Community Resilience Centers (CRC) Program

Round 1 DRAFT Program Guidelines
FY 2022-2023

CALIFORNIA STRATEGIC GROWTH COUNCIL

December 7, 2022

Program information can be accessed at:
https://sgc.ca.gov/programs/community-resilience-centers/
To sign up to receive notices, updates, and information regarding the Community Resilience Centers Program (and other Strategic Growth Council (SGC) grant programs and initiatives), visit the SGC website and click on the "E-list" link at:
http://sgc.ca.gov/.

TABLE OF CONTENTS

SECTION I: INTRODUCTION

A. BACKGROUND

Recent and ongoing climate events and public health emergencies impact every part of California and highlight resilience opportunities for planning, preparation, and adaptation. Such impacts encompass shorter-term events like earthquakes, extreme heat, floods, mudslides, power outages and disruptions, storms, and wildfires, in addition to longer-term events like the COVID pandemic, drought, rising temperatures, and sea level rise. Best available climate science projections anticipate that these climate impacts will worsen, expand, extend, and compound. In the face of these challenges, building and strengthening resilience requires investments in infrastructure, both physical and social. In addition to climate resilience activities, community resilience builds ongoing social cohesion, trust, and networks.

Due to historic redlining and cycles of underinvestment, communities across California face differential access to local resilience opportunities including clean energy and water infrastructure, emergency response services, and public health resources. Given California's range of geographies, biomes, diverse populations and needs, and existing infrastructure and investments, resilience will look different across the state. Robust, meaningful, culturally appropriate community engagement therefore must ensure local community priorities materialize into community-driven projects at every phase.[1] Community resilience centers build upon these key concepts to strengthen community resilience in neighborhoods across California.

As a Cabinet-level interagency organization housed within the California Governor's Office of Planning and Research, the California Strategic Growth Council (SGC) advances the State's key policy priorities through four main categories: investment programs, collaborative policy initiatives, integrated policy and planning, and capacity building and technical assistance. The newest of SGC's investment programs is the Community Resilience Centers (CRC) Program, which builds upon SGC's foundation and key community Partnerships, in alignment with California's Statewide Adaptation Strategy, Extreme Heat Action Plan, and other statewide efforts, to build local resilience across California communities.

B. BUDGET & LEGISLATIVE SUMMARY

The historic 2021-2022 State of California Climate Budget Package, which totaled over $15 billion to tackle wildfire and drought challenges, build more resilient communities, promote sustainable

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[1] Urban Sustainability Directors Network (USDN). 2018. *Resilience Hubs: Shifting Power to Communities and Increasing Community Capacity.* <https://www.usdn.org/uploads/cms/documents/usdn_resiliencehubs_2018.pdf>

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GROWTH COUNCIL

agriculture, and advance a nation-leading climate agenda, also allocated $100 million to SGC over two rounds for a new Community Resilience Centers (CRC) program.

Senate Bill (SB) 155 created SGC's CRC program with "funding...for the construction or retrofit of facilities to serve as community resilience centers that mitigate the public health impacts of extreme heat and other emergency situations exacerbated by climate change." Enabling statute names specific functions for resilience centers, including: hydration stations, cooling centers, clean air centers, respite centers, and community evacuation and emergency response centers. SB 155 also specifies the following conditions: funding physical infrastructure elements critical to emergency response facilities during climate or other disasters; funding to build long-term resilience; and funding CRCs for integrated delivery of services. The enabling legislation also states that CRCs should be led by Partnerships of various organization types, such as Tribal governments, academia, nonprofits, local government, or small businesses. Finally, SB 155 requires SGC to ensure community-based organizations (CBOs) and local residents participate in project governance and decision-making; and for SGC to conduct a public process for guidelines development to allow for transparency and stakeholder feedback.

With the signing of Assembly Bill (AB) 197, the Budget Act of 2022, SGC's CRC program received additional funds as part of a $315 million General Fund package implementing California's Extreme Heat Action Plan. This package bolstered CRC Round 1 funding from $25 million to $110 million, an $85 million increase; this package also bolstered CRC Round 2 funding from $75 million to $160 million, an additional $85 million increase.[2] In total, SGC's CRC program has $270 million allocated, including funds for program administration and staffing, technical assistance, and monitoring and evaluation.

The 2022-2023 Budget Change Proposal (BCP) "Addressing Extreme Heat" that informed this additional allocation of funds notes: "SGC funds will also support programs associated with building community level social infrastructure that could support better functioning resilience centers."[3] The BCP commits to funding "provision of services and programming that build the community infrastructure necessary to respond quickly and effectively in times of crisis" and provides a range of examples spanning food and resource distribution, information-sharing, and workforce development trainings and opportunities. The BCP also commits SGC to considering community-serving locations; prioritizing disadvantaged and low-income communities in both urban and rural areas; providing technical assistance for those priority communities; and providing both planning and implementation grants.

