established work history, sustained community engagement around climate change, and/or experience working with one or more of the following areas: disadvantaged communities, housing and community development, economic development, environmental, and public health issues.</td>
</tr>
<tr>
<td>2.</td>
<td>Collaborative Stakeholder Structure is composed of a diverse representation of residents and key stakeholders (i.e. labor unions, nonprofits, faith-based groups, community based organizations, academics, economic development institutions, workforce development groups, businesses, representatives from local School District, Community College District, and others).</td>
</tr>
<tr>
<td>3.</td>
<td>A signed Partnership Agreement for the Collaborative Stakeholder Structure that includes all components listed in Section II.A.</td>
</tr>
</tbody>
</table>

TRANSFORMATIVE ELEMENTS – 75 POINTS

I. Community Engagement

<table>
<thead>
<tr>
<th></th>
<th>30 Points</th>
</tr>
</thead>
<tbody>
<tr>
<td>1.</td>
<td>Residents and key stakeholders were meaningfully involved in the development of the Vision Statement and selection of Strategies and Projects in the Proposal.</td>
</tr>
<tr>
<td>2.</td>
<td>Community Engagement Plan includes detailed descriptions and timelines of diverse and appropriate community engagement activities that will be used throughout the duration of the grant, including how the public will remain engaged and informed.</td>
</tr>
<tr>
<td>3.</td>
<td>Community Engagement Plan present an inclusive process to receive feedback from the community.</td>
</tr>
<tr>
<td>4.</td>
<td>Community Engagement is tied to Governance Structure that presents the ways in which the community concerns at large will be taken into consideration.</td>
</tr>
<tr>
<td>5.</td>
<td>Work Plans include clear timelines, discrete tasks, and detailed deliverables. Budgets have adequate detail and demonstrate financial feasibility.</td>
</tr>
</tbody>
</table>

II. Workforce Development and Economic Opportunities

<table>
<thead>
<tr>
<th></th>
<th>20 Points</th>
</tr>
</thead>
<tbody>
<tr>
<td>1.</td>
<td>Explain how the Workforce Development and Economic Opportunities Plan will fund training that leads to career pathways and high-quality jobs for residents of the Project Area and individuals with employment barriers.</td>
</tr>
</tbody>
</table>
2. Explain how the Workforce Development and Economic Development Opportunities Plan will lead to the creation of high-quality jobs for residents of the Project Area and individuals with employment barriers in industries related to the Projects.

3. Work Plans include clear timelines, discrete tasks, and detailed deliverables. Budgets have adequate detail and demonstrate financial feasibility.

III. Displacement Avoidance  
<table>
<thead>
<tr>
<th></th>
<th>15 Points</th>
</tr>
</thead>
<tbody>
<tr>
<td>1.</td>
<td>Includes comprehensive description of displacement vulnerability among existing households and small businesses.</td>
</tr>
<tr>
<td>2.</td>
<td>Proposal includes programmatic activities for implementing of previously adopted policies that avoid displacement of existing households and small businesses.</td>
</tr>
<tr>
<td>3.</td>
<td>Proposal includes activities to promote the adoption of new policies to avoid displacement that align with risks identified in vulnerability assessment.</td>
</tr>
<tr>
<td>4.</td>
<td>Work Plans include clear timelines, discrete tasks, and detailed deliverables. Budgets have adequate detail and demonstrate financial feasibility.</td>
</tr>
</tbody>
</table>

IV. Climate Adaptation and Resiliency  
<table>
<thead>
<tr>
<th></th>
<th>10 Points</th>
</tr>
</thead>
<tbody>
<tr>
<td>1.</td>
<td>Proposal describes the climate change risks and exposures within the Project Area.</td>
</tr>
<tr>
<td>2.</td>
<td>Proposal analyzes the impact of climate change risks and exposures on both the community and built environment.</td>
</tr>
<tr>
<td>3.</td>
<td>Proposal describes process to identify and prioritize actions for addressing risks for vulnerable populations and to increasing resiliency of proposed infrastructure projects.</td>
</tr>
<tr>
<td>4.</td>
<td>Proposal describes process to identify and prioritize actions to increase resiliency of proposed infrastructure projects using local planning documents and/or the CARB co-benefits calculator.</td>
</tr>
</tbody>
</table>

PROJECTS – 50 POINTS

I. Project Design and Feasibility  
<table>
<thead>
<tr>
<th></th>
<th>30 Points</th>
</tr>
</thead>
<tbody>
<tr>
<td>1.</td>
<td>Projects have been designed to meet the community needs. This includes, but is not limited to appropriate scope, scale, components, etc.</td>
</tr>
<tr>
<td>2.</td>
<td>Work Plans include clear timelines, discrete tasks, and detailed deliverables. Budgets have adequate detail and demonstrate financial feasibility.</td>
</tr>
<tr>
<td>3.</td>
<td>Readiness documentation (e.g. CEQA, site control, permits) demonstrate that readiness has been met at application or within one (1) year of grant execution.</td>
</tr>
</tbody>
</table>
## II. Implementation

<table>
<thead>
<tr>
<th></th>
<th>20 Points</th>
</tr>
</thead>
<tbody>
<tr>
<td>1.</td>
<td>Applicant has identified potential negative impacts of each project (e.g. temporary relocation, disruption during construction, potential displacement) and developed mitigation strategies and/or contingency plans.</td>
</tr>
<tr>
<td>2.</td>
<td>Projects address climate adaptation and resiliency goals for the Project Area.</td>
</tr>
<tr>
<td>3.</td>
<td>Projects includes clear plans for long-term operations and maintenance, including coordination with appropriate responsible parties.</td>
</tr>
</tbody>
</table>

### PRO-HOUSING POLICY INCENTIVE – 5 POINTS

<table>
<thead>
<tr>
<th>Pro-Housing Policy Incentive</th>
<th>5 Points</th>
</tr>
</thead>
<tbody>
<tr>
<td>Project Area jurisdiction has adopted at least two policies from Pro-housing Policies listed in Appendix D.</td>
<td></td>
</tr>
</tbody>
</table>
H. **GRANT ADMINISTRATION**

Below is a brief description of the grant administration responsibilities and principles for the TCC Program. For additional information, refer to the sample grant agreement in Appendix I.

1. **Grantees, Partners, and Subcontractors**

   Grants will be executed between SGC and the Lead Applicant only. SGC will not enter into any contractual relationship with any Co-Applicants or subcontractors.

   Once the grant has been executed, the Lead Applicant will be referred to as the “Grantee” and Co-applicants will be referred to as “Partners”.

2. **Strategic Growth Council and Department of Conservation**

   The TCC Program is administered by Strategic Growth Council in partnership with the Department of Conservation (DOC). Round III grant agreements will be executed between the Grantee and SGC, but Grantees will work closely with DOC during grant implementation.

3. **Disbursement and Accounting of Funds**

   - The Grantee cannot request reimbursement for any costs incurred or work completed before grant execution.

   - Grantees may request reimbursement from SGC on a bimonthly basis (every 2 months).

   - SGC will retain the last five percent (5%) of each project budget, to be paid once the State has determined that the grant terms have been fulfilled.

   - Partners must invoice the Grantee before the Grantee submits an invoice to SGC. The Grantee will be responsible for compiling all invoices, supporting documentation, and reporting materials for themselves and the Partners into a single package. Once the package has been approved for payment, funds will be dispersed to the Grantee. The Grantee is responsible for dispersing payment to their Partners in accordance with their signed Partnership Agreement.
4. **Reporting Requirements**

Grantees are responsible for four categories of reporting:

- **Progress Reports**
  - Bimonthly progress reports will be submitted with each invoice and will track the work completed during the invoice period.
  - Annual progress reports will report on the overall status of the grant. They will include high-level questions not captured in the bimonthly updates.

- **Budget Reports**
  - Leverage funding expenditures will be reported annually and at the end of the grant term.
  - An Inventory of purchased equipment will be reported annually and at the end of the grant term.
  - Detailed Work Plans and Budgets will be revised on an annual basis. These documents will contain more detail than the grant agreement and will be used as administrative tracking tools between the Grantee and the state.

- **Data Collection and Indicator Tracking**
  - Grantees must comply with the stages of data collection and indicator tracking, as described in Section II.E.

- **Close-Out Reports**
  - Project Close-out reports will be submitted as each individual project completes all deliverables in the Work Plan.
  - A Final report will be submitted at the end of the grant term.

5. **Prevailing Wage Requirements**

TCC-funded projects may be subject to State Prevailing Requirements, pursuant to Section 1700 of the California Labor Code. The California Labor Code requires payment of locally prevailing wages to workers and laborers on state government contracts in excess of $1,000 for public works projects. A “public work” is the construction, alteration, demolition, installation, repair or maintenance work done under contract and paid for in whole or in part out of public funds. The definition applies to private contracts when certain conditions exist. Grantee can identify additional stipulations and exceptions under Cal. Labor Code § 1720 et seq.

- Grantee must ensure the following on “public work” activities under this Grant Agreement:
  - Prevailing wages are paid;
  - The project budget for labor reflects these prevailing wage requirements; and
  - The project complies with all other requirements of prevailing wage law including but not limited to keeping accurate payroll records, and complying with all working hour requirements and apprenticeship obligations.
ii. Grantee shall ensure that its Partners and Subcontractors, if any, also comply with prevailing wage requirements. Grantee shall ensure that all agreements with its Partners and Subcontractors to perform work related to this Project contain the above terms regarding payment of prevailing wages on public works projects.

iii. The Department of Industrial Relations (DIR) is the primary resource for consultation on the requirements of California prevailing wage law.

iv. Grantee can identify the rates for prevailing wage on the Department of Industrial Relations (DIR) website. Grantee may contact DIR for a list of covered trades and the applicable prevailing wage.

v. If Grantee is unsure whether the TCC Project or individual projects receiving this award is a “public work” as defined in the California Labor Code, it may wish to seek a timely determination from the DIR or an appropriate court.

vi. If Grantee has questions about this contractual requirement, recordkeeping, apprenticeship or other significant requirements of California prevailing wage law, it is recommended the Grantee consult DIR and/or a qualified labor attorney.

6. Ownership

The following section outlines the long-term governing principles for ownership of Project elements funded by the TCC grant.

i. **Equipment.** For any equipment purchased or built with funds that are reimbursable as a direct cost of the TCC Project, as determined by SGC, the Grantee, Partner, or Subcontractor, as applicable, must be the sole owner on title. During the Project Completion Period, equipment must be dedicated to the described use in the same proportion and scope as was in the Grant Agreement, unless SGC agrees otherwise in writing. On completion or early termination of the Grant Agreement, the State will either require that the equipment be returned or authorize the continued use of such equipment at the Project Area; in making that determination, the State will consider the useful life of the equipment, and the Grantee may be required to refund the State for the fair market value of equipment that continues to have a usable life, but is no longer required for Project implementation. Grantee will be required to maintain an inventory record for each piece of non-expendable equipment purchased or built with funds provided under the terms of a Grant Agreement.

ii. **Vehicles.** For any vehicles acquired with funds that are reimbursable as a direct cost of the TCC Project, the title will vest to the Grantee, Lead Entity, or Subcontractor, as applicable. Vehicles acquired, including, but not limited to, bicycles, cars, buses, vans, rail passenger equipment, must be maintained in a state of good repair and dedicated to the described use during the grant term and to public transportation use for their full useful life.

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California Department of Industrial Relations, July 2018. [http://www.dir.ca.gov]
iii.  *Infrastructure.* For any rights of way, real and personal property, leases, improvements and infrastructure funded as a reimbursable direct cost of the TCC Project, the title or leasehold will vest to the Grantee, Lead Entity, or an appropriate public agency or subcontractor, as applicable. Each site acquired or improved upon with TCC funding must be maintained in a state of good repair and remain permanently dedicated to the described use.

If the ownership or use of equipment, vehicles, or infrastructure changes to a use not in accordance with the TCC Guidelines or Grant Agreement, the Grantee may be required to reimburse the State in a manner determined by SGC.

7. **Publicity Requirements**

TCC Grantees are required to use SGC and CCI names and/or logos for all publications, websites, signage, invitations, and other media-related and public-outreach products related to the TCC grant. See Appendix G for specific requirements.

8. **Audits and Record Retention**

All records, physical and electronic, must be adequately protected from loss, damage, or destruction for possible audit(s). The Grantee agrees that the State or designated representative will have the right during normal business hours to review and to copy any records and supporting documentation pertaining to the performance of the Grant Agreement and interview any employees who might reasonably have information related to such records.

Further, Grantee agrees to include a similar right of the State to audit records and interview staff of any Partners and Subcontractors related to performance of the Grant Agreement.

1. Grantee, Partners, and Subcontractors must maintain copies of project records four (4) years after all terms of the Grant Agreement are fulfilled, unless a longer period of records retention is stipulated.

2. The State retains the right to conduct an audit each year during the grant term and up to four (4) years after all terms under the Grant Agreement are fulfilled.

3. The State may require recovery of payment from the Grantee, issue a stop work order or terminate the Grant Agreement, as warranted, based on an audit finding, or any other remedies available in law or equity.

9. **Performance**

SGC has sole discretion to determine if Grantee is performing in accordance with the Grant Agreement. Non-performance issues can include but are not limited to: misuse of funding for ineligible expenses; failure to comply with Guidelines or requirements, inability to meet performance requirements or schedule milestones, and/or failure to comply with the terms and conditions of this Grant Agreement.
1. The State will notify Grantee, in writing, if non-performance is determined, and will provide instructions and a timeline to rectify all cases of non-performance.

2. Grantee must respond to a determination of non-performance within thirty (30) days either by a) acting on corrective actions, or b) disputing the State’s findings.

3. The State, without waiver of other rights or remedies, may require the Grantee to re-perform any actions defined in this Grant Agreement if determined to be not performed in accordance with the Grant Agreement. The State may withhold any payments due to Grantee until the Grantee brings the individual project or TCC Project back into full compliance. Costs and expenses for these actions shall be borne by Grantee.

4. The State has the right to issue a Stop Work Order for an individual project or the TCC Project and suspend payments to the Grantee. The State reserves the right to issue a Stop Work Order if there is a breach in the leveraged funding commitments that put components of the Project at risk of not being completed.

5. Both the Grantee and State have the right to terminate the Grant Agreement at any time upon thirty (30) days written notice. The written notice shall specify the reason for early termination and may permit the State or the Grantee to rectify any deficiency(ies) prior to the termination date.
SECTION III. PLANNING GRANTS

A. ELIGIBILITY

1. Eligible Lead Applicants

Eligible Lead Applicants may include, but are not limited to: community-based organizations, local governments, nonprofit organizations, philanthropic organizations and foundations, faith-based organizations, coalitions or associations of nonprofit organizations, community development finance institutions, community development corporations, joint powers authorities, and tribal governments.

2. Co-Applicants

There must be a minimum of two (2) Co-Applicants. Priority in scoring will be given to applications that are able to demonstrate strong and diverse partnerships, including with community-based organizations and other stakeholder groups.

Collectively, “Lead Applicants” and “Co-Applicants” are referred to as “Applicants.”

3. Eligible Planning Area

Applicants must define a Planning Area comprised of Census Tracts that rank within the top 25 percent (25%) of disadvantaged communities, per CalEnviroScreen 3.0. Planning Areas may be located in an incorporated city or an unincorporated area of a county or both. Applicants will be required to submit a map of the Planning Area that will be the focus of the application’s activities.

4. Public Agency Support

Either the Lead Applicant or one of the Co-Applicants must be a public agency.

If the Lead Applicant is a public agency, they must provide a formal resolution that includes an authorization to apply for and accept a TCC Implementation Grant if selected for an award, and authority to execute all related documents.

If the public agency is a Co-applicant, then the Applicant must provide a letter of support from the public agency.

5. Consistency with Existing Local Land Use and Transportation Plans

Applicants must demonstrate that proposals are consistent with all relevant land use plans, designations, zoning, building intensity and density requirements, design guidelines, and applicable goals, policies, and programs. Consistency shall be demonstrated by submittal of a letter from the local...
jurisdiction’s Planning Department and Public Works Department describing the TCC proposal’s consistency with all relevant plans as described above.

