



CALIFORNIA
STRATEGIC
GROWTH
COUNCIL



California
Department of
Conservation
Land Resource Protection

Memorandum

DATE: March 8, 2023 [Updated: March 16, 2023]
TO: Applicants for Round 5 of the Transformative Climate Communities (TCC) Program
FROM: TCC Program Staff
RE: Instructions for the TCC Program Round 5 Implementation Grant Application

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

Application Process Overview

For Round 5 of the TCC Program, applicants will begin by submitting an [Application Initiation Form](#) that will be used to help determine the eligibility of applicants for the TCC Program. Following confirmation of program eligibility, applicants will begin preparing the Grant Application. Grant Applications will consist of information affirming that the applicant has met TCC Program Thresholds, narrative questionnaires for each Transformative Plan and Project, and workbooks presenting preliminary project budgets and schedules for each Transformative Plan and Project. Technical Assistance will be provided to applicants throughout this process. Further information related to deadlines, application materials, and application instructions is provided below.

Deadlines

There are three critical deadlines for Implementation Grant Applications.

1. To be considered for awards, Applicants must fill out an [Application Initiation Form](#) to indicate their interest in applying for a TCC Implementation Grant by **Friday, March 31, 2023**. The form will be available on the TCC Resources page under “Current Application Materials” at <https://sgc.ca.gov/programs/tcc/resources/application.html>.
2. Implementation Grant Pre-Proposals must be submitted by **5:00 p.m. PST on Monday, May 1, 2023**.
3. Final Applications must be submitted no later than **5:00 p.m. PST on Tuesday, August 1, 2023**. No late applications or application revisions will be accepted after the deadline.

Submittal

After receiving the form responses, TCC Program staff will provide Applicants with a link to a TCC SharePoint folder where the application materials can be accessed and uploaded once they are completed. Application materials will also be posted to the TCC website. TCC Program staff will also connect all Implementation Grant Applicants to the SGC-selected technical assistance provider to assist with the completion of application materials. No hard copies, facsimiles, electronic transmissions via

email, hand-delivered copies, or any other method of submitting complete applications will be accepted, however if Applicants are unable to access an online application via TCC SharePoint folder, please contact SGC for assistance. If Applicants experience any ADA accessibility issues with application materials, please contact SGC for assistance.

Application Review

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

Instruction Sections

- A. Application File Structure and Naming Conventions
- B. Threshold Uploads
- C. Workbooks
- D. Application Checklist

A. Application File Structure and Naming Conventions

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

Main Folder of the Implementation Grant Application:

Save the *Summary Workbook*, *General Narrative Questions*, and *Grantee Workbook* in the main folder using the following naming convention:

[Applicant Name]_[File Name]

1. **Pre-Proposal:** Use the following naming convention for all files submitted for the Pre-Proposal:

- a. [Applicant Name]_[File Name] OR
- b. [Applicant Name]_[File Name]_1 of [total # of documents]

2. **Threshold Uploads:** Separate folders are included for each threshold file type. Instructions for completing the threshold uploads are in Section B of this document. Use the following naming convention for all files:

- a. [Applicant Name]_[File Name] OR
- b. [Applicant Name]_[File Name]_1 of [total # of documents]

3. **Transformative Plans:** Each of the four (4) sub-folders contains templates for the Narrative Plans/Questions and Workbooks, with the exception of the Climate Adaptation and Resilience Plan (CARP). Questions related to the CARP have been integrated into the General Narrative Questions template. The CARP folder may be used to submit relevant supporting documentation. Complete the templates and upload required supporting documentation to each Transformative Plan folder, using the following naming convention:

- a. [Applicant Name]_[Transformative Plans Acronym*]_[File Name]

i. **Transformative Plans Acronyms:*

- 1. *CARP – Climate Adaptation and Resiliency Plan*
- 2. *CEP – Community Engagement Plan*
- 3. *DAP – Displacement Avoidance Plan*
- 4. *WDEOP – Workforce Development and Economic Opportunities Plan*