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[2] California Department of Finance. 2022. *California Budget 2022-2023.* p.7. <https://ebudget.ca.gov/2022-BudgetAddendum.pdf>

[3] California Department of Finance. 2022. *Budget Change Proposal: Addressing Extreme Heat.* p.2. <https://esd.dof.ca.gov/Documents/bcp/2223/FY2223_ORG0540_BCP6057.pdf>

CALIFORNIA STRATEGIC
GROWTH COUNCIL

Most recently, the signing of AB 211, a public resources trailer bill, codified language for the CRC program and authorized the new program to provide advanced payment.[4] AB 211 directs the CRC program to ensure Applicants demonstrate collaboration with community members; involvement with CBOs and residents in governance and decision-making; multi-stakeholder Partnerships; and accessible CRCs providing eligible services and amenities year-round to community residents. AB 211 also directs CRC staff to include the following in selecting CRC projects: prioritization of projects in and benefitting under-resourced communities; representation of statewide geographic diversity; and minimum number of years community resilience services must be provided. AB 211 provides detail on reporting requirements to the Legislature and authorizes SGC to provide advance payment for the CRC program.

C. PROGRAM SUMMARY

SGC's CRC program will fund new construction and upgrades of neighborhood-level resilience centers to provide shelter and resources during climate and other emergencies, such as extreme heat events and poor air quality days. The program will also fund ongoing year-round community services and programs, such as food distribution and workforce development training, that build overall community resilience. SGC will prioritize community-serving locations across the state, such as schools, libraries, community centers, health clinics, and places of worship. SGC's CRC program will fund both planning and implementation activities.

SGC received a $110 million General Fund appropriation in Fiscal Year (FY) 2022-2023 to implement the program through the provision of grants, staff support, and third-party technical assistance. Of the total funds, $100 million will be available for Round 1 grants: $95 million for implementation grants and $5 million for planning grants. Implementation grants will each range from $5 million to $10 million, and planning grants will each range from $200,000 to $500,000.

Please see Section III: Implementation Grants and Section IV: Planning Grants for further details.

D. APPLICATION TIMELINE & PROCESS

After reviewing public comment and public workshop input, staff will incorporate comments on the Round 1 Draft Guidelines before releasing Round 1 Final Guidelines. Currently, staff plan to present CRC Round 1 Final Guidelines to the SGC Council in April 2023. Following formal adoption of the Guidelines, staff will develop and release the CRC Notice of Funding Availability in late Spring 2023. Staff will then host public application workshops to provide additional information and resources to interested Applicants.

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[4] Assembly Bill 211 (2022). <https://leginfo.legislature.ca.gov/faces/billTextClient.xhtml?bill_id=202120220AB211>

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GROWTH COUNCIL

SGC plans to secure a third-party technical assistance (TA) provider to offer tailored support to Applicants and provide a two-phase Implementation Grant application process to reduce application burden and provide feedback sooner.

CALIFORNIA STRATEGIC
GROWTH COUNCIL

SECTION II: PROGRAM OVERVIEW

A. PROGRAM VISION

Vision for Racial Equity

SGC is committed to achieving racial equity in its operations, investments, and policy initiatives and to achieving its vision that: All people in California live in healthy, thriving, and resilient communities regardless of race.[5]

B. PROGRAM APPROACH

SGC's Community Resilience Centers (CRC) program intends to build both *climate resilience* and *community resilience* across California. The program will fund *physical infrastructure*, including retrofits and new construction of facilities and accompanying campus amenities, as well as *social infrastructure*, including integrated delivery of services and programs to share knowledge, build networks, and strengthen capacity. The CRC program will invest in community-serving facilities, expect community engagement throughout all phases, and require collaborative stakeholder structures to ensure local residents and community-based organizations (CBOs) are meaningfully and consistently included in governance and decision-making for awarded Community Resilience Centers.

CRC projects should balance shorter-term needs and longer-term needs, equip CRC Facilities with emergency activation capabilities and plans, and include year-round delivery of services and programs that build community resilience. CRCs should also prioritize the most vulnerable residents and communities in their decision-making, design, and implementation. SGC intends to fund a mix of CRC projects, ranging across: climate impacts; facility types and lead Applicants; and geographic diversity, spanning rural and urban communities, as well as incorporated and unincorporated communities.

C. CORE COMPONENTS

While a statewide program, the CRC program invests in neighborhood-scale projects across California. Therefore, each project must reflect priorities, needs, assets, and approaches from that local community. Specific features, methods, priorities, activities and costs, and Partnerships will vary depending on a specific neighborhood.