**B. PROGRAM OBJECTIVES**

The Planning Grants are intended to support planning activities in disadvantaged communities that may be eligible for future TCC Implementation Grants and other California Climate Investment Programs. Planning activities should focus on responding to planning issues or priorities that directly benefit low-income and disadvantaged communities.

1. Applicants must explain how the proposed planning activities will advance the objectives prioritized in local adopted plans and promote the Transformative Climate Communities Program’s Objectives, See Section II.C.

2. Applicants must explain how the planning process furthers a neighborhood’s ability to address one or more of the Implementation Grant’s Transformative Elements, per Section II.E. Specifically, Applicants will describe how engaging in a particular task will:
   a. Consider the risks and develop potential policies and programs to avoid displacement of the Planning Area’s current residents and businesses.
   b. Design or enhance innovative and meaningful community engagement programs and practices that will be built upon the input and expertise of community stakeholders – including local public agencies, community-based organizations, workforce development boards, and others.
   c. Enhance the Planning Area’s potential to secure leveraged funds that are required for the TCC Implementation Grant proposal.
   d. Identify opportunities (e.g. projects) to reduce GHG emissions and further the purpose of AB 32 and SB 32.
   e. Identify the impacts of climate change risks and exposures on the community, including vulnerable populations, and infrastructure/natural systems, and describe measures that will be taken to adapt and respond to anticipated impacts.
   f. Identify the Planning Area’s needs for economic development and career pathways for high quality jobs. Plan for new or enhanced workforce development and training programs.

3. Applicants must demonstrate consistency with the State’s Planning Priorities, summarized below, and identified in Section 65041.1 of the Government Code. These priorities are intended to promote equity, strengthen the economy, protect the environment, and promote public health and safety in the state, including urban, suburban, and rural communities.
   a. Promote infill development and equity by rehabilitating, maintaining, and improving existing infrastructure.
b. Protect, preserve, and enhance environmental and agricultural lands and natural and recreational resources.

c. Encourage location- and resource-efficient new development.

C. EXAMPLES OF ELIGIBLE PROJECTS

Some examples of eligible projects include:

1. Building capacity both internally, among staff and departments, as well as externally, among stakeholders, by including the development of collaborations partnerships that connect land use development with environmental, economic and social justice priorities.

2. Evaluating, updating, and streamlining various policies and codes currently enforced by the Planning Department and other local departments (e.g., public works, health and safety, fire, parks and open space, etc.).

3. Completing fiscal analyses and studies, such as conducting a fiscal impact analysis to understand long-term service costs of future development and to determine fee structures.

4. Preparing climate action and climate adaptation plans.

5. Designing or enhancing community engagement that results in innovative and meaningful programs and practices built upon the input and expertise local public agency staff, community-based organizations, workforce development boards, and overburdened individuals and groups.

For past examples of awarded Planning Grants, visit SGC website. For a map of past program awards, refer to Appendix H.

D. APPLICATION

Planning Grants will be evaluated and awarded in a statewide competitive process. Applications will be submitted electronically and SGC will provide instructions with the Notice of Funding Availability and Application materials.

All Applications and submitted materials will be treated in accordance with Public Records Act requirements and certain information subject to those requirements will be publicly disclosed. SGC will post a summary of all Applications received prior to funding decisions.

Staff recommendations will be made available for public review ten (10) days prior to SGC public meeting, at which point Strategic Growth Council will consider staff’s award recommendations.

1. Application Review Process

TCC Program Staff will first evaluate applications to ensure that they are both eligible and complete.
Then TCC Program Staff and an interagency review panel will evaluate applications using the Scoring Criteria below. Applicants will receive a single score out of 100 points.

2. **Application Components**

Below is a brief summary of the application components:

- Documentation that the application meets all eligibility requirements described in Section III.A.
- Narrative descriptions of the Planning Area and community needs
- Priority Population Benefit Criteria Tables, as required by the California Air Resources Board. Accessible here: <www.arb.ca.gov/cci-resources>
- Narrative descriptions of how planning activities will address the TCC Program Objectives and Transformative Elements
- Work Plans with clear timelines, discrete tasks and detailed deliverables
- Budgets with sufficient detail, broken down by task and line item
- Priority Population Benefit Criteria Tables, as required by the California Air Resources Board. Accessible here: <www.arb.ca.gov/cci-resources>
3. **Scoring Criteria**

<table>
<thead>
<tr>
<th>Planning Grants Scoring Criteria</th>
<th>100 Points</th>
</tr>
</thead>
<tbody>
<tr>
<td><strong>Criteria: Vision and Program Objectives</strong></td>
<td>30 Points</td>
</tr>
<tr>
<td>1. Applicant has provided a comprehensive description of the Planning Area and demonstrates an understanding of the local community’s needs.</td>
<td></td>
</tr>
<tr>
<td>2. Extent to which the proposed planning activities focus on improving outcomes for Priority Populations. Refer to the Priority Population Benefit Criteria Table, accessible here: &lt;www.arb.ca.gov/cci-resources&gt;</td>
<td></td>
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<tr>
<td><strong>3. Proposed planning activities will address Objectives of:</strong></td>
<td></td>
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<tr>
<td>▪ Improving Public Health and Environmental Benefits.</td>
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<tr>
<td>▪ Expanding Economic Opportunity and Shared Prosperity.</td>
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<tr>
<td><strong>4. Extent to which the proposed planning activities are consistent with the state’s Planning Priorities, including promoting infill development, preserving agricultural lands, and encouraging location and resource-efficient new development.</strong></td>
<td></td>
</tr>
<tr>
<td><strong>Criteria: Transformative Requirements and project identification</strong></td>
<td>50 Points</td>
</tr>
<tr>
<td>Proposals are not required to address the entire list of TCC Implementation Grant transformative elements or project identification. Proposals may be awarded points based on both the number of transformative elements addressed, as well as the extent to which each transformative element is incorporated into the planning activities.</td>
<td></td>
</tr>
<tr>
<td>1. The Proposed planning activities will assist the Applicants in meeting the TCC Implementation Grant Transformative Elements related to:</td>
<td></td>
</tr>
<tr>
<td>▪ Displacement avoidance.</td>
<td>▪ Data collection and indicator tracking.</td>
</tr>
<tr>
<td>▪ Community engagement.</td>
<td>▪ Climate adaptation and resiliency.</td>
</tr>
<tr>
<td>▪ Leverage funding.</td>
<td>▪ Workforce development and economic opportunities.</td>
</tr>
<tr>
<td>2. Applicant demonstrates a process to identify projects based on the community need and prioritize these projects based on feasibility</td>
<td></td>
</tr>
<tr>
<td><strong>Criteria: Organizational Capacity</strong></td>
<td>20 Points</td>
</tr>
<tr>
<td>1. Applicant demonstrates readiness and capacity to implement the proposed work on time and within budget.</td>
<td></td>
</tr>
<tr>
<td>2. Applicant proposes strong and diverse partnerships for implementing the planning activities.</td>
<td></td>
</tr>
</tbody>
</table>
E. GRANT ADMINISTRATION

1. Grantees, Partners, and Subcontractors

Grants will be executed between SGC and the Lead Applicant only. SGC will not enter into any contractual relationship with any Co-Applicants or subcontractors.

Once the grant has been executed, the Lead Applicant will be referred to as the “Grantee” and Co-applicants will be referred to as “Partners”.

2. Strategic Growth Council and Department of Conservation

The TCC Program is administered by Strategic Growth Council in partnership with the Department of Conservation (DOC). Round III grant agreements will be executed between the Grantee and SGC, but Grantees will work closely with DOC during grant implementation.

3. Disbursement and Accounting of Funds

- The Grantee cannot request reimbursement for any work completed before grant execution.
- Grantees may request reimbursement from SGC on a quarterly basis (every 3 months).
- SGC will retain the last five percent (5%) of the grant, to be paid once the State has determined that the grant terms have been fulfilled.
- Partners must invoice the Grantee before the Grantee submits an invoice to SGC. The Grantee will be responsible for compiling all invoices, supporting documentation, and reporting materials for themselves and the Partners into a single package. Once the package has been approved for payment, funds will be dispersed to the Grantee. The Grantee is responsible for dispersing payment to their Partners in accordance with their signed Partnership Agreement.

4. Reporting Requirements

Grantees are responsible the following reporting:

   i. Progress Reports
Quarterly progress reports will be submitted with each invoice and will track the work completed during the invoice period.

A Final report on the overall status of the grant including lessons learned, barriers, and success stories.

**ii. Indicator Reporting**

Grantees are required to track and report planning project indicators listed in the Planning Reporting Template on the CARB CCI Quantification, Benefits, and Reporting Materials webpage (www.arb.ca.gov/cci-resources) at the grant close out report.

5. **Eligible Costs**

1. *Direct costs incurred during the grant term and specified in the Grant Agreement will be eligible for reimbursement.* Direct costs are defined as costs directly tied to the implementation of the Grant Agreement including, but not limited to: personnel, supplies, or travel expenses directly tied to the implementation of the grant. Grantees must adhere to the following requirements:
   
a. Travel reimbursements must adhere to the State rates and conditions established on the CalHR website, with the exception of “Incidentals” and out of state travel, which will not be reimbursable under this grant.

b. Subcontractor procurement processes must adhere to local requirements.

2. *Indirect costs may account for up to ten percent (10%) of the awarded TCC funds.* Indirect costs are costs of doing business that are of a general nature. These costs are not directly tied to the grant but are necessary for the general operation of the organization. Indirect costs include, but are not limited to:
   
a. Personnel costs associated with administrative, supervisory, legal, and executive staff.

b. Personnel costs associated with support units, including clerical support, housekeeping, etc.

c. Operating expenses and equipment costs not included as part of direct project costs.

6. **Ineligible Costs**

The following costs are ineligible under the TCC Program:

1. *Indirect costs in excess of 10 percent (10%) of the awarded TCC funds are not reimbursable.*

2. Community Engagement

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a. Childcare related costs  
b. Food and refreshments  
c. Participant incentives, such as door prizes  
d. General Meetings that do not specifically discuss or advance implementation of the TCC Project

7. **Publicity Requirements**

TCC Grantees are required to use SGC and CCI names and/or logos for all publications, websites, signage, invitations, and other media-related and public-outreach products related to the TCC grant. See Appendix G for specific requirements.

8. **Audits and Record Retention**

All records, physical and electronic, must be adequately protected from loss, damage, or destruction for possible audit(s). The Grantee agrees that the State or designated representative will have the right during normal business hours to review and to copy any records and supporting documentation pertaining to the performance of the Grant Agreement and interview any employees who might reasonably have information related to such records.

Further, Grantee agrees to include a similar right of the State to audit records and interview staff of any Partners and Subcontractors related to performance of the Grant Agreement.

   i. Grantee, Partners, and Subcontractors must maintain copies of project records four (4) years after all terms of the Grant Agreement are fulfilled, unless a longer period of records retention is stipulated.

   ii. The State retains the right to conduct an audit each year during the grant term and up to four (4) years after all terms under the Grant Agreement are fulfilled.

   iii. The State may require recovery of payment from the Grantee, issue a stop work order or terminate the Grant Agreement, as warranted, based on an audit finding, or any other remedies available in law or equity.

The Grantee agrees to include a similar right of the state to audit records and interview staff in any subcontract related to performance of this Grant Agreement.

9. **Remedies for Non-performance**

SGC has sole discretion to determine if Grantee is performing in accordance with the Grant Agreement. Non-performance issues can include but are not limited to: misuse of funding for ineligible expenses; failure to comply with Guidelines or requirements, inability to meet performance requirements or schedule milestones, and/or failure to comply with the terms and conditions of this Grant Agreement.
1. The State will notify Grantee, in writing, if non-performance is determined, and will provide instructions and a timeline to rectify all cases of non-performance.

2. Grantee must respond to a determination of non-performance within thirty (30) days either by a) acting on corrective actions, or b) disputing the State's findings.

3. The State, without waiver of other rights or remedies, may require the Grantee to re-perform any actions defined in this Grant Agreement if determined to be not performed in accordance with the Grant Agreement. The State may withhold any payments due to Grantee until the Grantee brings the grant back into full compliance. Costs and expenses for these actions shall be borne by Grantee.

4. The State has the right to issue a Stop Work Order for the grant and suspend payments to the Grantee.

5. Both the Grantee and State have the right to terminate the Grant Agreement at any time upon thirty (30) days written notice. The written notice shall specify the reason for early termination and may permit the State or the Grantee to rectify any deficiency(ies) prior to the termination date.
SECTION IV. TECHNICAL ASSISTANCE

SGC recognizes that the State’s most disadvantaged and low-income communities may lack the capacity and institutional resources to seek competitive grants and may not be prepared to apply to the TCC Program. To support the development of competitive proposals, SGC will offer technical assistance from third-party providers (“TA providers”) to eligible Applicants for the TCC Implementation Grants only. Unfortunately, TA is not currently available for the TCC Planning Grants.

Phase 1: Application TA

Important points about Application TA:

- ALL Applicants are required to receive TA. This allows SGC to ensure that questions are answered consistently and that feedback is given equitably.
- In order to minimize burden on applicants, all applicants will be strongly encouraged to undergo a threshold review with TA providers during the first month of the application period. This review will help applicants determine if they can meet all threshold requirements and help them to reach an informed decision on whether to complete a full Implementation Grant application. Applicants who do not continue with a full implementation application can choose to complete a Planning Grant application. The evaluation of the TA providers will be used only to inform the applicants but will not be used to disqualify any applicants.
- Receiving Application TA does not guarantee that an Applicant will be awarded an Implementation Grant.
- Previous TCC Applicants will receive targeted technical assistance to adapt the previously submitted application to updated guidelines requirement and application format.

Application TA activities may include, but are not limited to:

- Support for running Quantification of GHG reductions;
- Direct application assistance, including review of responses and application coordination;
- Financial analysis and budget development;
- Identification of Project Area, integration of Projects, and cost estimates;
- Assessment of project readiness; and
- Geographic Information System mapping assistance.
Phase 2: Implementation TA

Applicants awarded Implementation Grants will receive Implementation TA and other technical support from representatives of SGC, the Department, CARB and other State entities throughout the implementation of their TCC Proposal for a timeframe to be determined by SGC.