4. **Projects:** Within the “Projects” folder, project materials are organized by “Strategy” or “Leverage”. **Do not relabel** the Strategy or Leverage folders.

a. *Create Project Folders*

- i. Applicants may save multiple projects under each Strategy or Leverage folder by creating individual project folders. Use the following naming convention for individual project folders:

- 1. [Project Number**]_[Project Name]
- 2. ***Project numbers and names must match the Summary Workbook.*

b. Complete Project Templates

- i. Each Strategy folder includes templates for Workbooks and Questions. Complete the templates and rename the files using the following naming convention:
 1. [Project Number]_[Project Name***]_[File Name] OR
 2. [Project Number]_[Project Name ***]_[File Name]_1 of [total # of documents]
- ii. ****If a project name is long, consider an abbreviated name to reduce length of the file pathway. For example, "Forest Hill Community Park Renovation" could be referred to as "Forest Hill" in the file names.*

c. Upload Supporting Documentation

- i. Each Strategy folder also includes "Readiness Documentation" and "Quantification Documentation" folders. **Do not rename** these folders.
 1. The "Readiness Documentation" folder should be used for all readiness documents described in the project Questions (e.g., CEQA, site control, permits, maps, design files, etc.). Name all readiness documents using the naming convention above.
 2. The "Quantification Documentation" folder should be used for all supporting documentation used to quantify greenhouse gas emissions reductions in coordination with the third-party technical assistance provider (only applies to quantifiable projects). Name all quantification documents using the naming convention above.

B. Threshold Uploads

Applicants must upload the documents described below to demonstrate that they meet all TCC Program Thresholds. If an Applicant is unable to meet the Program Thresholds, their Proposal will not proceed to the next step of the review process. Some of the below documents will also be reviewed under the relevant scoring criteria. Refer to *Section 9.6 Program Thresholds and Scoring Criteria* (pages 68-73) of the Round 5 TCC Guidelines. These requirements are also outlined under *Section 5. Implementation Grants, Section 6. Eligibility, Section 7. Program Policy Priorities, Section 8. Grant Activities, and Section 9. Application.*

1 - Applicant Eligibility

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

Applicants must submit:

- a. **Adopted Resolution:** If the Lead Applicant is a public agency, they must include an adopted resolution that includes an authorization to apply for and accept a TCC Implementation Grant if selected for an award, including the authority to execute all related documents.
- b. **Letter of Commitment:** If the public agency is a Co-Applicant, then the Applicant must provide a letter of commitment from the public agency, describing their commitment to supporting the completion of the implementation grant.

2 - Collaborative Stakeholder Structure (CSS)

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

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

Stakeholder Structure. The Partnership Agreement should additionally outline measures that will be taken to protect the confidentiality of Tribal Data and Traditional Ecological Knowledge collected or shared as part of grant activities.

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

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

3 - Project Area

Applicants must provide a map that demonstrates the Project Area meets the eligibility requirements described in *6.4 Project Area Eligibility* of the TCC Guidelines. Use the TCC Mapping Tool¹ to view CalEnviroScreen, eligible unincorporated and tribal areas, and AB 1550 census tract designations and download data.

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

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

¹ TCC Mapping Tool – <http://oehha.maps.arcgis.com/apps/webappviewer/index.html?id=ba698dc09c824da1b1ab3d0dd7f5bd54>

4 – 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 6.3 Applicant Capacity*. Applicants must submit:

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

5 – Management Capacity

The Lead and Co-Applicants must demonstrate their ability to successfully oversee, manage, and implement large infrastructure projects, such as transportation, affordable housing, and green infrastructure projects. See *Section 6.3 Applicant Capacity*. Applicants must submit:

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

6 – Leverage Funding Verification

Documentation must be provided to verify the commitment of each leverage funding source.

Documentation must be in the form of a letter or an adopted resolution from the entity providing funds.

- a. **Leverage Funding Documentation:** Each funding source documentation must describe:
 - a. The amount of funding committed at application;
 - b. The start and end date for funding;
 - c. Whether funds are contingent on the TCC grant award; and
 - d. What the funds will be used for:
 - i. A grant-funded project(s) and/or plan(s); or
 - ii. A stand-alone leverage-funded project in the TCC Project Area.