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[5] California Strategic Growth Council. 2021. *Updated Racial Equity Action Plan (2019- 2022)* § (2021). <https://sgc.ca.gov/programs/healthandequity/docs/20211110-REAP.pdf>

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GROWTH COUNCIL

The CRC model is intentionally flexible to account for the vast spectrum of communities across California. Core components, however, include the following:

- Multi-stakeholder Partnerships;
- Robust, meaningful, and culturally appropriate community engagement throughout all phases (design, application, implementation, and evaluation);
- Physical infrastructure investments to the CRC Facility (new construction and/or retrofits);
- CRC campus amenities, like transportation to the CRC and community gardens; and
- Social infrastructure investments in services and programs, to ensure ongoing year-round usage of the CRC and strengthening of local community resilience.

Equipped with these core components, community resilience centers can empower communities, respond to climate emergencies, and provide year-round services and programs to enhance both climate resilience and community resilience.

D. PRIORITY COMMUNITIES

Consistent with existing State guidance and robust stakeholder input, all communities are eligible to apply. In addition, SGC Staff will conduct targeted outreach to and prioritize projects located in and benefitting the following priority communities:

- Under-resourced communities[6], which include the following:
  - Census tracts identified as 'disadvantaged' by the California Environmental Protection Agency; **OR**
  - Census tracts with median household incomes at or below 80 percent (80%) of the statewide median income or with median household incomes at or below the threshold designated as low income by the Department of Housing and Community Development's list of state income limits adopted pursuant to Section 50093 of the California Health and Safety Code; **OR**
  - Census tracts with a median household income less than 80 percent (80%) of the statewide average;
- Tribal Lands[7] that meet the definition of an under-resourced community;

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[6] "Under-resourced community" means a community identified pursuant to Section 39711 of the Health and Safety Code, subdivision (d) of Section 39713 of the Health and Safety Code, or subdivision (g) of Section 75005.

[7] 'Tribal lands' has the same meaning as the term 'Indian country' in United States Code of Federal Regulations, title 18, section 1151, that states: "(a) all land within the limits of any Indian reservation under the jurisdiction of the United States Government, notwithstanding the issuance of any patent, and, including rights-of-way running through the reservation, (b) all dependent Indian communities within the borders of the United States whether within the original or subsequently acquired territory thereof, and whether within or without the limits of a state, and (c) all Indian allotments, the Indian titles to which have not been extinguished, including rights-of-way running through the same."

CALIFORNIA STRATEGIC
GROWTH COUNCIL

- Unincorporated communities that meet the definition of an under-resourced community; and
- Rural communities that meet the definition of an under-resourced community.

SGC intends to fund CRC planning and implementation project awards that build climate and community resilience while representing statewide geographic diversity, which is inclusive of rural and urban communities, incorporated and unincorporated areas, and a range of climate impacts.[8]

E. TRIBAL FUNDING TARGET

The CRC program intends to fund a minimum of two qualifying projects, where the Lead Applicant is a California Native American Tribe[9], an eligible entity having co-ownership with a California Native American Tribe, or an eligible entity established by a California Native American Tribe to undertake climate resilience projects. The funding target includes both CRC Planning and Implementation grants. This funding target is intended to prioritize a portion of CRC funding for California Native American Tribes, similar to a Tribal set-aside.

Unless stated otherwise, the Project must meet all CRC grant application requirements. If multiple California Native American Tribes apply for Projects, the Council will apply the scoring criteria from these Guidelines to rank the Projects such that the two top-ranked Projects will be awarded under the Council's Tribal funding target and the remaining Project(s) will compete with all other submitted applications.

To the extent applications received are not sufficient to meet eligibility requirements SGC reserves the right to waive this funding target.

F. COLLABORATIVE STAKEHOLDER STRUCTURE[10]

Building upon lessons learned from other SGC programs, the CRC program will require a Collaborative Stakeholder Structure, forming local diverse multi-stakeholder Partnerships to foster long-term investment in the community's vision for transformation. Collectively, the Collaborative Stakeholder Structure will provide support for public engagement, and drive decision-making throughout project implementation. The Collaborative Stakeholder Structure is designed to overcome challenges inherent in shared decision-making and to build robust local community governance over projects happening in residents' own neighborhoods.

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[8] AB 211 (2022). <https://leginfo.legislature.ca.gov/faces/billTextClient.xhtml?bill_id=202120220AB211>
[9] Native American Heritage Commission (NAHC). 2020. *NAHC Tribal Consultation Policy.* <https://nahc.ca.gov/wp-content/uploads/2020/09/Signed-NAHC-Tribal-Consultation-Policy.pdf>
[10] California Strategic Growth Council. 2022. *Regional Climate Collaboratives (RCC) Program: Round 1 Guidelines.* p.13. <https://sgc.ca.gov/meetings/council/2022/docs/20220428-Item6_AttatchmentA.pdf>

CALIFORNIA STRATEGIC
GROWTH COUNCIL

For further detail, please reference Section III: Implementation Grants and Section IV: Planning Grants, as these requirements differ.