Additional support conducted by SGC may include but is not limited to:

- Assistance in attracting and leveraging additional financing;
- Assistance developing and promoting workforce and economic development; and
- Assistance strengthening organizational capacity to integrate implementation efforts.
SECTION IV. APPENDICES

APPENDIX A – TERMS AND DEFINITIONS
APPENDIX B – TCC FUNDED PROJECTS, BY STRATEGY
APPENDIX C – TRANSFORMATIVE ELEMENTS
APPENDIX D – PRO-HOUSING POLICIES
APPENDIX E – GHG QM ESTIMATES BY PROJECT ELEMENTS
APPENDIX F – POST AWARD CONSULTATION PROCESS
APPENDIX G – PUBLICITY GUIDELINES
APPENDIX H – PAST PROGRAM AWARDS
APPENDIX I – SAMPLE GRANT AGREEMENT (ROUND II TCC PROGRAM AWARDS)
**APPENDIX A – TERMS AND DEFINITIONS**

<table>
<thead>
<tr>
<th>Term</th>
<th>Definition</th>
</tr>
</thead>
<tbody>
<tr>
<td>Applicant(s)</td>
<td>Lead Applicants and Co-applicants are collectively referred to as “Applicants.” See definitions for “Lead Applicant” and “Co-applicant”.</td>
</tr>
<tr>
<td>Application or Proposal</td>
<td>A submittal comprised of responses and supporting documents to apply for the either an Implementation or Planning Grant.</td>
</tr>
<tr>
<td>Awarded</td>
<td>An agency commits funding to implement projects (e.g., executed a grant agreement with a Grantee; transferred funds to another agency or program administrator).</td>
</tr>
<tr>
<td>CARB</td>
<td>The California Air Resources Board (CARB) was established by the California Legislature in 1967 to attain and maintain healthy air quality, conduct research into the causes of and solutions to air pollution, and implement measures to reduce air pollution caused by motor vehicles, the major cause of air pollution in the State. CARB provides funding guidance to state agencies that implement California Climate Investment programs, such as the TCC Program.</td>
</tr>
<tr>
<td>California Climate Investments (CCI)</td>
<td>Programs funded through the Greenhouse Gas Reduction Fund using auction proceeds from the Cap-and-Trade Program and administered by state agencies in transportation, energy, natural resources, and waste sectors. These programs fund projects that provide greenhouse gas reductions and other important co-benefits to California, including benefits to residents of disadvantaged communities, low-income communities, and low-income households.</td>
</tr>
<tr>
<td>Climate Adaptation</td>
<td>Adaptation to climate change refers to adjustment in natural or human systems in response to actual or expected climatic stimuli or their effects, which moderates harm or exploits beneficial opportunities.</td>
</tr>
<tr>
<td>Climate Resiliency</td>
<td>Resiliency as it relates to climate change is the capacity of any entity – an individual, a community, an organization, or a natural system – to prepare for disruptions, to recover from shocks and stresses, and to adapt and grow from a disruptive experience.</td>
</tr>
<tr>
<td>Co-applicant</td>
<td>Entities other than the Lead Applicant that enter into a partnership with other organizations for the purpose of applying for a TCC grant.</td>
</tr>
<tr>
<td>Community-based Organizations</td>
<td>A public or private nonprofit organization of demonstrated effectiveness that is representative of a community or significant segments of a community, and provides educational or related services to individuals in the community.</td>
</tr>
</tbody>
</table>

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Community Engagement

The process of working collaboratively with and through groups of people affiliated by geographic proximity, special interest, or similar situations to address issues affecting the well-being of those people.\(^{10}\)

Costs directly tied to the implementation of the TCC grant, including, but not limited to: personnel costs, subcontracts, equipment costs, travel expenses, etc.

Direct Costs

Displacement

Residential displacement is considered to be occurring when households are forced to move from, or are prevented from moving into a Project Area, which was previously accessible to them due to conditions that:

a. Are beyond the reasonable ability of households to control or prevent (e.g., rent increases);

b. Occur despite households having met all previously imposed conditions of occupancy; and

c. Make continued occupancy by households impossible, hazardous, or unaffordable.

Displacement can result from gentrification when neighborhoods become financially out of reach for people or can occur at earlier stages through disinvestment, increasing vacancies and facilitating demographic turnover.\(^ {11}\)

Displacement manifests itself in many forms, from physical (i.e., evictions or service disruption) to economic (i.e., very high and/or frequent rent increases and sharp increases in housing costs relative to comparable neighborhoods).

Element

Elements are distinct Project components that are fundable under the TCC Program. Elements can be classified as quantifiable or non-quantifiable per CARB’s quantification methodologies for estimating greenhouse gas reductions for the CCI Program. Projects proposed with quantifiable elements can count their respective Project toward TCC proposal readiness at the time of Application. See Appendix D for TCC fundable elements.

Enforceable Funding Commitments

A funding requirement for affordable housing project. These projects must demonstrate a level of committed funding that is 0.90 or greater by the following equation:

\[
\text{Project funds requested} + \text{Enforceable Funding Commitments (EFCs)} - \text{Deferred Costs} = \frac{\text{Total Development Cost} - \text{Deferred Costs}}{}
\]

Grant Agreement

Arrangement between the State and grantee specifying the payment of funds to be used for grants and/or loans, or a combination by the State for the

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\(^{11}\) Adapted from Grier and Grier (1978) and Marcuse (1986) and included in the Urban Displacement Project found at urbandisplacement.org.
performance of specific TCC Program Objectives within a specific grant performance period by the grantee.

**Grantee**

Designated Lead Applicant that has an agreement for grant funding with the State.

**Greenhouse Gases (GHG)**

Any gas that absorbs infrared radiation in the atmosphere. Greenhouse gases include, but are not limited to, water vapor, carbon dioxide (CO$_2$), methane (CH$_4$), nitrous oxide (N$_2$O), hydrochlorofluorocarbons (HCFCs), ozone (O$_3$), hydrofluorocarbons (HFCs), perfluorocarbons (PFCs), and sulfur hexafluoride (SF$_6$).

**Greenhouse Gas Reduction Fund (GGRF)**

Fund established via SB 1018 to receive the State’s portion of proceeds from the quarterly Cap-and-Trade auctions.

**High Quality Jobs**

Job quality varies across industry, occupation, and region. Indicators of high quality jobs include: decent wages (family-sustaining jobs with prevailing wage or entry-level work with clearly defined routes to advancement into higher-wage jobs), benefits (like paid sick and vacation), adequate hours and predictable schedules, access to training, occupational health and safety, worker representation or right to organize, and no employer or subcontractor record of wage theft or other violations of labor law.

**Implementation Grant**

Fund for the development of neighborhood-level proposals, which include multiple, coordinated greenhouse gas emissions reduction projects that provide local economic, environmental, and health benefits.

**Indicators**

Quantitative measures, including project-related metrics that show changes in conditions over a period of time.

**Indirect Costs**

Expenses of doing business that are of a general nature. These costs are not directly tied to the grant but are necessary for the general operation of the organization. Examples of indirect costs may include, but are not limited to: personnel costs associated with administrative, supervisory, legal, and executive staff; personnel costs associated with support units, including clerical support, housekeeping, etc.; and operating expenses and equipment costs not included as part of direct project costs. This definition supersedes any definition of indirect costs provided by other California Climate Investment programs.

**In-kind Goods and Services**

Non-cash donations from governmental or private sources, and includes volunteer labor, materials and services.

**Lead Applicant**

An entity that enters into a partnership with other organizations for purpose of applying for a TCC grant and has been designated as the lead organization for the partnership.

**Lead Entity**

The Lead Applicant or Co-applicant responsible for leading the implementation of a specific Project.
**Memorandum of Understanding (MOU)**

An MOU is an agreement between two or more parties that is legally binding and outlines the responsibilities of each of the parties to the agreement. A Memorandum of Understanding is required for Implementation Grant Applicants that include unincorporated areas within the Project Area.

**Nonprofit Organizations**

Any nonprofit corporation qualified to do business in California, and qualified pursuant to subdivision (c)(3) under Section 501 of the Internal Revenue Code.

**Operational**

Project has reached a specified milestone and benefits from the investment are accruing.

**Participatory Budgeting (PB)**

Participatory Budgeting (PB) is a democratic approach to public spending that meaningfully and deeply engages people in government and the community. During PB, community members democratically decide how to spend part of a public budget, enabling them to make the fiscal decisions that affect their lives and the health of their communities. In the process, the community identifies priority needs and develops a range of alternatives to address those needs. PB is especially appropriate in low-income communities and communities of color that have been traditionally disenfranchised from transportation decision making processes.

**Partner**

Entities other than the Grantee that enter into a partnership with the grantee and other organizations for the purpose of implementing TCC grant activities. Referred to as “Co-Applicants” during the application stage.

**Partnership Agreement**

A Partnership Agreement is an agreement between two or more parties that is not legally binding and outlines the responsibilities of each of the parties to the agreement. This is required of all members of the Collaborative Stakeholder Structure.

**Planning Grant**

Fund for planning activities that implement local and regional land use plan and foster the development of sustainable communities.

**Planning Area**

Refers to the boundary for Planning Grants. A contiguous area comprised of Census Tracts that rank within the top twenty-five percent (25%) of disadvantaged communities, per CalEnviroScreen 3.0. Planning Areas may be located in an incorporated city or an unincorporated area of a county or both.

**Post-award Consultation**

Prior to execution of the grant agreement, period where terms and conditions of the grant agreement are determined and finalized.

**Program Objectives**

Program objectives are statements that describe the desired outcomes of the program. The TCC Program includes the following three program objectives: greenhouse gas reduction, public and environmental benefits, and economic opportunity and shared prosperity.
Project Area
Refers to the boundary for Implementation Grants. A contiguous area that is no larger than approximately five-square miles and is within one incorporated city’s jurisdiction. At least 51% of the Project Area must overlap census tracks within the top 10 percent (10%) of disadvantaged communities identified per CalEnviroScreen 3.0. The remaining area (49 percent or less) must be within the top 25 percent of disadvantaged communities or a low-income community as defined by AB 1550.

Projects
An attribute that defines the purpose of a Project as reflected in a proposal or scope of work. Projects proposed must include one or more TCC fundable elements. See Appendix B for TCC fundable elements.

Public Agency
A local or regional agency, such as a county, city, city and county, municipal corporation, district, metropolitan planning organization, joint powers authority, regional transportation planning agency, council of government, school district, political subdivision, or any board, commission or agency thereof, other local public agency, or entities that are legislative bodies of a local agency pursuant to subdivisions (c) and (d) of Section 54952 of the California Government Code.

Quantification Period
The quantification period varies for different administering agencies and CCI programs, as defined in CARB’s quantification methodologies for estimating greenhouse gas reductions for CCI program. For California Climate Investments, the quantification period typically covers the period of time during which GHG reductions are reasonably expected to occur, or the over which GHG reductions can be calculated and validated.

Small Business
In order for a small business to be eligible for certification, the small business must meet the following requirements: be independently owned and operated; not be dominant in its field of operations; have its principal office located in California; have the owners (or officers, if a corporation) domiciled in California; and including affiliates, be either:

- A business with 100 or fewer employees; with average annual gross receipts of $15 million or less, over the last three tax years;
- A manufacturer* with 100 or fewer employees; or
- A microbusiness - A small business will automatically be designated as a microbusiness if gross annual receipts are less than $3,500,000, or the small business is a manufacturer with 25 or fewer employees

*For Small Business Certification purposes, a manufacturer is a business that is both of the following: primarily engaged in the chemical or mechanical transformation of raw materials or processed substances into new products, and classified between Codes 31 to 339999, inclusive, of the North American Industrial Classification System (NAICS) Manual, published by the United States Census Bureau, 2007 edition.

State
Refers to the California Air Resources Board, Strategic Growth Council, the Department of Conservation, and any other state agency, and/or their representatives.
### Strategies
A plan of action or policy intended to achieve a particular outcome. Applicants must propose one or more Projects for each selected strategy.

### Strategic Growth Council (SGC)
Strategic Growth Council (SGC) administers the TCC Program. SGC was established by Senate Bill 732 (Steinberg, Statutes of 2007, Chapter 729), and is charged with four main tasks to encourage the development of sustainable communities. These tasks include the following:

- Identify and review activities and funding programs of member state agencies that may be coordinated to improve air and water quality, improve natural resource protection, increase the availability of affordable housing, improve transportation, meet the goals of the California Global Warming Solutions Act of 2006 and the strategies and priorities developed in the State’s climate adaptation strategy, known as the Safeguarding California Plan, encourage sustainable land use planning, and revitalize urban and community centers in a sustainable manner.
- Recommend policies and investment strategies and priorities to the Governor, the Legislature, and to appropriate state agencies to encourage the development of sustainable communities.
- Provide, fund and distribute data and information to local governments, and regional agencies that will assist in developing and planning sustainable communities.
- Manage and award grants and loans to support the planning and development of sustainable communities.

### Technical Assistance (TA)
Aid and support provided to Applicants to facilitate development, selection and implementation of TCC Proposals.

### Transformative Elements
Additional elements required for Implementation Grants to be considered for TCC funding. Transformative Elements include: community engagement, displacement avoidance, workforce development and opportunities, data collection and indicator tracking, and climate adaptation and resiliency.

### Very Low- and Low- Income Households
Households earning less than 80 percent of Area Median Income (AMI). The U.S. Department of Housing and Urban Development (HUD) sets income limits that determine eligibility for assisted housing programs. Income limits can be accessed at: [https://www.huduser.gov/portal/datasets/il.html](https://www.huduser.gov/portal/datasets/il.html).

### Vision Statement
A statement developed by Applicants that articulates how all of the Projects proposed in the overall TCC Proposal will be coordinated and integrated to achieve all three of the TCC Program Objectives.
Vulnerable Communities/Populations

Vulnerable communities or vulnerable populations include people that are vulnerable to the effects of pollution, the impacts of climate change, and other environmental, public health and economic burdens. Such people include, but are not limited to: women; racial or ethnic groups; low-income individuals and families; individuals who are incarcerated or have been incarcerated; individuals with disabilities; individuals with mental health conditions; children; youth and young adults; seniors; immigrants and refugees; individuals who are limited English proficient (LEP); and Lesbian, Gay, Bisexual, Transgender, Queer, and Questioning (LGBTQQ) communities; or combinations of these populations. (CA Health and Safety Code Section 131019.5)
APPENDIX B – TCC FUNDED PROJECTS BY STRATEGY

Appendix B outlines eligible Projects, fundable elements, eligible costs and readiness requirements for the TCC Program, organized by Strategy.

1. ELIGIBLE PROPOSAL REQUIREMENTS

Applicants must select a combination of Projects from at least three (3) Strategies.

At least three (3) Projects must be both quantifiable using CARB quantification methodologies\(^{12}\) AND must meet all readiness requirements at the time of application submittal.

Projects that are “quantifiable” and “ready” must account for a minimum of fifty percent (50%) of total requested funds.

All Projects must be ready within the first year of the grant term.

- **Quantifiable Projects:** Projects that contain “quantifiable elements” are quantifiable under CARB quantification methodologies and are indicated by an asterisk (*). Quantifiable projects may contain a combination of both quantifiable and non-quantifiable elements. The sum of both the quantifiable and non-quantifiable elements for the Project will be counted towards the fifty percent (50%) total requested funds requirement.

- **Readiness Requirements:** Readiness requirements include CEQA documentation, site control, permits, project maps and designs, operations and maintenance plans, and other Strategy-specific requirements. Readiness requirements must be complete prior to beginning project implementation.

For example, an applicant that proposes to include the “construction of new pedestrian facilities” as a Project under the Transit Access and Mobility Strategy, must include the quantifiable element “new walkways that improve mobility/access of pedestrians” for the Project to be quantifiable. The applicant may also include other TCC fundable elements that are non-quantifiable as part of the Project, such as the installation of “benches or street furniture”. See CARB’s forthcoming TCC Quantification Methodology\(^{13}\) for more information.

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\(^{12}\) California Air Resources Board, July 2018. CCI Quantification, Benefits, and Reporting Materials. <www.arb.ca.gov/cciresources>

\(^{13}\) California Air Resources Board. CCI Quantification, Benefits, and Reporting Materials. <www.arb.ca.gov/cciresources>
2. **INELIGIBLE PROJECTS APPLICABLE TO ALL STRATEGIES**

The following Project characteristics will result in ineligibility:

- Projects without logical termini or independent utility;
- Projects that are acquisition only;
- Projects that cannot demonstrate site control during the grant term;
- Projects that acquire property through eminent domain;
- Projects that are in active litigation;
- Projects without a long-term operations and maintenance plans; or
- Projects that do not provide GHG reduction, public health, environmental, and economic benefits to the Project Area through the grant term and life of the Project.

3. **INELIGIBLE COSTS APPLICABLE TO ALL STRATEGIES**

- Exceeding cost caps for indirect or pre-development costs
- Lobbying
- Advocacy work
- Commission fees
- Ongoing operational costs beyond the grant term
- Supplantation of funds
- Using funds for mitigation activities that are already mandated
- Ceremonial expenses (including food and beverages)
- Expenses for publicity not related to the TCC Plan implementation
- Bonus payments of any kind
- Damage judgments arising from the acquisition, construction, or equipping of a facility, whether determined by judicial process, arbitration, negotiation, or otherwise
- Services, materials, or equipment obtained under any other State program
- Real estate brokerage fees and/or expenses
- Stewardship of legal defense funds
4. **READINESS REQUIREMENTS APPLICABLE TO ALL STRATEGIES**

**California Environmental Quality Act (CEQA):**

Before submitting an application, Applicants should consult with the public agency or agencies that have permitting authority over the projects in the application to determine what is required to comply with CEQA.