Note that existing stand-alone investments (i.e., on-going investments that were not initiated in anticipation of or contingent upon a TCC award) will not count towards the 50 percent (50%) leverage requirement and will not require any kind of funding documentation.

See *Section 8.5 Transformative Elements* and *Appendix C-5: Leverage Funding* of the TCC Guidelines for additional clarification. In addition, all information provided in the documentation should match the "Leverage Funding Sources" tab in the Summary Workbook (see "Section D. Application Workbooks" below for additional instructions).

7 – Program Policy Priorities

Applicants must demonstrate consistency with the program policy priorities, and applicants can receive additional incentive points for pro-housing and air pollution reduction and mitigation policies. See *Section 7. Program Policy Priorities*.

Consistency with Existing Local Land Use and Transportation Plans: Applicants must provide a letter from the local jurisdiction's Planning and Public Works Department, or equivalent, to verify that the Proposal is consistent with land use designations, building intensity and density requirements, as well as all applicable goals, policies and programs, such as climate action or adaptation plans and local growth or conservation planning elements.

- a. **Access to Basic Infrastructure, Regional Services and Job Centers:** Applicants must demonstrate that residents in the proposed TCC Project Area have existing access or have developed plans and secured support/funding to implement basic environmental infrastructure and transit connectivity to regional services and jobs. The Guidelines includes additional resources for Applicants under *Appendix F: Basic Infrastructure Resources*. Applicants must submit the following items for this threshold:
 - a. Documentation of the Project Area's existing access to basic environmental infrastructure (water supply and wastewater services) and long-term operations and maintenance plans, or a developed plan to obtain and maintain basic infrastructure.
 - b. Documentation of existing transit connectivity to regional service hubs and major job centers, or a letter verifying the TCC Proposal will include affordable, clean transportation projects to provide connectivity.
- b. **High-Speed Rail (HSR):** Applicants from cities with planned HSR stations along the initial "Silicon Valley to Central Valley Line" must demonstrate that the TCC Project Area includes multi-modal connectivity and affordable and mixed-income housing connected and accessible to the HSR station area, in addition to support for community engagement on station area design and implementation.
 - a. **Project Area Map:** Demonstrate multi-modal connectivity to the HSR station area and the location of affordable and mixed-income housing connected and accessible to the HSR station area via active transportation and transit. The major street names should be labeled on the map. If transit routes are included, the frequency of buses (developed or proposed) should be labeled, color coded, or provided in a legend or description.
 - b. **Community Engagement Plan:** Demonstrate support for community engagement in the TCC Proposal on HSR station area design and implementation.
- c. **Pro-Housing Policies:** The TCC Program will provide additional points for applications from jurisdictions that have received the Prohousing Designation by the Department of Housing and Community Development or have adopted pro-housing policies that would facilitate sustainable housing production. Federally recognized tribal communities are exempt and will receive full points. More information and a list of policies that qualify as pro-housing policies are listed in Appendix D of the TCC Guidelines. Please provide sufficient documentation to demonstrate that all strategies, policies, or programs claimed are adopted and being implemented in the Applicant's jurisdiction. If possible, indicate where information about the policy or program can be found online.

- d. **Air Pollution Prevention and Mitigation Policies:** Applicants will receive points if the Project Area is located a jurisdiction that has demonstrated substantial progress towards preventing future and mitigating existing stationary sources of localized air pollution by adopting policies or programs that rectify environmental justice issues. Points may also be awarded to applications that will reduce or mitigate pollution through their proposed TCC funded strategies and projects. Applicant must provide each policy, including clear implementation actions and timelines, or dedicated activities related to the passage of such policies or programs. A list of qualifying Air Pollution Reduction and Mitigation policies are listed in *Appendix E* of the TCC Guidelines.