CALIFORNIA STRATEGIC
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SECTION III: IMPLEMENTATION GRANTS

The following section describes the program objectives, eligibility requirements, key strategies, eligible and ineligible activities and costs, application process, and grant administration for CRC Implementation Grants.

A. CRC IMPLEMENTATION GRANT PROGRAM OBJECTIVES

At a high level, CRC Implementation Grants have the following objectives:

- Offer multi-benefit physical community-serving spaces, resilient to current and future climate hazards;
- Provide integrated delivery of essential services and programming to local communities during disasters, emergencies, and disruption events, as well as year-round to address ongoing community needs and build community cohesion;
- Integrate physical infrastructure projects with social infrastructure, through community-driven Partnerships and programming to increase climate resilience, expand economic opportunities, and reduce health, environmental, and social inequities across California;
- Leverage and build a skilled, diversified, and trained workforce and promote local workforce development and training opportunities, with a focus on preparing community members for high-quality career pathway jobs in a future net zero carbon economy that are resilient to current and future climate change impacts;[4] and to
- Build, strengthen, and sustain local leadership and grassroots engagement in civic and community development, and climate resilience awareness and activities.[5]

The CRC program intends to balance both shorter-term emergency response needs, as well as longer-term ongoing community needs and services. These lists provide real-world examples from stakeholder input:

Examples of Shorter-Term Emergency Response
- Heating
- Cooling
- Food distribution
- Personal Protective Equipment (PPE) distribution, COVID-19 testing & vaccinations
- Backup power, electricity, water, and broadband
- Emergency preparedness presentations and trainings

Examples of Ongoing Community Needs and Services
- Workforce development, education, and training opportunities
- Small business incubation
- Community garden

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- Community meetings and celebrations
- In-language programs and youth/senior services
- Service provision, such as healthcare services

B. ELIGIBILITY

The CRC Program will fund both new construction and retrofits of existing facilities, along with services and programs that build the social infrastructure necessary to respond quickly and effectively in times of crisis.

1. Eligible Facility Types

CRCs will serve as both resilience centers during specific climate or emergency events, as well as provide ongoing programming and community services. Therefore existing community-serving locations may include, but are not limited to, the following: schools, libraries, community centers, youth and/or senior centers, health clinics, places of worship, and foodbanks. Additional possibilities depending on local context include small business incubators, commercial kitchens, workforce development and training facilities, and cultural centers. Regardless of facility type, Applicants must demonstrate how that facility serves (or could serve) the local community both during emergency activations and year-round during non-emergencies.

Please note that by completion of the CRC Implementation Grant award term, CRC facilities must meet the CRC Facility Requirements noted in [Section III, F: Project Requirements](#).

2. Eligible Applicant Types

All applicants must be based in California and can include the following:

- California Native American Tribes[11]
- Coalitions or associations of nonprofit organizations [12]
- Community-based organizations, faith-based organizations, and non-government organizations (NGOs)
  - Such NGOs may include community-based organizations, and may be supported by fiscal sponsors. Such NGOs need not be 501(c)(3) organizations, but must be legal entities authorized and empowered to enter into agreements and hold funds.
- Community development finance institutions or community development corporations
- Emergency management, response, preparedness and recovery service providers and organizations

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[11] Native American Heritage Commission (NAHC). 2020. *NAHC Tribal Consultation Policy.* <https://nahc.ca.gov/wp-content/uploads/2020/09/Signed-NAHC-Tribal-Consultation-Policy.pdf>

[12] Assembly Bill 211 (2022). <https://leginfo.legislature.ca.gov/faces/billTextClient.xhtml?bill_id=202120220AB211>

CALIFORNIA STRATEGIC
GROWTH COUNCIL

- Philanthropic organizations and foundations, private or nonprofit
- Private sector and consultants
- Public entities, including:
    - California incorporated cities, whether or not chartered cities
    - California counties, including unincorporated communities
    - Local, regional public agencies, and districts at the county level including community-choice aggregators, special districts, joint powers authorities, councils of governments, and other forms of local government
- Small businesses

Requirements for Public Agencies

If the Lead *Applicant* is a public agency, they must provide evidence of a passed formal resolution in the CRC Proposal that includes an authorization to apply for and accept a CRC Implementation Grant, and authority to execute all related documents if awarded.[13] If the public agency is a Co-Applicant, then the Applicant must provide a letter of support from the public agency in the CRC Proposal.

Eligibility of State Entities

State entities, such as agencies, departments, commissions, offices, councils, and interstate compact entities, are prohibited from entering into grant agreements with SGC, and therefore may not apply as the Lead Applicant. However, State entities are eligible as Co-Applicants. The University of California and the California State University systems are exempt from this guidance and may apply as the Lead Applicant, where appropriate.

3. Collaborative Stakeholder Structure

Each CRC Implementation Grant application must include a Collaborative Stakeholder Structure. The intent of this structure is to formalize localized, place-based Partnerships to ensure consistent buy-in and support; shared values and governance; and alleviation of existing power imbalances that may skew input and decisions, especially under time and resource constraints or emergency conditions.