For Projects that meet the readiness requirements at the time of application, the Applicant and/or Co-applicants must demonstrate and provide documentation showing that the project is CEQA compliant.

For Projects that will be ready within the first year of the grant term, applicants must report on the projects’ CEQA status and must demonstrate that any pending environmental review will be completed within the first year of the grant term.

Note that Affordable Housing Development Capital Projects submitted under Equitable Housing and Neighborhood Development are required to have all necessary environmental compliance and project approvals at the time of application. All applicable time periods for filing lawsuits must have lapsed.

I. Required Documentation

The following documentation is required for projects that are categorically or statutorily exempt:

- A CEQA Notice of Exemption (NOE) that has been approved by the appropriate body pursuant to their obligations under CEQA, **OR**

- Documentation that the project is CEQA compliant, including but not limited to:
  - A resolution adopted by the legislative body (e.g., City Council, Board of Supervisors) confirming a project’s exemption. If a resolution or similar mechanism is not available or does not exist, meeting minutes documenting the legislative body’s consideration and approval of the project’s CEQA compliance may be submitted.
  - A signed letter or similar document from the head of an administrative approving entity (e.g., Planning Director).

The following documentation is required for all other projects:

- A file-stamped Notice of Determination

II. Statutes of Limitation

SGC will notify Grantees that they may begin work on a project once all readiness requirements have been met, including CEQA completion. However, projects are still subject to statutes of limitation for legal challenges, which vary depending on the type of CEQA filing and whether a CEQA filing occurs (Public Resources Code, § 21167):

- Filing a Notice of Determination: 30 days
• Filing a Notice of Exemption: 35 days
• No filing: 180 days

Grantees must notify SGC when the statutes of limitations have lapsed for each project, and if any legal challenges arise. If a legal challenge is brought against a project, SGC has the authority to issue a Stop Work Order, per Section 32 of the grant agreement.

**Site Control:**
Applicants must demonstrate site control prior to implementation. Applicants that want to establish facilities or expand existing facilities on property not owned by the Applicant, must prove a legally binding commitment or letters of commitment to sell that clearly states the ownership or leasehold interests of the parties. For Projects with multiple project sites that will be secured during the grant term, site control does not need to be complete at the time of the application. Applicants must report on the site control status and demonstrate that site control can be achieved for all sites within the grant term.

**Permits:**
Applicants must demonstrate at the time of application the permit(s) required to implement the Projects, and that the permit(s) can be obtained within the grant term. Documentation of the permits will be used to evaluate the experience and management capacity of the Applicant.

**Other Requirements:**
Applicants must also submit the following documentation required to implement the Projects:

1) Project Map
2) Project Designs
3) Operations and Maintenance Plan

The State may request additional documentation to assess project readiness and feasibility. All Projects must align with applicable local/regional plans and regulations. See each Project tables below for additional Project-specific requirements.
Table B-1: Equitable Housing and Neighborhood Development

If selected, these affordable housing development projects must conform to the requirements of the Affordable Housing and Sustainable Communities Program as outlined in the most recent AHSC’s Program Guidelines ([http://sgc.ca.gov/programs/ahsc/resources/](http://sgc.ca.gov/programs/ahsc/resources/)) for the following eligible housing projects:

- Transit Oriented Development Project Area
- Integrated Connectivity Project Area
- Rural Innovation Project Areas

Proposed Affordable Housing projects should at minimum include one of the following projects:

- New or expanded transit service (bus, train, ferry, shuttle, or vanpool)
- Increased ridership
- New pedestrian facilities
- New bike paths or lanes (Class I, II, or IV)
- New or expanded bike share

Proposed transit and active transportation capital projects under Equitable Housing and Neighborhood Development Strategy are required to be connected to other proposed or existing transit or active transportation systems.

<table>
<thead>
<tr>
<th>Eligible Categories</th>
<th>TCC Fundable Elements</th>
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</table>
| Construction or substantial rehabilitation of affordable housing or mixed-use developments served by qualifying transit | - Increased housing density achieved by compact design*  
- Integrated market rate and below market rate housing (TCC only provides funding for affordable housing units)* |
| Housing related infrastructure            | - Capital improvements required by a locality, transit agency, or special district as a condition of the approval of the affordable housing development. |
| New or expanded transit service (bus, train, ferry, shuttle, or vanpool) | - Operation of new or expanded transit service*  
  - Enhanced or expanded transit service by supporting construction or implementation of:  
    - New or expanded bus or intercity commuter services, and urban rail projects  
    - New or expanded water-borne transit (ferry)  
    - Expanded intermodal transit facilities  
    - Equipment acquisition  
  - Operation of alternative transportation services  
  - Capital or operational expenditures that increase transit mode share such as bus shelters/transit waiting areas and bicycle carrying structures on public transit |
<p>| Capital improvements to transit systems   | - Upgrades to transit stops, stations, or vehicles that encourage mode-shift* |</p>
<table>
<thead>
<tr>
<th>Table B-1: Equitable Housing and Neighborhood Development</th>
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<tr>
<td>that result in increased ridership</td>
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<tr>
<td><strong>Construction of new pedestrian facilities</strong></td>
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<tr>
<td>• New walkways that improve mobility/access of pedestrians*</td>
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<td>• Non-capacity increasing streetscape improvements, including but not limited to:</td>
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<tr>
<td>o Installation of lighting</td>
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<td>o Installation of signage and way-finding markers</td>
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<tr>
<td>o Other related amenities for pedestrians, cyclists and transit riders</td>
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<tr>
<td>• Installation of new/improved pedestrian crossings or over-crossings</td>
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<tr>
<td>• Benches or “street furniture”</td>
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<td>• Street crossing enhancements including accessible pedestrian signals</td>
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<td>• Traffic calming projects, including development of:</td>
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<tr>
<td>o Curb extensions</td>
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<tr>
<td>o Roundabouts</td>
</tr>
<tr>
<td>o Median islands / road diets</td>
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<tr>
<td>o Lane narrowing projects</td>
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<tr>
<td><strong>Construction of new bike paths or lanes (Class I, II, or IV)</strong></td>
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<tr>
<td>• New or expanded context sensitive bike paths or lanes (Class I, Class II, or Class IV)14*</td>
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<tr>
<td>• Non-motorized urban trails that provide safe routes for travel between residences, workplaces, commercial centers, and schools</td>
</tr>
<tr>
<td><strong>Purchase of bicycles and/or purchase and installation of infrastructure in support of new or expanded bike share</strong></td>
</tr>
<tr>
<td>• New or expanded bike share programs*</td>
</tr>
<tr>
<td>• Publicly accessible bicycle parking</td>
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<tr>
<td>• Bicycle repair kiosks</td>
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<tr>
<td>• Bicycle carrying structures on public transit</td>
</tr>
<tr>
<td><strong>Increased ridership Required Element under AHSC Program</strong></td>
</tr>
<tr>
<td>• Distribution of vouchers for free or reduced transit fares*</td>
</tr>
</tbody>
</table>

**Lead or Co-applicants must include at least one of the following:**

14 Context sensitive bikeways are defined as bikeways that consider functional classifications, travel forecasts, levels of service, purpose and transportation need, environment, safety, and place audits.
Table B-1: Equitable Housing and Neighborhood Development

- City or county
- Public housing authority
- Redevelopment successor agency
- Transit agency or transit operator
- Regional transportation planning agency
- Local transportation commission
- Congestion management agency
- Joint powers authority
- School district
- Facilities district
- University or community college district
- Developer
- Federally recognized Indian tribes
- Program operator

Project Costs

Eligible Costs include, but are not limited to the following:

Affordable Housing Development Capital Projects

- Construction and substantial rehabilitation (with acquisition) of affordable housing
- Costs for a housing development, as specified in 25 CCR Section 7304 (a) and (b)

Housing-Related Infrastructure Capital Projects

- Required environmental remediation necessary for the capital project where the cost is not to exceed 50 percent of AHSC Project costs
- Real property acquisition of the project site and associated fees and costs (not to exceed 10 percent of the total AHSC Project costs)
- Impact fees required by local ordinances (if used for the identified eligible capital project not to exceed 15 percent of the AHSC Project cost up to $300,000)

Sustainable Transportation Infrastructure Capital Projects

- Capital improvements that result in the improvement or addition of infrastructure that encourages mode-shift by enhancing public transit access, pedestrian, or bicycle network
- Other capital project costs required as a condition of local approval for the capital project, as approved by the State

Transportation-Related Amenities Capital Projects

- Capital improvements that are publicly accessible and provide supportive amenities to cyclists, pedestrians, and transit riders
- Other capital project costs required as a condition of local approval for the capital project, as approved by the State
- Energy efficiency, water efficiency, renewable energy and urban greening improvements

Active Transportation and Transit Ridership Program

- Those costs typically associated with 1) program creation, or 2) expansion of existing programs to serve new populations or offer new program service and implementation. Eligible costs may include operational costs. Programs include education, outreach and training for Active Transportation or Transit Ridership.
- Total grant amount for these program costs shall not exceed 30 percent of the funding for the AHSC Project up to $500,000.
Table B-1: Equitable Housing and Neighborhood Development

Ineligible Costs:
- Routine maintenance of transportation infrastructure (including transit fleet)
- In lieu fees for local inclusionary housing programs
- All costs associated with automobile or motorcycle parking (excluding electric vehicle charging infrastructure that may be located at a parking spot)

Additional Readiness Requirements

Environmental Review:
At the time of Application, completion of all necessary environmental compliance (including the California Environmental Quality Act and if applicable, the National Environmental Policy Act) and project approvals related to the Equitable Housing and Neighborhood Development project is required. Also at the time of application, all applicable time periods for filing lawsuits must have lapsed. However, non-housing components of a project have one year to certify completion and demonstration of approval of environmental clearances (NEPA or CEQA)

Site Control:
Applicants must demonstrate site control prior to submitting an application. Site control may be demonstrated with one of the following documents:
- Fee title
- A leasehold interest on the property with provisions that enable the lessee to make improvements on and encumber the property provided that the terms and conditions of any proposed lease shall permit, prior to grant funding, compliance with all program requirements
- An enforceable option to purchase or lease, which shall extend through the anticipated date of the Program award as specified in the NOFA
- An executed disposition and development agreement, right of way, or irrevocable offer of dedication to a Public Agency
- An executed encroachment permit for construction of improvements or facilities within the public right of way or on public land
- An executed agreement with a public agency that gives the applicant exclusive rights to negotiate with the agency for the acquisition of the site; provided that the major terms of the acquisition have been agreed to by all parties
- A land sales contract or enforceable agreement for acquisition of the property
- Other forms of site control that give the State equivalent to any of the above-listed indicators of site-control demonstrating assurance that the applicant or developer will be able to complete the Project and all housing designated in the application in a timely manner and in accordance with all the requirements of the Program.

Enforceable Funding Requirements:
At the time of application, the project must demonstrate a level of committed funding that is 0.90 or greater calculated by the following equation:

\[
\frac{\text{Project funds requested} + \text{Enforceable Funding Commitments (EFCs)} - \text{Deferred Costs}}{\text{Total Development Cost} - \text{Deferred Costs}} = 0.90
\]

Other Readiness Requirements:
Documents required to demonstrate financial feasibility, including:
- Market study
- Project pro-forma
Table B-1: Equitable Housing and Neighborhood Development

- Multi-year pro-forma
- Sources and uses statement
- Operating budget

Other readiness documentation includes:
- Consistency with State Relocation Assistance Law
- All necessary discretionary land use approvals, excluding design review
- Consistency with State and Federal Fair Housing requirements including duties to affirmatively further fair housing
- Integration of climate adaptation measures
- Implementation of the regional Sustainable Communities Strategy
- Proposed project must be consistent with state planning priorities
- Applicant and/or project may not be party to or subject of a lawsuit
- Consistency with local public works department, or other responsible local agency requirements
- Estimated project milestone schedule
- Demonstration that Project construction has not yet commenced
- Adopted housing element

**Special Requirements**

Other requirements include, but are not limited to the following:

- Provide free transit passes, reloadable transit cards, or discounted passes priced at no more than half of retail cost. At least one (1) pass or card shall be made available for each Restricted Unit for at least 3 years.
- Demonstrate housing will be smoke free by providing a smoke free housing lease addendum
- Incorporate more than one TCC Urban Greening elements with dedicated maintenance for at least two years
- Include adequate lighting in accordance with local, state, or federal design standards and requirements for all publicly accessible components
- Demonstrate prior experience by providing evidence of at least two prior projects that are similar to the proposed project in scope and size, which have been completed by the applicant, or joint applicant, during the ten (10) years preceding the application due date
- Must be served by qualifying transit, as outlined in AHSC’s program guidelines: [http://sgc.ca.gov/programs/ahsc/docs/20171024-AHSC_16-17_Guidelines.pdf](http://sgc.ca.gov/programs/ahsc/docs/20171024-AHSC_16-17_Guidelines.pdf) (See Figure 1 of the AHSC Guidelines)
- Must not result in a loss or conversion of agricultural or other working lands, or natural resource lands for other uses
- Must meet the underwriting standards in the Uniform Multifamily Regulations
- Must not result in a net loss of affordable housing units
- Demonstrate costs are infeasible without AHSC Program funds, and other committed funds are not being supplanted by AHSC Program funds
- Outreach and education on reducing potential health impacts of air pollution must be provided to residents of Affordable Housing Developments.
Table B-2: Affordable Housing Land Acquisition

TCC will fund land acquisition for communities to secure land for affordable housing. The applicants will need to develop a preliminary scoping plan for purchasing potential land within the project area and intended use such as affordability mix and targeted population at the time of application submittal, justifying the requested amount of funds. The total amount requested for land acquisition should not exceed 10% of total awarded funds. Acquired land shall be deed restricted for developing affordable housing only. Applicants are required to purchase the land and ensure development of the land during the grant period, otherwise the State will need to be compensated for the investment.