C. Workbooks

General Guidance for All Workbooks

- **Do not edit any shaded cells, headers, or cells that contain formulas.**
- Comments, instructions, and reminders are **highlighted in yellow.**
- Double check that all project numbers, project names, and Applicant information is correct across all workbooks.
- If Applicants experience any difficulty with workbook formatting, formulas, or functionality, they should contact the Application Technical Assistance Providers.
- Supporting documentation must be submitted if a budget includes:
 - Subcontractors over \$100,000
 - Equipment over \$5,000

Applicants are required to complete four (4) types of Excel workbooks throughout the application:

1. **Summary Workbook:** This workbook will be completed by the Lead Applicant. It must be consistent with all other workbooks submitted for the Projects, Transformative Plans, and Leverage Projects.
 - a. Use the Summary Budget tab to double check all the percent caps or thresholds for each cost category. The percent thresholds will automatically calculate.
 - b. The Leverage Funding Sources tab will catalog all funding sources that Applicants will count towards the 50% leverage threshold.
2. **Grantee Workbook:** This workbook will be completed by the Lead Applicant. It will lay out the Lead Applicant's grant administration costs using a work plan and budget.
3. **Project and Transformative Plan Workbooks:** These workbooks will be completed by the Lead Entity for each project or Transformative Plan. They include detailed work plans and budgets outlined by task and cost category.
 - a. Work Plans should have clear timelines, discrete tasks, and detailed deliverables.
 - b. Ensure that Budget line items clearly align with the tasks described in Work Plans.
 - c. Use the "Budget Narrative" in each Strategy and Transformative Plan Narrative Questions document to provide additional context for how TCC funds will be spent.
 - d. Cost Descriptions for personnel should clearly identify organizations and positions. For example:
 - i. "Organization X – Outreach Specialist"
 - ii. "Organization Y – Senior Project Manager"
 - e. Ensure Cost per Unit and Number of Units are provided for all cost types (supplies, staff hours and rates, estimated subcontracts, etc.) and are detailed as possible.
4. **Leverage Workbooks:** These workbooks will be completed by the Lead Entity for each stand-alone leverage project. They contain a single tab with a detailed work plan and high-level budget.

D. Application Checklist

Main Folder

- ☐ General Narrative Questions
- ☐ Summary Workbook
- ☐ Grantee Workbook

Threshold Uploads

- ☐ 1 - Applicant Eligibility
 - Formal Resolution *or* Letter of Commitment
- ☐ 2 - Collaborative Stakeholder Structure
 - Signed Partnership Agreement *or* Memorandum of Understanding
 - Organizational Chart or Diagram
- ☐ 3 - Project Area
 - Project Area Map
 - Project Area Boundary Files
 - Supporting Documentation for Disadvantaged Unincorporated Communities Designations *(if applicable)*
- ☐ 4 - Financial Capacity
 - Financial Audits for each Lead and Co-Applicant
 - Non-Profit Documentation
 - Audit Findings (past 5 years)
- ☐ 5 - Management Capacity
 - Annual reports, project close-out reports, or other similar documents
 - Reference Letters for each Lead and Co-Applicant
- ☐ 6 - Leverage Funding Verification
 - Leverage Funding Documentation
- ☐ 7 - Program Policy Priorities
 - Letter from Local Jurisdiction's Planning and Public Works Department
 - Documentation of Access to Basic Infrastructure
 - Documentation of Regional Connectivity
 - High-Speed Rail Project Area Map & Community Engagement Plan *(if applicable)*
 - Pro-Housing Policies *(if applicable)*
 - Air Pollution Prevention and Mitigation Policies *(if applicable)*

Transformative Plans (required for all Plans except Climate Adaptation and Resilience)

- ☐ Narrative Plan Questions
- ☐ Plan Workbook
- ☐ Supporting Documentation

Projects

- ☐ Project Narrative Questions
- ☐ Project Workbook
- ☐ Readiness Documentation
- ☐ Quantification Documentation *(only required for quantifiable projects)*

Leverage Projects

- ☐ Leverage Questions

- ☐ Leverage Workbook

Final Submission in SharePoint

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

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