The Lead Applicant and all Co-Applicants must form a Collaborative Stakeholder Structure to develop and submit one (1) application. The Collaborative Stakeholder Structure must involve multi-stakeholder Partnerships and include local residents and community-nominated members, such as CBOs. Statute (AB 211) requires Applicants to demonstrate involvement of CBOs and community residents within governance and decision-making processes, including selection and planning of the project and all subsequent phases of the project. The Collaborative Stakeholder

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[13] California Strategic Growth Council. 2022. *Transformative Climate Communities (TCC) Program: Round 4 Guidelines.* p.p. 5-6. <https://sgc.ca.gov/meetings/council/2022/docs/20220428-Item5a_TCC_Guidelines_Round%204_Technical%20Amendment_Clean.pdf>

CALIFORNIA STRATEGIC
GROWTH COUNCIL

Structure also should include residents and community-nominated members such as community-based organizations that are not Co-Applicants.

Applications will be evaluated on the degree to which they incorporate community leadership, especially in decisions like site selection, proposal development, and project design, implementation, and evaluation.

For further detail, please reference Section III, G: Program Thresholds, 2: Partnership Agreement and/or MOU and Appendix B: Collaborative Stakeholder Structure.

a. Partnership Agreement

Applicants must develop a Partnership Agreement that is 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 the SGC relationship with Grantee and Partners, see Section III, J: Grant Administration.

Each CRC Implementation Grant proposal must include a signed Partnership Agreement, signed and effective by time of Full Application submission to SGC.

b. Memorandum of Understanding (MOU)

Any Applicant whose Project Area crosses municipal boundaries, federally recognized Tribal territory boundaries, or similarly relevant jurisdictional boundaries is required to submit a Memorandum of Understanding (MOU) that outlines how all public agencies and Tribal governments in the Collaborative Stakeholder Structure will effectuate and manage the grant.

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) CRC Project Area with multiple jurisdictions, and b) CRC Collaborative Stakeholder Structure.

For further detail, please reference Section III, G: Program Thresholds, 2: Partnership Agreement and/or MOU.

4. Project Area

All Applicants are required to define a Project Area. The Project Area must encompass the CRC Facility, campus amenities connected to the CRC Facility, and community resilience services and programs based out of the CRC Facility.

Capital Projects (CRC Facility retrofits and construction, and campus amenities) submitted as part of the application must:

1. Be on the same parcel as the resilience center, or an adjoining parcel, OR

CALIFORNIA STRATEGIC
GROWTH COUNCIL

2. Be within a one-mile radius of the resilience center along a walkable route

Each Project Area must be a contiguous area included within a distinct planning area in a local or regional planning document(s) or transit service area.

Projects located on **Fee Land** must comply with the requirements of the jurisdiction on which the land is located.

Grant agreements for all CRC Projects where the Lead Applicant is a Federally recognized Native American Tribe will include language giving SGC a right to sue the Tribe for breach of the grant agreement in California state courts.

C. STRATEGIES

To achieve the CRC program objectives, each CRC proposal must include at least 4 strategies listed below. These strategies are modeled from other SGC programs, integrated with robust stakeholder input, and intentionally bridge both physical infrastructure and social infrastructure.

Please note that these are non-exhaustive lists: examples of activities listed below are intended to illustrate the overall logic of the seven (7) strategies; to demonstrate how each strategy encompasses both physical infrastructure and social infrastructure activities; and to model a comprehensive approach to both climate resilience and community resilience. Please note that activities under these strategies may overlap. Each activity must be based at or out of the CRC Facility and/or CRC campus.

For further detail, please reference Section III, D: Eligible Activities and Costs and Appendix D: Examples of Eligible Activities.

Strategy 1: Energy Resilience

- Examples of Capital Project Activities: solar photovoltaic (PV) installation and associated roof upgrade costs; islanded microgrids with renewable energy generation and storage; energy infrastructure, energy efficiency upgrades & building envelope strengthening, including window and sealant upgrades; backup power & storage; fuel-switching, appliance electrification and associated electrical upgrade costs
- Examples of Community Resilience Services and Programs Activities: flyer distribution on energy rebate programs; case management & enrollment of community members in weatherization and energy-assistance programs

Strategy 2: Water Resilience

- Examples of Capital Project Activities: water efficiency and appliance upgrades like low-flow toilets, urinals, dishwashers, aerosols, showers, and laundry facilities; rain

catchment; water filtration, water purification, and water well filtering; replacement of on-site vegetation with drought-resistant landscaping and irrigation system

- <u>Examples of Community Resilience Services and Programs Activities:</u> education and materials around water purification, water conservation, and drought-resistant activities