<table>
<thead>
<tr>
<th>Eligible Categories</th>
<th>TCC Fundable Elements</th>
</tr>
</thead>
<tbody>
<tr>
<td>Outreach and Implementation</td>
<td>- Community engagement for project planning post-land acquisition,</td>
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<td>(Cost should not exceed 5% of requested</td>
<td>- Land holding costs, and</td>
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<tr>
<td>project funds)</td>
<td>- Direct costs of the land acquisition program, including staff and benefits.</td>
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<tr>
<td>Land Acquisition</td>
<td>Includes but not limited to:</td>
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<tr>
<td></td>
<td>- Land cost</td>
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<tr>
<td></td>
<td>- Fees</td>
</tr>
<tr>
<td></td>
<td>- Legal fees associated with land acquisition</td>
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<tr>
<td></td>
<td>- Escrow fees and transfer taxes</td>
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<td></td>
<td>- Other fees associated with land acquisition</td>
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<td></td>
<td>- Land lease rent prepayment <em>(rent paid in advance for the year or years of the lease agreement)</em></td>
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<td></td>
<td>- Financing costs, including:</td>
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<td></td>
<td>- Predevelopment interest/holding cost <em>(interest accumulated from a loan for land acquisition costs)</em></td>
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<td></td>
<td>- Bank loan fees</td>
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<td></td>
<td>- Costs associated with obtaining a ground lease, deed of trust, or covenant</td>
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<td></td>
<td>- Site clearance () and environmental remediation</td>
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<td></td>
<td>- Environmental impact reports and assessments</td>
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</tbody>
</table>

Lead or Co-applicants

- Established Community Land Trust with demonstrated record (incorporated with the State and in good standing)
- Local government agencies
- Nonprofit housing organization
- Cooperative housing corporations
- Limited partnerships or limited liability companies where all the general partners are eligible lead or co-applicants
- Federally recognized Indian tribes
- Joint Powers Authorities

Project Costs

Eligible Costs

- Land acquisition that will result in a plan for affordable housing on the acquired land
- Fees
  - Legal fees associated with land acquisition
- Escrow fees and transfer taxes
- Building permit fees
- Impact fees
- Other fees associated with land acquisition
- Environmental impact reports and assessments

- Financing costs, including:
  - Predevelopment interest/holding cost *(interest accumulated from a loan for development costs)*
  - Bank loan fees

- Costs associated with obtaining a ground lease, deed of trust, or covenant
- Outreach and implementation (no more than 5% of requested project fund)

### Additional Readiness Requirements

- Revised scoping plan for community engagement
- Evidence of land value for requested land acquisition

### Special Requirements

**Other elements include, but are not limited to the following:**

- Proposed land should be zoned for multi-family housing
- Deed restriction on land for developing very low, low and moderate income affordable housing

  If applicant is a Community Land Trust or Non-Profit Housing Organization, they must request a letter of support for acquisition of the property for affordable housing purposes from the appropriate local government entity.
### Table B-3: Transit Access and Mobility Strategy

#### 3.1. Active Transportation

<table>
<thead>
<tr>
<th>Eligible Categories</th>
<th>TCC Fundable Elements</th>
</tr>
</thead>
</table>
| **Construction of new bike paths or lanes (Class I, Class II, or Class IV)** | - New or expanded context sensitive bike paths or lanes (Class I, Class II, or Class IV)\(^{15}\)*  
- Non-motorized urban trails that provide safe routes for travel between residences, workplaces, commercial centers, and schools  
- Bicycle carrying structures on public transit |
| **Construction of new pedestrian facilities** | - New walkways that improve mobility/access of pedestrians*  
- Non-capacity increasing streetscape improvements, including but not limited to:  
  - Installation of lighting  
  - Installation of signage and way-finding markers  
  - Other related amenities for pedestrians, cyclists and transit riders  
- Installation of new/improved pedestrian crossings or over-crossings  
- Benches or "street furniture"  
- Street crossing enhancements including accessible pedestrian signals  
- Traffic calming projects, including development of:  
  - Curb extensions  
  - Roundabouts  
  - Median islands / road diets  
  - Lane narrowing projects |
| **Purchase of bicycles and/or purchase and installation of infrastructure in support of new or expanded bike share** | - New or expanded bike share program*  
- Publicly accessible bicycle parking  
- Bicycle repair kiosks  
- Bicycle carrying structures on public transit |

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15 Functional classification, travel forecasts, levels of service, purpose and transportation need, environment, safety, place audit are among the factors that defines context sensitive bikeways.
### Table B-3: Transit Access and Mobility Strategy

- Capital improvements that are publicly accessible and provide supportive amenities to cyclists, pedestrian, and transit riders
- Other capital project costs required as a condition of local approval for the capital project, as approved by the State
- Those costs typically associated with 1) program creation, or 2) expansion of existing programs to serve new populations or offer new program service and implementation. Eligible costs may include operational costs. Programs include education, outreach and training for Active Transportation or Transit Ridership

#### Ineligible Costs:

- All costs associated with automobile or motorcycle parking (excluding electric vehicle charging infrastructure that may be located at a parking spot).
- Right of way

### Additional Readiness Requirements

- Project plans and a cross-section (15-30% design) for bicycle and pedestrian improvements

### 3.2. Transit and Rail Access

<table>
<thead>
<tr>
<th>Eligible Categories</th>
<th>TCC Fundable Elements</th>
</tr>
</thead>
</table>
| **New or Expanded Service**          | • Operation of new or expanded transit service*  
  o Enhanced or expanded transit service by supporting construction or implementation of:  
    ▪ New or expanded bus or intercity commuter services, and urban rail projects  
    ▪ New or expanded water-borne transit (ferry)  
    ▪ Expanded intermodal transit facilities  
    ▪ Equipment acquisition, fueling, and maintenance, and other costs to operate those services or facilities  
  o Operation of alternative transportation services  
  • Capital or operational expenditures that increase transit mode share such as bus shelters/transit waiting areas and bicycle carrying structures on public transit |
| **Technology Conversion**            | • Purchase or replacement of zero-emission or low-emission vehicles*  
  • Purchase, construction, and/or installation of infrastructure, equipment, or facilities to support zero-emission or low-emission vehicles |
| **New Service and Technology Conversion** | • Purchase of zero-emission or low-emission vehicles and equipment in support of new expanded/enhanced transit service* |
| **Fuel or Energy Reductions**       | • Purchase, construction, and/or installation of solar panels for transit facilities in support of new expanded/enhanced transit service*  
  • Implementation of system or efficiency improvements that result in fuel reductions from existing transit services, including projects that reduce transit VMT and idling* |
### Table B-3: Transit Access and Mobility Strategy

<table>
<thead>
<tr>
<th>Increased Ridership</th>
</tr>
</thead>
<tbody>
<tr>
<td>• Distribution of vouchers for free or reduced transit fares*</td>
</tr>
<tr>
<td>• Implementation of system or efficiency improvements that result in increased ridership for existing routes, including project elements that increase service levels, reliability, or decrease travel time, including:*</td>
</tr>
<tr>
<td>o Rail, bus, and ferry integration implementation</td>
</tr>
<tr>
<td>▪ Integrated ticketing/scheduling systems and related capital investments</td>
</tr>
<tr>
<td>▪ Projects enabling/enhancing shared-use corridors without net air pollution increases</td>
</tr>
<tr>
<td>▪ Related planning efforts focused on integrated service without requiring major capital investment</td>
</tr>
<tr>
<td>▪ Other service integration initiatives</td>
</tr>
<tr>
<td>o Bus rapid transit or rail service and other bus and ferry transit investments</td>
</tr>
<tr>
<td>▪ Vanpool services operated as public transit</td>
</tr>
<tr>
<td>▪ Operating agreements, schedules, and minor capital investments to increase ridership</td>
</tr>
<tr>
<td>o Efforts to improve existing rail service effectiveness with a focus on improved operating agreements, schedules, and capital investments that increase ridership</td>
</tr>
<tr>
<td>• Purchase and construction of active transportation facilities that connect to stops/stations and encourage transit ridership*</td>
</tr>
</tbody>
</table>

#### Lead or Co-applicants must include at least one of the following:

| Public agencies, including construction authorities, transportation authorities, with operational or planning responsibility for transit, rail or ferry services | Cities
|                                                                                                                                      | Counties
| Joint Powers Authorities                                                                                                          | Transportation planning agencies
|                                                                                                                                      | Transit operators

#### Project Costs

**Eligible Costs include, but are not limited to:**

- Capital improvements that result in the improvement or addition of infrastructure that encourages mode-shift by enhancing public transit and rail access
- Other capital project costs required as a condition of local approval for the capital project, as approved by the State
- Such costs are typically associated with 1) program creation, or 2) expansion of existing programs to serve new populations or offer new program service and implementation. Eligible costs may include operational costs. Programs include education, outreach and training for Active Transportation or Transit Ridership
- Expenditures that directly enhance or expand transit service by supporting new or expanded bus or rail services, new or expanded water-borne transit, or expanded intermodal transit facilities, and may include equipment acquisition, fueling, and maintenance, and other costs to operate those services or facilities
- Operational expenditures that increase transit mode share
- Expenditures related to the purchase of zero-emission buses, including electric buses, and the installation of the necessary equipment and infrastructure to operate and support zero emission buses
### Table B-3: Transit Access and Mobility Strategy

**Ineligible Costs:**
- All costs associated with automobile or motorcycle parking (excluding electric vehicle charging infrastructure that may be located at a parking spot).
- Right-of-way

**Readiness Requirements**
- Agreements with key partners that will be responsible for implementing the project (e.g., Partnership Agreement with rail operators)
- Documentation of the project’s coordination with other transit services and plans
- Documentation that demonstrates the project’s ability to increase ridership
- Letters of support from:
  - Project partners
  - Regional agency or agencies
  - An MPO indication of whether or not the project is consistent with an adopted Sustainable Communities Strategy, or in non-MPO regions, a regional plan to reduce greenhouse gas emissions

### 3.3. Car Sharing and Mobility Enhancement

<table>
<thead>
<tr>
<th>Eligible Categories</th>
<th>TCC Fundable Elements</th>
</tr>
</thead>
<tbody>
<tr>
<td><strong>Purchase or lease of advanced vehicle technology types to be used for car sharing, vanpooling, ride-sharing and other mobility options</strong></td>
<td>Advanced technologies may include but are not limited to:</td>
</tr>
<tr>
<td></td>
<td>• Plug-in hybrid electric vehicles*</td>
</tr>
<tr>
<td></td>
<td>• Battery electric vehicles*</td>
</tr>
<tr>
<td></td>
<td>• Fuel cell electric vehicles*</td>
</tr>
<tr>
<td></td>
<td>• Purchase, construction, and/or installation of infrastructure, equipment, or facilities to support advanced technology vehicles</td>
</tr>
<tr>
<td></td>
<td>• Electric vehicle supply equipment (EVSE) – Level 2 or Level 3</td>
</tr>
<tr>
<td></td>
<td>• Electric bicycles – Class 1 or Class 2</td>
</tr>
<tr>
<td></td>
<td>• Education about the car scrap and replacement incentives program for new or used hybrid, plug-in hybrid, or zero-emission vehicle (ZEV) replacement</td>
</tr>
</tbody>
</table>

**Lead or Co-applicants must include at least one of the following:**
- Local Governments
- Non-Profit Organizations
- Federally recognized Indian tribes
- For profit companies that specialize in car-sharing and mobility enhancement projects

**Project Costs**

**Eligible Costs include, but are not limited to:**

- Project Equipment and Operations Funds: Details from the application will be included once an applicant is selected; details will depend on the proposed car sharing project model. Project fund expenditures that are eligible for reimbursement include:
  - Preparation of materials for and conduct of community outreach and education including travel, printing, mailing, education classes, and other expenses directly attributed to outreach and education
  - Vehicle acquisition (purchase or lease) costs
### Table B-3: Transit Access and Mobility Strategy

- May be purchased or leased (2-year minimum lease period)
- May be new or used
- Must be a four passenger vehicle or more

- EVSE (electric vehicle supply equipment) purchase and installation costs
- Vehicle, EVSE, and electric bicycle maintenance costs
- Electric bicycle purchase costs
- Electric bicycle locking station purchase and installation costs
- Helmets for electric bicycle sharing participants
- Bicycle safety course costs
- Vehicle, driver, passenger, and facilities insurance costs
- Electric bicycle, rider, and facilities insurance costs
- Reservation system development and on-going maintenance costs

**Ineligible Costs:**
- Fuel and electricity costs

**Additional Readiness Requirements**

None
### Table B-4: Solar Installation and Energy Efficiency

<table>
<thead>
<tr>
<th>Eligible Categories</th>
<th>TCC Fundable Elements</th>
</tr>
</thead>
</table>
| Installation of Energy Efficiency Measures and Solar Photovoltaic Systems (GHG Quantification Methodology for Single Family homes is different than Multi Family homes) | - Low flow faucets*  
- Low flow showerheads*  
- LED lighting*  
- LED night lights*  
- Tier 2 power strips*  
- Thermostatic shower valve and showerhead*  
- Vacancy/motion sensor*  
- Ceiling fans*  
- Ceiling insulation/insulation upgrades*  
- HVAC system replacement*  
- Duct repair/replacement*  
- Efficient fan controller *  
- Electronically commutated blower motor*  
- Floor insulation*  
- Infiltration reduction measures*  
- Refrigerant charge w/coil cleaning*  
- Refrigerator replacement*  
- Smart thermostat*  
- Solar water heating*  
- Solar PV*  
- Wall insulation, stucco and wood*  
- Water heater blanket*  
- Water heater replacement*  
- Whole house fan*  
- Window replacement*  |
| Urban Heat Island Mitigation | - Cool pavements (sidewalk and road resurfacing)  
- Cool roofs |

**Lead or Co-applicants must include at least one of the following:**
- Local agencies  
- Non-profit organizations  
- Joint Powers Authorities  

**Project Costs**

**Eligible Costs include, but are not limited to the following:**

*Installation of Energy Efficiency Measures and Solar Photovoltaic Systems*
- Direct costs: Costs associated with the installation such as including labor, materials and subcontractor costs.  
- Support Costs (e.g. site assessment, project management, training and technical assistance needs).

*Urban Heat Island Mitigation*
- Direct Project Costs: Costs associated with the installation including labor, materials, and subcontractor costs.  
- Support Costs (e.g. site assessment, project management).

**Ineligible Costs:**
- Roofing repair costs.

**Additional Readiness Requirements**

*Installation of Energy Efficiency Measures and Solar Photovoltaic Systems*
- Lead or Co-applicant must demonstrate three (3) years of experience administering and performing energy efficiency and solar PV installations in existing housing.
Table B-4: Solar Installation and Energy Efficiency

- Lead or Co-applicant must be in good standing with all appropriate local and state oversight and licensing authorities.
- Member of the project team shall maintain an active Class B, General Contractor License, issued by the California Contractors License Board throughout the life of the contract.

Special Requirements

### Household Income Eligibility

<table>
<thead>
<tr>
<th>Single Family Properties</th>
<th>Multi-Family Properties</th>
</tr>
</thead>
<tbody>
<tr>
<td>All households in the Project Area qualify for a basic package of measures.</td>
<td>Participants must demonstrate that at least sixty-six percent (66%) of the dwelling units in a building are occupied by households with incomes at or below eighty percent (80%) of the county’s Area Median Income (AMI), or eighty percent (80%) of the State Median Income (SMI), whichever is higher.</td>
</tr>
<tr>
<td>For enhanced measures, household income eligibility is set at or below eighty percent (80%) of the county’s Area Median Income (AMI), or eighty percent (80%) of the State Median Income (SMI), whichever is higher.</td>
<td>Income verification is required for enhanced measures.</td>
</tr>
<tr>
<td>Income verification is required for enhanced measures.</td>
<td>Participants must demonstrate that at least sixty-six percent (66%) of the dwelling units in a building are occupied by households with incomes at or below eighty percent (80%) of the county’s AMI, or eighty percent (80%) of the SMI, whichever is higher.</td>
</tr>
</tbody>
</table>

Single-family property owners certify they shall not raise the rent of any weatherized unit for a period of two (2) years from the date of weatherization because of the increased value of the unit due solely to weatherization measures provided (allowable factors for rent increase include an actual increase in property taxes, actual cost of amortizing other improvements to the property accomplished after the date of work completed by the Contractor/Agency, or actual increases in expenses of maintaining and operating this property). They also must acknowledge and agree that the property is not for sale at the time of qualifying for the program and will not be offered for sale or otherwise distributed or is not in foreclosure for at least sixty (60) days following the completion of weatherization services.