Strategy 3: Air Quality & Public Health

- <u>Examples of Capital Project Activities:</u> filtration upgrades to heating, ventilation, and cooling systems; HVAC system replacement; air filtration and purification appliances; heat-reflecting paint and outdoor cooling solutions; passive cooling retrofits and fans; equipment for public health, COVID-related, and airborne pathogens; indoor and outdoor air monitors
- <u>Examples of Community Resilience Services and Programs Activities:</u> education on heatstroke, extreme heat-related illnesses; programs tracking indoor and outdoor air quality, asthma, and public health impacts; community and cultural meetings, focused on building local social cohesion and community trust

Strategy 4: Nature-Based Solutions & Food Security

- <u>Examples of Capital Project Activities:</u> urban greening and tree planting; vegetation management; permeable surfaces; land acquisition for defensible space and nature-based solutions, including outdoor recreation; community gardens and localized food production; commercial kitchen, food processing, refrigeration, storage, and distribution; livestock grazing in open space
- <u>Examples of Community Resilience Services and Programs Activities:</u> cooking and gardening classes; wildfire management trainings; resources and trainings on maintenance of defensible space around homes; agricultural and healthy food educational opportunities for children and community members

Strategy 5: Emergency Preparedness & Critical Communications

- <u>Examples of Capital Project Activities:</u> seismic retrofits to CRC Facility; installation of broadband and critical communications services and associated upgrades
- <u>Examples of Community Resilience Services and Programs Activities:</u> community emergency response team (CERT) trainings; emergency management, response, and recovery planning and functions; disaster & evacuation planning and education; food, water, PPE, and disaster preparedness kits distribution; creation and distribution of in-language pamphlets and multimedia communications on extreme heat, climate, and other emergencies; disaster preparedness trainings, including wildfire evacuations and extreme heat events

Strategy 6: Mobility & Access

CALIFORNIA STRATEGIC
GROWTH COUNCIL

- Examples of Capital Project Activities: public transit service extension connected to CRC Facility; bus stop addition; mobile units and shuttles for Access & Functional Needs (AFN) communities, especially seniors, people with disabilities, and transit-dependent community members; purchase and maintenance of electric vehicle (EV) fleet based at CRC Facility; EV charging infrastructure; closing gaps in bike and pedestrian network within 1 mile of CRC Facility (bike lanes, sidewalks); EV car-share
- Examples of Community Resilience Services and Programs Activities: development of flexible transit services and programs, including para-transit and vanpools

Strategy 7: Workforce Development, Education, and Training

- Examples of Capital Project Activities: construction and renovation of classrooms and/or training areas for specific workforce training programs; purchase and maintenance of computer labs
- Examples of Community Resilience Services and Programs Activities: trainings on outdoor workers' rights and protections, especially during poor air quality and extreme heat events; GED, solar installation, and other certification programs based at the CRC Facility; local training programs like community health worker certification programs, classes and networking for contractors and other workers; computer literacy classes; entrepreneurship and small business incubation programs; leadership development programs to build local grassroots leadership

D. ELIGIBLE ACTIVITIES & COSTS

1. Eligible Activities

Implementation grants will provide funding for activities related to the following program components:

Capital Projects, which include:
- **CRC Facility construction and retrofits** – activities related to direct construction, retrofits, and other upgrades to the CRC Facility itself, such as pre-construction, energy audits, direct construction costs, and building rehabilitation. Activities may also include development of basic environmental infrastructure that will support CRC Facilities, including water supply and wastewater services.
- **Campus Amenities** – activities related to construction or improvements to amenities located at the CRC Facility that strengthen the local community's resilience to climate and other disasters, such as a microgrid or shade trees located on site at the CRC Facility.

Community Resilience Services and Programs – services and programs that operate out of the CRC Facility that build community resilience and encourage year-round use of the CRC Facility, in addition to use during emergency activations.

CALIFORNIA STRATEGIC
GROWTH COUNCIL

Please reference Appendix D: Examples of Eligible Activities for more information.

2. Eligible Costs

Eligible cost categories for using grant funds are detailed below. Applicants must ensure that costs proposed in the program budget are eligible for funding. Costs deemed ineligible in the application review process will be removed and the project's recommended total award will be adjusted accordingly.

a. 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, translation and interpretation, etc. The Lead and Co-Applicants must ensure sufficient resources are allocated to grant administration, which includes grant invoicing and reporting.

Direct implementation costs include funding for implementation of Capital Projects, as well as Community Resilience Services & Programs:

Capital Projects – costs related to CRC Facility construction and retrofits, as well as Campus Amenities. A minimum of sixty-five percent (65%) of the grant award must be spent on Capital Projects. Funding for Capital Projects includes pre-development and basic infrastructure costs.

- Applicants may use up to ten percent (10%) of the total grant award on pre-development costs for capital projects. 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.
- Applicants may use up to ten percent (10%) of the total grant award for basic infrastructure costs, which includes water, wastewater, broadband, and energy infrastructure connections that will serve the CRC Facility and/or Campus Amenities.