For multi-family properties, deed restricted and/or subsidized properties must provide regulatory agreements with a government agency showing compliance with the income eligibility requirements. If there is less than ten (10) years remaining on the term of this regulatory agreement, the participant will agree to sign an Affordability Covenant provided by the Program stating that they will continue to meet income eligibility requirements to equal ten (10) total years. For market rate properties the participant agrees not to evict or commence any eviction proceeding against any tenant(s) of any qualifying dwelling unit in the building, except for cause and subject to all legal requirements and procedures for any such eviction and/or proceeding. This restriction is in force for a period of not less than ten (10) years. The owner also agrees that the rents for the qualified low-income dwelling units shall not be increased because of the energy efficiency upgrades and major capital improvements.
### Table B-5: Water Efficiency Strategy

<table>
<thead>
<tr>
<th>Eligible Categories</th>
<th>TCC Fundable Elements</th>
</tr>
</thead>
</table>
| **Replacement of inefficient appliances with high-efficiency models** | • Commercial Dishwasher*  
• Residential Dishwasher*  
• Commercial Clothes Washer*  
• Residential Clothes Washer (single- and multi-family)*  
• Commercial Ice Machine*  
• Commercial Steam Cooker*  
• Commercial Combination Oven*  
• Equipment that uses single-pass cooling including ice machines and air conditioning units |
| **Replacement of inefficient fixtures with high-efficiency models** | • Faucets*  
• Showerheads*  
• Toilets and urinals  
• Commercial pre-rinse spray valves* |
| **Holistic water efficiency upgrades** | • Water audits for multi-family housing  
• Sub-metering for multi-family housing  
• Leak detection and repair at single family and multi-family housing  
• Optimization, repair, and/or replacement of inefficient cooling towers  
• Installation, retrofit, or replacement to achieve efficient irrigation in public and private green spaces such as single family and multifamily homes (drip irrigation, efficient sprinkler spray bodies, smart controllers, moisture sensors, etc.)  
• Application of compost, and/or mulch to reduce the need for watering, and retain soil moisture  
• Replacement of lawn with a water-wise landscape and/or edible gardens, and efficient irrigation system  
• Installation of low impact development (LID) for storm water management  
• Installation of rainwater and or storm water capture systems, including treatment and use for landscape irrigation, or toilet, and urinal flushing  
• Installation of onsite graywater systems, including capture, treatment and reuse for landscape irrigation, or toilet and urinal flushing |

**Lead or Co-applicants must include at least one of the following:**

- Local agencies  
- Joint Powers Authorities  
- Public schools, universities and colleges (UC, CSU, CA community colleges)  
- Nonprofit organizations  
- Community-based organizations  
- Community development corporations  
- Tribal governments

**Project Costs**

**Eligible Costs include, but are not limited to the following:**

- Direct costs associated with the purchase, installation or replacement of indoor and outdoor water efficiency measures including labor, materials and/or subcontractor costs  
- Direct costs associated with auditing, leak detection and repair
### Table B-5: Water Efficiency Strategy

- Engineering, design, permitting, installation of onsite non-potable water reuse systems and Low Impact Development to reduce runoff and increase infiltration
- Must be certified EnergyStar, or equivalent, as applicable

**Ineligible Costs:**
- Operations and maintenance costs

**Additional Readiness Requirements**

None
Table B-6: Recycling and Waste Management

Strategy 6.1. Organics Waste Reduction

<table>
<thead>
<tr>
<th>Eligible Categories</th>
<th>TCC Fundable Elements</th>
</tr>
</thead>
</table>
| Composting of organics\(^{16}\)     | • Construction, renovation or expansion of compost, anaerobic digestion, or preprocessing of organics (not as standalone project) compost or anaerobic digestion facilities and machinery that turn green or food materials into compost and/or energy products*  
• Purchase of associated equipment, machinery and site improvements  
• Residential or commercial compost or anaerobic digestion equipment or programs  
• Community-scale composting programs |

Lead or Co-applicants must include at least one of the following:

- Local governments
- Private, for-profit entities
- Solid waste service providers
- Operators of composting or anaerobic digestion facilities or other facilities
- Regional or local sanitation agencies, waste agencies, or Joint Powers Authorities State agencies
- UC, CSU or other public universities and colleges
- Nonprofit organizations (except private schools)
- Federally recognized Indian tribes

Project Costs

Eligible Costs include, but are not limited to the following:

- All costs associated with implementation of the Project, with the exception of those listed below.

Ineligible Costs:

- The purchase or retrofitting of vehicles or containers for collection of feedstock when not associated with a food waste prevention component
- Collection/delivery/purchase of feedstock (i.e. food waste, green waste, or alternative daily cover)
- Food dehydrators and liquefiers unless coupled with increased tons of Project Area generated food materials diverted from landfills and composted or digested
- Purchase or lease of land or buildings
- Purchases of offsets or allowances.

Additional Readiness Requirements

- Feedstock Certification
- Material Flow Charts (and supporting documentation)

Permits:

Applicants must provide a report on when the following permits will be completed, as applicable:

- Solid Waste Facilities Permit
- Water Permit
- Conditional Use Permit
- Air Quality Permit
- Licenses and Filings

\(^{16}\) Quantifiable elements in this section should demonstrate that materials generated in the Project Area are being diverted from landfills.
### Table B-6: Recycling and Waste Management

#### Strategy 5.2. Recycling Program

<table>
<thead>
<tr>
<th>Eligible Categories</th>
<th>TCC Fundable Elements</th>
</tr>
</thead>
</table>
| **Manufacturing value-added finished products using recycled fiber, plastic, and glass**<sup>17</sup> | • Construction, renovation or expansion of facilities for recycled-content fiber, plastic, or glass or for the manufacture of value-added products*  
• Purchase of equipment and machinery  
• Real estate improvements associated with construction, renovation, or expansion  
• Stand-alone recycling education programs  
• Residential or commercial recycling collection equipment or programs |
| **Non-traditional recyclables** | • Reuse and repair programs for non-traditional recyclables (appliances, electronics, etc) |

**Lead or Co-applicants must include at least one of the following:**

- Local governments
- Private, for-profit entities
- Solid waste service providers
- Operators of composting or anaerobic digestion facilities or other facilities
- Regional or local sanitation agencies, waste agencies, or Joint Powers Authorities State agencies
- UC, CSU or other public universities and colleges
- Nonprofit organizations (except private schools)
- Federally recognized Indian tribes

**Project Costs**

**Eligible Costs include, but are not limited to the following:**

All costs associated with implementation of the project, with the exception of those listed below.

**Ineligible Costs:**

- The purchase or retrofitting of vehicles or containers for collection of feedstock
- Purchase or lease of land or buildings
- Purchase of recycled fiber, plastic or glass feedstock
- Purchases of offsets or allowances
- Costs associated with projects that use pyrolysis, gasification or other thermal conversion technologies to create products

**Additional Readiness Requirements**

- Feedstock Certification
- Material Flow Charts (and supporting documentation)

**Permits:**

Applicants must report on when the following permits will be completed, as applicable:

- Solid Waste Facilities Permit
- Water Permit
- Conditional Use Permit
- Air Quality Permit
- Licenses and Filings

---

<sup>17</sup> Quantifiable elements in this section should demonstrate that materials generated in the Project Area are being diverted from landfills.
### Table B-6: Recycling and Waste Management

#### Project 6.3. Food Waste Prevention and Rescue Program

<table>
<thead>
<tr>
<th>Eligible Categories</th>
<th>TCC Fundable Elements</th>
</tr>
</thead>
</table>
| Food waste prevention via food rescue\(^{18}\) | - New or expanded food rescue projects that result in food being distributed to people, with residuals being sent to composting or digestion when available in project area*  
- Stand-alone food waste prevention, rescue, and recycling education programs |
| Other | - Food waste prevention via source reduction* |

**Lead or Co-applicants must include at least one of the following:**

- Local governments
- Private, for-profit entities
- Solid waste service providers
- Operators of composting or anaerobic digestion facilities or other facilities
- Regional or local sanitation agencies, waste agencies, or Joint Powers Authorities State agencies
- UC, CSU or other public universities and colleges
- Nonprofit organizations (except private schools)
- Federally recognized Indian tribes

#### Project Costs

**Eligible Costs include, but are not limited to:**

- Refrigerators, freezers, and refrigeration systems
- Transportation such as refrigerated trucks
- Storage and collection infrastructure such as food crates or bins
- Food preparation and cooking items such as ovens, ranges, etc.
- Salaries
- Software costs (food waste online exchange and source reduction platforms)

**Ineligible Costs:**

- Food waste dehydrators and liquefiers
- Purchase or lease of land or buildings
- Purchase of feedstock (food)

#### Additional Readiness Requirements

- Certification of Food Amount Available
- Material Flow Charts (and supporting documentation)

---

\(^{18}\) Quantifiable elements in this section should demonstrate that materials generated in the Project Area are being diverted from landfills.
### Table B-7: Urban Greening and Green Infrastructure

<table>
<thead>
<tr>
<th>Eligible Categories</th>
<th>TCC Fundable Elements</th>
</tr>
</thead>
<tbody>
<tr>
<td>Planting of trees in sites that are strategically selected to shade buildings (i.e., planted within 60 feet of an air conditioned building)</td>
<td>• Urban tree planting*</td>
</tr>
<tr>
<td></td>
<td>o Tree and plant establishment care</td>
</tr>
<tr>
<td></td>
<td>o Planting site preparation</td>
</tr>
<tr>
<td></td>
<td>• Vegetation planting</td>
</tr>
<tr>
<td></td>
<td>• Urban heat island mitigation by tree shading</td>
</tr>
<tr>
<td>Planting of trees in sites that do not shade buildings</td>
<td>• Enhancement and/or expansion of neighborhood park and community space (must include tree planting component)*</td>
</tr>
<tr>
<td></td>
<td>• Planting trees in public lands and structures, which may include incorporation of riparian habitat for water capture and provide for other public and wildlife benefits*</td>
</tr>
<tr>
<td></td>
<td>• Tree inventory, and/or urban forest mapping and analysis, and/or long term management plan (must include tree planting component)*</td>
</tr>
<tr>
<td>Green infrastructure</td>
<td>• Multi-objective storm water projects, including construction of permeable surfaces and collection basins and barriers through low impact development (LID) strategies</td>
</tr>
<tr>
<td></td>
<td>• Innovative urban forest site improvement to create larger, more functional planting sites for trees, such as bio-swales, urban forestry education centers, edible landscaping and/or community gardens and orchards</td>
</tr>
</tbody>
</table>

**Lead or Co-applicants must include at least one of the following:**

- Public Agency
- Nonprofit organization
- Joint Powers Authority
- Special District
- Qualifying Districts (include, but are not limited to, school, park, recreation, water, and local taxing districts)

**Project Costs**

**Eligible Costs include, but are not limited to the following:**

- Signs and interpretive aids, including exhibits, kiosks, display boards or signs about the project and funding acknowledgement
- Costs associated with the implementation of the project
- Land purchase for developing new parks and urban forest area
- Tree establishment and maintenance cost during the grant term

**Ineligible Costs:**

- Projects not in accordance with CAL FIRE standard and the Urban Forestry Act
- Decorative tree grates and decorative tree guards
- Tree removal
- Inefficient irrigation valves, pumps, sprinkler control timers, or overly costly and elaborate irrigation systems
- Urban wood and biomass projects may not remove trees solely for the purpose of utilization
- Root barriers
### Table B-7: Urban Greening and Green Infrastructure

- Invasive species
- Palm trees
- Trees that:
  - Rely on excessive amounts of water to survive
  - Rely on synthetic fertilizer to survive
  - Are inappropriate for the site selected or require excessive maintenance
  - Will conflict with overhead or underground utilities or ground-located infrastructure

### Additional Readiness Requirements

- Detailed Tree and Plant Species List approved by a certified expert (e.g. certified arborist, landscape architect)
- Grantees must consult with their Regional Urban Forester before beginning work.
### Table B-8: Land Conservation

<table>
<thead>
<tr>
<th>Eligible Categories</th>
<th>TCC Fundable Elements</th>
</tr>
</thead>
<tbody>
<tr>
<td><strong>Strategy and Outcome Projects</strong></td>
<td>• Establish an Agricultural Land Mitigation Program*</td>
</tr>
<tr>
<td></td>
<td>• Establish an Agricultural Conservation Easement Purchasing Program*</td>
</tr>
<tr>
<td></td>
<td>• Adopt Urban Limit Line or Urban Growth Boundary*</td>
</tr>
<tr>
<td></td>
<td>• Increase Zoning Minimums for Designated Strategic Agricultural Areas*</td>
</tr>
<tr>
<td></td>
<td>• Adopt an Agricultural Greenbelt and Implementation Agreement*</td>
</tr>
<tr>
<td><strong>Agricultural Conservation Easement Projects</strong></td>
<td>• Agricultural conservation easements*</td>
</tr>
</tbody>
</table>

**Lead or Co-applicants must include at least one of the following:**

**Strategy and Outcome Projects:**
- Cities
- Counties
- Collaborators may include agricultural organizations, land trusts, open space districts, or other partners

**Agricultural and Conservation Easement Projects:**
- All potential applicants must have conservation of agriculture, rangeland, or farmland among their stated purposes, as prescribed by statute, or as expressed in the entity's locally adopted policies
  - Cities
  - Counties
  - Non-profit organizations
  - Regional park or open space districts or authorities.
  - Resource Conservation Districts

### Project Costs

**Eligible Costs include, but are not limited to the following:**

**Strategy and Outcome Projects:**
- Direct costs, including fully-burdened staff costs, incurred during the performance period specified in the Grant Agreement and related to the Project.

**Agricultural and Conservation Easement Projects:**
- Easement purchase price. In no situation shall the ACE purchase price be greater than the appraised fair market value of the agricultural conservation easement.
- Reasonable costs associated with the easement acquisition, payment of which is subject to State review:
  - Fully-burdened applicant staff time for easement negotiations, title work, or project mapping
  - Technical and legal consulting
  - Appraisal\(^{19}\)
  - Preliminary title report
  - Baseline conditions report
  - Escrow fees
  - Title insurance fees

\(^{19}\) Appraisal cost can be incurred prior to the application; however, only the appraisal approved by DGS and used to justify the acquisition invoice will be reimbursed.
Table B-8: Land Conservation

- Surveys\(^{20}\)
- Environmental site assessments\(^{8}\)
- Mineral remoteness evaluation(s)\(^{8}\)

### Additional Readiness Requirements

**Strategy and Outcome Projects only:**

- City or County is willing to implement one of the five strategies

**Strategy and Outcome and Agricultural Conservation Easement Projects:**

- Applicants must demonstrate that agricultural lands are at risk of conversion for purposes of the CARB 2017-2018 Quantification Methodology using one of these options:
  - Residential Risk: Valid options to demonstrate risk of conversion for which residential zoning can be used to calculate the number of extinguished development rights:
    - Agricultural land identified for development as evidenced by inclusion in a development proposal submitted to the local government, undergoing environmental review, or publicly available from controlling interests within the past 5 years;
    - Agricultural land identified for potential rezoning to non-agricultural use by a jurisdiction as evidenced by a revised zoning proposal or land use plan, or undergoing environmental review, within the past 5 years;
    - Agricultural land within a city's Sphere of Influence or municipal service boundary and, if applicable, within the city’s urban growth boundary according to the city’s general plan;
    - Agricultural land within a proposed expanded city boundary (annexation), Sphere of Influence, municipal service boundary, or specific plan;
    - Agricultural land within two miles of a city’s Sphere of Influence or municipal service boundary, or within two miles of an unincorporated area which is zoned for or contains residential development where the average lot size is two acres or less.
  - Rural Residential Risk: Valid options to demonstrate risk of conversion for which rural residential zoning can be used to calculate the number of extinguished development rights:
    - Agricultural land that is determined to be in conformance with the Subdivision Map Act based on county-issued Certificates of Compliance;
    - Agricultural land up to five miles from land developed or zoned for rural residential use (one to ten acres) in the county General Plan;
    - Agricultural land within five miles of other agricultural land sold or advertised as rural home sites, rural recreational sites, or other development as evidenced through comparable sales, multiple listing services, or similar property sales tools within the last five years.
    - Risk of subdivision to current zoning minimums: Valid options to demonstrate risk of conversion for which the current level of agricultural zoning can be used to calculate the number of extinguished development rights.
      - Agricultural land located within two miles of attraction(s) such as a casino, resort, golf course, public recreation area, school or university; within two miles of a major highway intersection\(^{4}\); or

\(^{20}\) Justification of this expense must be provided in the application in order for this cost to be considered for approval.
Table B-8: Land Conservation

- within two miles of a planned road expansion project that increases vehicle capacity (e.g., additional lanes).
  - Proposal must support the implementation of a Sustainable Communities Strategy or regional plan that includes policies and programs to reduce greenhouse gas emissions.

*Agricultural Conservation Easement Projects only:*

- Acceptance of all Conditions of Funding
- Match funding secured or identified
- Plan to address title concerns in place
- Project structure and reserved rights identified
### Table B-9: Health and Well-Being

<table>
<thead>
<tr>
<th>Eligible Categories</th>
<th>TCC Fundable Elements</th>
</tr>
</thead>
<tbody>
<tr>
<td><strong>Food Access</strong></td>
<td>• Community gardens(^{21})</td>
</tr>
<tr>
<td></td>
<td>• School gardens</td>
</tr>
<tr>
<td></td>
<td>• Community kitchen</td>
</tr>
<tr>
<td></td>
<td>• Food hubs to serve the project area population</td>
</tr>
<tr>
<td></td>
<td>• Agricultural and healthy food education opportunities for children and adults</td>
</tr>
<tr>
<td><strong>Park, Open Space, and Recreation Access</strong></td>
<td>• Increase access to parks and green space through capital improvements projects or programs</td>
</tr>
<tr>
<td></td>
<td>• Playground or park exercise equipment</td>
</tr>
<tr>
<td></td>
<td>• Small recreational facilities (picnic areas, bathrooms)</td>
</tr>
</tbody>
</table>

**Lead or Co-applicants must include at least one of the following:**

- City or county
- Local health department
- Other public agency, including public schools or school districts
- Locally operating health system, hospital, clinic, health plan Nonprofit organizations with expertise in health
- UC, CSU, or other public universities and colleges
- Federally recognized Indian tribes

### Project Costs

**Eligible Costs include, but are not limited to the following:**

- Direct project costs, including staff and benefits
- Support costs for training, technical assistance, marketing, outreach
- Support costs for community engagement and participation
- Land purchase for establishing small scale community gardens

**Ineligible Costs:**

- Operational and maintenance costs

### Additional Readiness Requirements

None

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\(^{21}\) Community gardens must have fruit trees to be quantifiable.
APPENDIX C – TRANSFORMATIVE ELEMENTS

This appendix describes eligible, example, and recommended activities for Transformative Elements. It also includes eligible and ineligible costs and some reference resources.

Table C-1: Community Engagement

<table>
<thead>
<tr>
<th>Activities to Inform Community Stakeholders and to Solicit Stakeholder Input</th>
<th>Activities to Engage Community Stakeholders in Development of TCC Proposal</th>
<th>Activities to Ensure Community Engagement During Implementation of TCC Project</th>
</tr>
</thead>
</table>
| - Public workshops/meetings  
- Door-to-door canvassing  
- House meetings  
- Established website and/or social media  
- Distributed flyers or other printed materials  
- Outreach to existing community groups  
- Surveys  
- Focus Groups | - Design charrettes  
- Community-based participatory research  
- Participatory budgeting\(^{22}\)  
- Convene advisory body or shared decision-making body  
- Establish website and/or social media  
- Community benefits agreements  
- Additional activities to ensure community stakeholders have an opportunity to influence the TCC Proposal development | - Public workshops/meetings  
- Door-to-door canvassing  
- House meetings  
- Established website and/or social media  
- Surveys  
- Focus groups  
- Sub-contract with community-based organizations to conduct outreach  
- Allocate staff positions focused on community engagement  
- Advisory body or shared decision-making body  
- Additional activities to provide community stakeholders an opportunity to influence the TCC Proposal development  
- Maintain community engagement throughout the TCC Implementation Plan |

\(^{22}\) See Appendix A for the definition of Participatory Budgeting.
### Table C-1: Community Engagement

#### 3.2 Eligible Costs and Requirements

<table>
<thead>
<tr>
<th>Eligible Costs</th>
<th>Ineligible Costs</th>
</tr>
</thead>
<tbody>
<tr>
<td>Eligible Costs include, but are not limited to the following:</td>
<td>Ineligible Costs:</td>
</tr>
<tr>
<td>• Preparation of outreach materials including printings and mailings</td>
<td>• Childcare related costs</td>
</tr>
<tr>
<td>• Staff time dedicated for community outreach and education</td>
<td>• Food and refreshments</td>
</tr>
<tr>
<td>• Translation for meetings or written materials</td>
<td>• Participant incentives, such as door prizes</td>
</tr>
<tr>
<td>• Educational events and training programs that develop public awareness of the TCC Projects</td>
<td>• General Meetings that do not specifically discuss or advance implementation of the TCC Project</td>
</tr>
</tbody>
</table>

#### Additional Requirements

TCC funds must be used to support community engagement and outreach activities that meet all of the following criteria:

- Activity is directly related to the implementation of the TCC-funded Project
- Activity is located within the defined TCC Project Area
- Activity is focused on engaging community stakeholders located or involved within the defined TCC Project Area
Table C-2: Workforce Development And Opportunities

### Eligible Activities

- Workforce development and training programs must meet **all** of the following criteria:
  - Train participants for jobs and skills that are transferable
  - Result in recognized credentials (e.g., certifications, certificates, degrees, license, other documentation of competency and qualifications) to support long-term, stable employment and career development
  - **Focus on high-quality employment** (e.g., local living wages, benefits, opportunities for advancement, geographic accessibility, predictable scheduling, working conditions, job retention)
  - Recruit trainees from Project Area residents
- Training programs
- Recruitment and outreach
- Job placement
- High-quality job creation

### Example Activities

- Pre-apprenticeship programs that utilize industry standard developed curriculum and are tied to certified apprenticeships
- Training programs that lead to occupations and industries that support the TCC Project implementation
- Training programs that reduce barriers for and reflect the range of employment readiness needs of local residents with employment barriers
- Partnerships with local workforce development boards and other key stakeholders that ensure the training will lead to industry-recognized credentials and labor market advancement
- Targeted recruitment strategies, consistent with federal and state law, to direct training opportunities to residents and/or businesses within the TCC Project Area (e.g., Community Benefits Agreements, labor agreements or community workforce provisions, contract provisions)

### Lead or Co-applicants Requirements

Organizations leading the workforce development and training programs should have:

- Demonstrated track record of providing training with sufficiently high rates of completion, post-training job placement utilizing existing formalized pathways or partnerships with potential employers or industries, and job retention
- Previous experience in programs of a similar size and scope as proposed in the workforce development and opportunities plan

### Eligible Costs

**Eligible Costs** include, but are not limited to the following:

- Instructor salaries, wages, and stipends
- Trainee salaries up to 50% of the wages including six (6) months of benefits or no more than 1040 hours, and stipends
Table C-2: Workforce Development And Opportunities

- Cost of tools, materials, or equipment necessary to perform training
- Support costs for outreach and recruitment
- Rental costs for facilities required to perform training. (Applicants are encouraged to seek access to free or low-cost facilities through partnerships with community facilities where possible.)
- Public transit subsidies for low-income, disabled, or other participants with accessibility or transportation challenges

Ineligible Costs:

- Programs that do not include clear career pathways for residents of the Project Area or committed partnerships for high-quality job placement
- Programs that provide workforce readiness skills (i.e. “soft skills” training) but are not directly linked to employment credentials or pathways
- Work-appropriate clothing or attire (other than essential equipment and safety wear)
- Childcare related costs
- Food and refreshments
3.1 Example Policies to Avoid the Displacement of Very Low and Low-Income Households

<table>
<thead>
<tr>
<th>Category</th>
<th>Policy</th>
</tr>
</thead>
<tbody>
<tr>
<td>**Production of Affordable Housing (Pro-</td>
<td>• Incentives for inclusionary zoning*</td>
</tr>
<tr>
<td>housing policies)**</td>
<td>• Density bonus ordinance*</td>
</tr>
<tr>
<td></td>
<td>• Community land trusts</td>
</tr>
<tr>
<td></td>
<td>• Fee on new commercial or residential development that is dedicated</td>
</tr>
<tr>
<td></td>
<td>to affordable housing</td>
</tr>
<tr>
<td></td>
<td>• Land banking programs</td>
</tr>
<tr>
<td></td>
<td>• Development of new accessory dwelling units</td>
</tr>
<tr>
<td></td>
<td>• Neighborhood preference legislation that gives existing residents</td>
</tr>
<tr>
<td></td>
<td>within a certain circumference preference for newly built</td>
</tr>
<tr>
<td></td>
<td>affordable units*</td>
</tr>
<tr>
<td></td>
<td>• Dedication of a certain percentage of a housing bond to building</td>
</tr>
<tr>
<td></td>
<td>housing in the TCC Project Area</td>
</tr>
<tr>
<td></td>
<td>• Site acquisition and fee deferrals to develop 100% affordable</td>
</tr>
<tr>
<td></td>
<td>housing*</td>
</tr>
<tr>
<td></td>
<td>• Production of family-sized rental and ownership affordable units</td>
</tr>
<tr>
<td></td>
<td>• Allow affordable housing on a limited number of underutilized</td>
</tr>
<tr>
<td></td>
<td>Production, Distribution and Repair (PDR) parcels with a ground</td>
</tr>
<tr>
<td></td>
<td>floor requirements for PDR*</td>
</tr>
<tr>
<td></td>
<td>• Housing bond to fund affordable unit development</td>
</tr>
<tr>
<td><strong>Preservation of Affordable Housing</strong></td>
<td>• Rent control, stabilization ordinances, and rent review boards*</td>
</tr>
<tr>
<td></td>
<td>• No-net loss of affordable housing units / net gain of affordable</td>
</tr>
<tr>
<td></td>
<td>units*</td>
</tr>
<tr>
<td></td>
<td>• Preservation of existing affordable housing in the Project Area</td>
</tr>
<tr>
<td></td>
<td>through the one-for-one redevelopment of distressed public</td>
</tr>
<tr>
<td></td>
<td>housing; right-to-return policies for existing residents in good</td>
</tr>
<tr>
<td></td>
<td>standing in redeveloped public housing; and commitment not to</td>
</tr>
<tr>
<td></td>
<td>raise rents above pre-redevelopment levels for existing residents</td>
</tr>
<tr>
<td></td>
<td>in redeveloped buildings*</td>
</tr>
<tr>
<td></td>
<td>• Policies to preserve single-room occupancy and/or mobile home</td>
</tr>
<tr>
<td></td>
<td>parks and to allow current residents in good standing to remain or</td>
</tr>
<tr>
<td></td>
<td>return in the case of redevelopment*</td>
</tr>
<tr>
<td></td>
<td>• Condominium conversion restrictions*</td>
</tr>
<tr>
<td></td>
<td>• Demonstration of application to local, state, and federal programs</td>
</tr>
<tr>
<td></td>
<td>to fund preservation of affordable housing</td>
</tr>
<tr>
<td></td>
<td>• Preservation of affordable housing via acquisition and rehabilitation</td>
</tr>
<tr>
<td></td>
<td>programs*</td>
</tr>
<tr>
<td></td>
<td>• Covenants to maintain affordability in perpetuity</td>
</tr>
<tr>
<td></td>
<td>• Community land trusts</td>
</tr>
<tr>
<td></td>
<td>• Restrictions on short-term rentals*</td>
</tr>
<tr>
<td></td>
<td>• Restrictions on non-primary residences*</td>
</tr>
</tbody>
</table>
### Tenant Protections and Support

- Tenant anti-harassment policies
- Right-to-return policies for existing households
- Source of income non-discrimination*
- ‘Just Cause’ eviction policies
- Limiting of low-fault evictions*
- Culturally appropriate tenant rights education
- Funding for tenant organizing
- Tenant legal services and right to council in eviction proceedings

### Tenant Protections and Support

- Limiting tenant evictions from affordable housing*
- Maximize acceptance of rental subsidies*
- Review of occupancy requirements to create greater flexibility for tenants*
- Identify opportunities to master lease privately owned and managed SROs*
- Increase supportive services to tenants living in SROs that are not managed or master leased by the City or non-profits
- Identify opportunities to acquire privately owned and managed SRO buildings
- Improve code enforcement in SROs*
- Implement guidelines to prioritize moving families from SROs into affordable housing units*
- Tenant’s first right to purchase legislation*
- Preserve rent-control units when major rehabilitation occurs*
- Where applicable, assessing enforcement of nuisance policies and modifying as needed to ensure vulnerable populations are not being negatively impacted.
- Create an emergency housing response action plan for instances when code enforcement deem the properties uninhabitable

### Neighborhood Stabilization and Wealth Building

- Asset building opportunities for low-income residents
- Contracting with local/small/diversely-owned businesses
- Development and promotion of micro-lending opportunities
- Development of worker cooperatives
- Non-speculative homeownership opportunities

**Note:** *Indicates policies that require local municipal participation to implement*
### C-3 Displacement Avoidance

#### 3.2 Example Policies to Avoid the Displacement of Local and Small Businesses

<table>
<thead>
<tr>
<th>Category</th>
<th>Policy</th>
</tr>
</thead>
</table>
| Protections for Small Businesses | • Implementation of an overlay zone designed to protect and assist local and small businesses*  
• Creation and maintenance of a small business alliance  
• Increased visibility of the jurisdiction's small business assistance programs  
• Formal programs to ensure that some fraction of a jurisdiction's good and services come from local and small businesses*  
• Development of no-cost and low-cost business development and retention programs with established local, state and federal partners such as the California Small Business Development Center Network, Women’s Business Centers, Procurement Technical Assistance Centers and others  
• Support for ownership of space by small, locally owned businesses  
• Enforce existing regulations to retain and protect production, distribution, repair (PDR) space  
• Advocate for commercial rent control |
| Business Stabilization and Wealth Building | • Development of layoff aversion and business continuity programs during construction or other business interruption events  
• Development of no-cost and low-cost business development consulting and training programs targeting small and micro-enterprises in partnership with local, state and federal technical assistance partners  
• Contract with local/small/diversely-owned businesses  
• Encouragement and assistance to ensure businesses are community serving  
• Increase commercial space and promote community serving uses in new developments  
• Support alternative business models including coops  
• Non-profit stabilization programs and rental subsidy programs that prevent the displacement of non-profits from a neighborhood* |

*Note: * Indicates policies that require municipal participation to implement
### C-3 Displacement Avoidance

#### 3.3 Displacement Avoidance Eligible Costs and Requirements

<table>
<thead>
<tr>
<th><strong>Eligible Costs</strong></th>
</tr>
</thead>
<tbody>
<tr>
<td><strong>Eligible Costs include, but are not limited to the following:</strong></td>
</tr>
<tr>
<td>• Direct costs for implementing additional or new policies and programs</td>
</tr>
<tr>
<td>• Salaries, wages, and stipends of nonprofit or consultant staff dedicated to the displacement avoidance plan</td>
</tr>
<tr>
<td>• Preparation of outreach and education materials</td>
</tr>
<tr>
<td>• Translation for meetings or written materials</td>
</tr>
<tr>
<td>• Rental costs for facilities required to perform training. (Applicants are encouraged to seek access to free or low-cost facilities through partnerships with community facilities where possible.)</td>
</tr>
<tr>
<td>• Public transit subsidies for low-income, disabled, or other participants with accessibility or transportation challenges</td>
</tr>
</tbody>
</table>

<table>
<thead>
<tr>
<th><strong>Ineligible Costs:</strong></th>
</tr>
</thead>
<tbody>
<tr>
<td>• Costs for implementing existing policies, plans, ordinances, or programs (e.g., local government staff salaries, supplies, meetings, etc.)</td>
</tr>
<tr>
<td>• Childcare related costs</td>
</tr>
<tr>
<td>• Food and refreshments</td>
</tr>
<tr>
<td>• Participant incentives, such as door prizes</td>
</tr>
</tbody>
</table>

<table>
<thead>
<tr>
<th><strong>Additional Requirements</strong></th>
</tr>
</thead>
<tbody>
<tr>
<td>TCC funds must be used to support displacement avoidance activities that meet all of the following criteria:</td>
</tr>
<tr>
<td>• Activity is focused on implementing additional or new policies and programs</td>
</tr>
<tr>
<td>• Activity is directly addressing the displacement vulnerabilities of the TCC Project Area and the potential impacts of implementing the TCC-funded Project</td>
</tr>
<tr>
<td>• Activity is located within the defined TCC Project Area</td>
</tr>
<tr>
<td>• Activity is focused on engaging existing residents and small businesses located or involved within the defined TCC Project Area</td>
</tr>
</tbody>
</table>
### Table C-4: Climate Adaptation and Resiliency

#### Risk Assessment and Adaptation Measures

Applicants must describe how the TCC investment and leverage funded projects will increase resiliency of the Project Area to the anticipated impacts from climate change. This includes describing:

- Climate change risks and exposures within the Project Area, such as additional days of extreme heat or precipitation, flooding, sea level rise, and drought.
- Anticipated impacts of climate change risks and exposures on the community, including vulnerable populations.
- Anticipated impacts of climate change risks and exposures on the built environment.