Community Resilience Services & Programs – costs related to services and programs that build community resilience to climate and other disasters. Applicants may allocate up to twenty percent (20%) on community resilience services and programs.

b. Community Engagement & Outreach

Costs related to the development and administration of engagement and outreach activities to support grant implementation may account for up to ten percent (10%) of the total CRC grant award. SGC recognizes that many effective strategies for conducting community engagement and outreach are cost-intensive. Funding requests that exceed the ten percent (10%) cap will be reviewed on a case-by-case basis during the Post-award Consultation. Community engagement and outreach costs include, but are not limited to:

CALIFORNIA STRATEGIC
GROWTH COUNCIL

- Materials developed for outreach events, trainings, and other grant activities
- Access to proprietary data or research materials
- Facilitation for meetings
- Translation and interpretation for meetings and written materials
- Marketing and advertisements
- Participant compensation that is an exchange of payment for services rendered in the development of community work products, and appropriately documented with deliverables such as sign in sheets or written surveys
- Transportation stipends and provision of transportation services for community residents, such as a vanpool
- Rental costs of equipment, facilities, or venues
- Provision of childcare services for community residents at collaborative sponsored events
- Food and refreshments that are determined to be an integral part of the event. Examples of activities where it would be appropriate to approve food purchase would include a design charrette held in the evening, where the meal is consumed as part of the event and replaces a meal otherwise missed by attending the event

Please note that Community Resilience Services and Programs include their own budgets for additional, dedicated community engagement and outreach specific to those services and programs.

c. Indirect Costs

Indirect costs may account for up to twelve percent (12%) of the total CRC grant award, minus any funds for equipment purchases with a per unit cost of $5,000 or more. The twelve percent (12%) maximum of indirect cost applies to all entities including University of California (UC) and California State University (CSU) entities, except for Federally Recognized Native American Tribes which may use the indirect cost rate negotiated with the federal government.

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 (functions such as accounting, budgeting, audits, business services, information technology, janitorial; and rent, utilities, supplies, etc.).

Documentation related to the determination of the Grantee's indirect cost rate must be retained by the Grantee for audit purposes.

d. Data Collection & Indicator Tracking

Applicants must set aside three to five percent (3-5%) of their total budget for evaluation costs. The amount should be decided depending on the existing capacity of the Applicants to participate in evaluation activities including coordinating with a third-party evaluator to collect and report data. *Please see Section III, J: Grant Administration, for more information.*

E. INELIGIBLE ACTIVITIES AND COSTS

CRC Grant funds may not be used for the following costs:

- Fossil-fuel powered appliances and infrastructure, such as diesel generators and gas-powered appliances;
- Ongoing operational costs beyond the grant term;
- Advocacy work, such as direct lobbying for the passage of specific bills or local propositions;
- Indirect costs in excess of 12 percent (12%) of the awarded CRC funds, with the exception of Federally Recognized Native American Tribes, who may use the indirect cost rate negotiated with the federal government;
- 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;
- Costs associated with community engagement and outreach that include: direct cash benefits or subsidies to participants; alcoholic refreshments; participant incentives, such as door prizes, which are unrelated to specific community work products; or general meetings that do not specifically discuss or advance implementation of the CRC Project; and
- Costs that would supplant other committed funds for any element of the proposal, including Capital Projects and Community Resilience Programs and Services.

Ineligible Characteristics Applicable to All Projects

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; and

CALIFORNIA STRATEGIC
GROWTH COUNCIL

- Projects without long-term operations and maintenance plans.

F. PROJECT REQUIREMENTS

While the strategies and associated eligible activities are intended to provide Applicants with maximum flexibility to best achieve local community priorities, SGC is setting requirements for completed CRC projects. By conclusion of CRC Implementation Grant award terms, each CRC project must meet these baseline requirements. Communities are strongly encouraged to include additional features listed below.

1. CRC Facility Requirements

All CRC projects must involve a physical building. The CRC program cannot fund upgrades *only* to an outdoor space, although improvements to an outdoor space may be eligible in combination with the physical CRC Facility, like a local community center.

a. Required Functions of Community Resilience Centers:

By end of the CRC Implementation Grant award term, all CRC Facilities must meet the following required functions:

- Be able to be activated 24/7 in an emergency
- Be accessible and offer Community Resilience Services and Programs year-round to residents[14]
- Contain the necessary infrastructure to be able to be used as:
    - Heating centers
    - Cooling centers
    - Clean air centers
    - Hydration stations
    - Weather respite centers
    - Community evacuation and emergency response centers

All proposed CRC project components will be subject to all applicable codes and regulations necessary to enable their use for the above listed purposes.

Facilities owned or operated by public entities must include the public agency on the application or include an executed agreement with that public agency for the completion of the facility upgrades for which funding is sought.