Based on the risks and anticipated impacts, Applicants will use this information to describe the processes they will use to identify and prioritize adaptation measures to:

- Address climate change-related impacts and exposures for vulnerable populations; and
- Increase resiliency and functionality of proposed infrastructure projects.

#### Resources

Identify the climate change risks and exposures within the Project Area, such as additional days of extreme heat or precipitation, flooding, sea level rise, and drought. This information may be obtained using tools listed below:

- Cal-Adapt.org, an online platform created by the California Energy Commission,
- Using the results of a local or regional vulnerability assessment that includes the Project Area, or
- Any other locally developed, down-scaled projection model such as projection models developed by consultants or community-based organizations.

Describe the impact of climate change risks and exposures on the community, including vulnerable populations. This information may be obtained using:

- Climate Change and Health Profile Reports, created by the California Department of Public Health, which describe the impact of climate risks and exposures for vulnerable populations for each county,
- Climate Change and Health Vulnerability Indicators for California (CCHVI) developed by the CalBRACE Project,
- Healthy Places Index (HPI), and
- Regional Opportunity Index (ROI) developed by the UC Davis Center for Regional Change.

#### Eligible Costs

Climate resiliency and adaptation must be integrated into the Projects, Transformative Elements, and Vision. No specific costs are set aside for this Transformative Element.
### Table C-5: Leverage Funding

#### Eligible uses and Tracking

- Leverage funding must be committed at the time Applicants submit their Applications.
- Leverage funding must be clearly integrated into the budget of a grant funded Project or Transformative plan.
- Leverage funding must clearly support the implementation of the Strategies selected to achieve the TCC Program Objectives.
- Leverage funding must be spent within the TCC Project Area.
- Expenditure of leverage funding will only count towards the fifty percent (50%) threshold if it occurs after the grant has been awarded by Strategic Growth Council and before the end of the grant term.

#### Eligible Sources

Eligible sources for leverage may include, but are not limited to:

- federal funding sources;
- state funding sources;
- private capital;
- foundation grants;
- low-income housing tax credit equity contributions and tax-exempt bonds in connection with four percent (4%) low-income housing tax credits;
- funds from regional or local tax measures, bonds, property assessments and fee revenue committed to public infrastructure related to Projects included in the TCC Proposal, and located within the designated Project Area;
- funds for transportation projects that are programmed for allocation and expenditure in the applicable capital improvement plan consistent with the terms and timeframes of the contract agreement.

In-kind goods and services may be accepted as eligible sources of leverage if they are adequately defined and documented. They will be subject to review by the State during review of the Application.

#### Additional Readiness Requirements

Applicants will report on the expenditure of leverage funding on annual basis.

Expenditures for entirely non-grant funded projects (previously referred to as “Leverage projects” in Rounds I and II of the TCC Program) will not be tracked under this grant and will not count towards the fifty percent (50%) threshold.

Instead, Applicants may describe these complementary investments to the Project Area as part of their application materials. Grantees will be expected to submit a written commitment that the leverage-only projects will be completed by the end of the TCC grant term and define the financial sources that are committed at the time of application. Implementation of these additional projects must be reported at the end of the grant term.
APPENDIX D – PRO-HOUSING POLICIES

Per Section II.F of the Guidelines, the TCC program will incentivize applications from jurisdictions that have adopted pro-housing policies that would facilitate sustainable housing production. The list below defines policies that qualify as pro-housing:

- Financial incentives for housing, such as local housing trust funds
- Adopt a nondiscretionary local approval process for multifamily and mixed use or a housing sustainability district
- Zone additional higher density sites than required to accommodate 150% or lower income regional housing needs allocation.
- Develop objective design review standards to facilitate non-discretionary permitting
- Reassess fees to adhere to best practices such as reductions, deferrals, proportionate impact fees (e.g. reduced fees for ADUs, transit oriented and infill development, special needs housing), and transparency measures including publicly available fee calculators
## APPENDIX E – GHG QM ESTIMATES BY PROJECT ELEMENTS

The table below illustrates a sample of estimated greenhouse gas (GHG) reduction benefits for different Strategies and quantifiable elements. Applicants can use this information when developing their proposals.

<table>
<thead>
<tr>
<th>Sample GHG reduction estimates by Strategy and Quantifiable Element</th>
<th>Estimated Reductions [MTCO2]</th>
<th>CARB Quantification Methodology</th>
</tr>
</thead>
<tbody>
<tr>
<td><strong>Applicable Round III Strategy</strong></td>
<td></td>
<td></td>
</tr>
<tr>
<td>3.2 – Transit and Rail Access</td>
<td></td>
<td></td>
</tr>
<tr>
<td>▪ Purchase 10 electric buses</td>
<td>41,208</td>
<td>Transit and Intercity Rail Capital Program</td>
</tr>
<tr>
<td>▪ 100 monthly transit passes for Project Area residents</td>
<td></td>
<td></td>
</tr>
<tr>
<td>4 – Decarbonized Energy and Energy Efficiency</td>
<td></td>
<td></td>
</tr>
<tr>
<td>▪ Install solar photovoltaic systems on 170 rooftops</td>
<td>5,178</td>
<td>Low-Income Weatherization Program – Single Family</td>
</tr>
<tr>
<td>1 – Equitable Housing and Neighborhood Development</td>
<td></td>
<td></td>
</tr>
<tr>
<td>▪ Construction of 100 affordable housing units plus new bike lanes and sidewalk infrastructure</td>
<td>4,834</td>
<td>Affordable Housing and Sustainable Communities Program</td>
</tr>
<tr>
<td>4 – Decarbonized Energy and Energy Efficiency</td>
<td></td>
<td></td>
</tr>
<tr>
<td>▪ Install 0.9 MW solar photovoltaic system on a multifamily rooftop</td>
<td>1,917</td>
<td>Low-Income Weatherization Program – Large Multi-Family</td>
</tr>
<tr>
<td>7 – Urban Greening and Green Infrastructure</td>
<td></td>
<td></td>
</tr>
<tr>
<td>▪ Plant 1,600 trees for carbon sequestration</td>
<td>1,606</td>
<td>Urban and Community Forestry Program</td>
</tr>
<tr>
<td>▪ Plant 3,900 trees for building shade and carbon sequestration</td>
<td></td>
<td></td>
</tr>
<tr>
<td>3.3 – Car Sharing and Mobility Enhancement</td>
<td></td>
<td></td>
</tr>
<tr>
<td>▪ Create a 58-vehicle car sharing fleet</td>
<td>787</td>
<td>Car Sharing and Mobility Options in Disadvantaged Communities Pilot Project</td>
</tr>
</tbody>
</table>
APPENDIX F – POST AWARD CONSULTATION PROCESS

All selected Applicants will be required to participate in a Post-award Consultation phase prior to finalizing the grant agreement that outlines the grant terms. During this Post-award Consultation phase, the State will assist the selected Applicant and Co-applicants to refine the Grant Agreement and all accompanying attachments to comply with administrative, statutory, and TCC Program requirements. TCC Program Staff will carefully review budgets and work plans and remove ineligible costs or activities. The Post-award Consultation phase will also allow for the incorporation of recommended improvements from State specialists and/or staff reports. Following the project-level review, TCC Program Staff will convert materials from the application into a scope or work, timeline and budget for the Grant Agreement.

The following steps will be taken during the Post-award Consultation phase:

1. **Development of the Grant Agreement Template**
   - TCC Program Staff will send the grant agreement template to the grantee
   - Grantees will send any questions related to the general terms and project specific terms to SGC
   - TCC Program Staff will respond to questions and will make any required amendments to the Grant Agreement template

2. **TCC Proposal Review**
   - TCC Program Staff will review the proposal based on consistency with the TCC Guidelines, Grant Agreement, application reviewer feedback, and program staff feedback. TCC Program Staff will provide a review package with a request for additional information, documents and/or revisions to:
     - Funded Projects
     - Leverage Projects
     - Transformative Plans
     - Memorandum of Understanding
   - TCC Program Staff will schedule an in-person meeting to go over requested information with the Grantee and Partners and address any questions
   - Grantee and Partners will send additional information and documents to TCC Program Staff
   - TCC Program Staff will review the submitted information and documents then finalize the scope of work, timeline and budget to be inserted into the final Grant Agreement
3. **Final Grant Agreement**
   - Grantee and Partners will review the final scope of work, timeline and budget
   - TCC Program Staff will send the final Grant Agreement package to the Grantee for the grant execution
     - Grantees should notify SGC if they need any additional resolution or council/board review prior to executing the agreement
     - Grantee should provide the timeline for finalizing the Memorandum of Understanding and/or any pass-through agreements with Partners

**Policies Governing Post-award Consultation Phase**

The following policies govern TCC Program Staff in finalizing the grant agreement during the Post-award Consultation phase as described in Section II.H of the 2018-2019 TCC Program Guidelines.

All changes to proposed projects and transformative plans from the awarded application – including changes to proposed scopes, activities, and associated budgets – would be reviewed by TCC Program Staff and SGC legal counsel for consistency with the relevant TCC Program Guidelines, grant agreement, and these policies.

1. **Transformative Plan Compliance**

If any of the Transformative Plans are found to be not in compliance with the TCC Program Guidelines and Grant Agreement:

1) TCC Program Staff will send a memo outlining the area of improvement along with timeline and approval process to the Grantee.

2) TCC Program Staff will identify any activities or budget line items that are not eligible. The item should be eliminated from the revised scope of work and budget. The associated cost can be used for allowable activities and budget items.

3) Any budget transfer between the Transformative Plans or from Transformative Plans to Projects require written approval of the TCC Program Manager.

4) Any changes in the Transformative Plan budgets that result in exceeding the maximum allowable cap under that Transformative Plan would require written approval of SGC Executive Director.

Failure to update the Transformative Plans to conform to the TCC Guidelines and Grant Agreement will result in pausing the Post-Award Consultation phase. TCC Program Staff are required to report to the Council and get direction for the next steps.
2. **Project Compliance**

If any of the Projects are found to be not in compliance with the TCC Guidelines and Grant Agreement, TCC Program Staff will:

1) Communicate in writing the reasons why the project is not eligible, and the area of changes required to fit under the same Strategy. Changes to the project scope that would result in changes in categories below should be approved by the TCC Program Manager:
   - Quantity of deliverables (example: number of solar panels or trees)
   - GHG emission reductions
   - Beneficiary of the Project
   - Co-benefit

Changes that impact the threshold requirements or competitiveness of the entire project would require Council Approval.

2) If the Project that is not in compliance with the TCC Guidelines and the Grant Agreement can’t accommodate changes proposed by TCC Program Staff, then:

   Option 1): Staff may suggest to move the project to a new Strategy that is a better fit for the initial proposed scope of work. Moving the project to new Strategy would require written approval of the TCC Program Manager.

   Option 2): If both Strategy and Project Scope of work needs to change, this would be considered a new project. In this case, the previous project will be eliminated. Request for a new Project to re-use the funds should be submitted to SGC. This will be reviewed on a case by case basis. If staff approves the new Project, it will require Council approval.

3. **Transformative Plan and Project Modifications**

If any of the Transformative Plans or Projects are in compliance with the TCC Guidelines and Grant Agreement, but include budget line items or activities not eligible per TCC Guidelines or Grant Agreement then:

1) Ineligible project costs must unconditionally be eliminated from the proposed scope of work for TCC funding. SGC cannot provide grant funds for ineligible costs.

2) Ineligible project costs may be reallocated to other, eligible costs within the *same originally-proposed project*, up to the total amount of the original budget request for that project, upon written approval of TCC program staff.

3) Reallocated budget items within the same project must be for project costs under the *same Strategy* as the originally-proposed project.

4) The budget for the ineligible costs in one project may be transferred to other projects, upon written approval of the TCC Program Manager.
5) Upon written consent of the Grantee, Project Lead, and SGC Executive Director, eligible project costs associated with any project may be reduced or eliminated prior to signing the Grant Agreement. The foregoing notwithstanding, no project may be eliminated that is needed to remain eligible for TCC funding per the relevant TCC Program Guidelines.
APPENDIX G – PUBLICITY GUIDELINES

BRANDING

TCC Grant Recipients are required to use SGC and CCI names and/or logos for all publications, websites, signage, invitations, and other media-related and public-outreach products related to the TCC grant. Guidance on logo usage, signage, and logo files contained in the Style Guide are available at: www.caclimateinvestments.ca.gov/logo-graphics-request.

All such materials must include the following standard language about the TCC Program and the California Climate Investments:

The Transformative Climate Communities (TCC) Program funds community-led development and infrastructure projects that achieve major environmental, health and economic benefits in California’s most disadvantaged communities. TCC empowers the communities most impacted by pollution to choose their own goals, strategies and projects to enact transformational change – all with data-driven milestones and measurable outcomes. This program is administered by Strategic Growth Council (SGC) which coordinates the activities of State agencies and partners with stakeholders to promote sustainability, economic prosperity, and quality of life for all Californians.

The TCC Program is part of California Climate Investments, a statewide program that puts billions of Cap and Trade dollars to work reducing GHG emissions, strengthening the economy, and improving public health and the environment – particularly in disadvantaged communities. The Cap-and-Trade program also creates a financial incentive for industries to invest in clean technologies and develop innovative ways to reduce pollution. California Climate Investments projects include affordable housing, renewable energy, public transportation, zero-emission vehicles, environmental restoration, more sustainable agriculture, recycling, and much more. At least 35 percent of these investments are located within and benefiting residents of disadvantaged communities, low-income communities, and low-income households across California. For more information, visit the California Climate Investments website at: www.caclimateinvestments.ca.gov.

MEDIA

TCC Grant Recipients are required to identify a point of contact for all press inquiries and communications needs related to the project and provide the name, phone number and email address of this individual to SGC. Grantees must also distribute a press release after grant decisions are made at SGC’s Public Council Meeting and are encouraged to do so for other major milestones throughout the lifecycle of the grant. All press releases must be approved by SGC Communications Office prior to
distribution and SGC must be alerted and invited to participate in any and all press conferences related to the grant.

**COMMUNICATIONS MATERIALS**

TCC Grant Recipients are required to prepare one or more 2-4 page documents that provide a summary of the grant components and tell the story of the TCC proposal development process and/or implementation. These materials will be displayed on SGC website.

**SOCIAL MEDIA**

TCC Applicants and Grantees are encouraged to use social media to share the process of creating a TCC proposal and to inform the public of all stages of implementation. @CalSGC and @CAClimateInvest should be tagged on all posts related to the TCC grant. Use of the hashtags #TCC and #CommunityLedTransformation is also encouraged.
APPENDIX H – PAST PROGRAM AWARDS

IMPLEMENTATION GRANTS

Two (2) rounds of Implementation Grants have been awarded. For more information about previous awardees or progress on previous grants, please contact Strategic Growth Council.

- **Round I – $133 million total**
  - City of Fresno $66.50 million
  - City of Ontario $33.25 million
  - HACLA (Watts) $33.25 million

- **Round II – $46 million total**
  - Community Partners (Pacoima) $23 million
  - SHRA (Twin Rivers) $23 million
PLANNING GRANTS

Two (2) rounds of Planning Grants have been awarded. Rounds I and II of the Planning Grants were funded through Proposition 84. For more information about previous awardees or progress on previous grants, please contact SGC.

- **Round I – $1.6 million total**
  - Ten (10) locations, $170,000 each*
    (*With the exception of the City of Moreno Valley, which received a grant of $93,960)
- **Round II – $1 million total**
  - Five (5) locations, $200,000 each
APPENDIX I – SAMPLE GRANT AGREEMENT (ROUND II TCC PROGRAM AWARDS)

This section will be included in the Final version of the TCC Guidelines