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[14] Assembly Bill 211 (2022).
<https://leginfo.legislature.ca.gov/faces/billTextClient.xhtml?bill_id=202120220AB211>

CALIFORNIA STRATEGIC
GROWTH COUNCIL

b. Required Features of Community Resilience Centers

The facility serving as the resilience center should have capabilities and features that enables the site to be activated for a range of climate and other emergencies. These include:

- ADA-compliant facilities (see [ADA Checklist for Emergency Shelters)](#)
- Air filtration system
- Backup broadband access
- Backup power source
- Backup water source
- Device recharging capabilities for cell phones and other personal communications devices
- Laundry
- Refrigeration for storing food and medicines
- Shelter: places for people to sleep during emergency times; ability to co-shelter pets
- Showers
- Space for food preparation and storage

Optional Features of Resilience Centers

Applicants should also consider facility elements that encourage social cohesion, service delivery, and disaster preparedness, such as:

- Child-care spaces
- Computer labs
- Conference rooms; community activity rooms; classrooms
- Medical facilities/resources (medical, behavioral, dental)
- Outdoor spaces that can be used to conduct programming, produce food, and implement nature-based solutions such as groundwater recapture

c. Required Provision of Services & Use as Community Resilience Center

The facility must remain dedicated to use as a Community Resilience Center for <u>a minimum of 30 years</u>. If the facility is leased, SGC will require a lease commitment of <u>a minimum of 30 years</u> following the completion of the funded project for the facility to continue use as a Community Resilience Center. *Please see Section III, G: Program Thresholds, for additional requirements.*

Grantees must offer Community Resilience Services and Programs for <u>a minimum of 10 years</u>.

2. CRC Required Plans & Processes

a. CRC Emergency Plans

Applicants and Partners must provide draft CRC Emergency Plans that contain detail on processes and procedures that will take place during an emergency. These should align with local relevant

CALIFORNIA STRATEGIC
GROWTH COUNCIL

emergency planning documents including the General Plan Safety Element, Local Hazard Mitigation Plan, and/or County Emergency Operations Plan, at minimum. CRC Emergency Plans must include:

- Mobility plan to transport vulnerable community members to and from the CRC Facility, as well as alignment with or connection to identified evacuation routes;
- Emergency communications plan;
- How Applicants will work with relevant emergency response organizations including, but not limited to, the jurisdiction's Office of Emergency Services, local hospitals or other healthcare providers, utility operators, and social service and volunteer agencies that provide direct service and relief; and
- Agreements and processes that ensure CRC will be able to be activated 24/7 in the case of an emergency and the processes for activating the center in the case of emergencies, including roles & responsibilities of different organizations.

All plans must specifically consider how they will serve Access and Functional Needs (AFN) Communities and other vulnerable community members. Plans should also consider any anticipated growth in population or density in the communities the CRC will serve, including accounting for population growth due to planned housing development.

Plans should detail any existing or planned shared use agreements for use of the CRC Facility by CalOES, CalFIRE, and any other local, State, Federal, or Tribal agency in the case of a disaster.

Once awarded, Grantees and Partners will continue to develop their CRC Emergency Plans. Finished plans are due by end of CRC Implementation Grant award term.

b. CRC Year-Round Community Resilience Plans

Applicants and Partners must provide a draft CRC Year-Round Community Resilience Plan, outlining proposed Partners, strategies, and activities to ensure CRCs are used year-round, not only during emergencies. Likely components here include services and programs, community events and trainings, and other related activities to ensure the CRC Facility functions as a community-serving location.

Once awarded, Grantees and Partners will continue to develop their CRC Year-Round Community Resilience Plans. Finished plans are due by end of CRC Implementation Grant award term.

G. PROGRAM THRESHOLDS

This section outlines 5 component threshold requirements for the CRC Implementation Grant: community engagement and outreach, Partnership agreement and/or memorandum of understanding, site readiness, Applicant capacity (management and financial capacity), and long-

CALIFORNIA STRATEGIC GROWTH COUNCIL

term use of the CRC Facility. Upon submission of a Full Application, each application must meet all thresholds to advance from the Program Thresholds screen onto the interagency review panel.

For further details, please see Section III, H: Application Process and Components.

1. Community Engagement

Applicants must demonstrate how community residents and CBOs informed project proposals and selected the project area, as well as how they will remain engaged throughout project design, application, implementation, and evaluation phases.

To ensure that grant funds provide direct, meaningful, and assured benefits to under-resourced communities, the CRC Program requires that Applicants work with community members and stakeholders through direct engagement. Applicants must involve residents, organizations, and businesses from the Project Area and key stakeholders in all phases of CRC Proposal development and implementation. CRC Proposals should be designed to meet residents' needs that are identified through a documented outreach and engagement process. Applicants must tailor community engagement to their local community through Partnerships with local CBOs.

Applicants must also use proven methods of engagement to facilitate direct participation of community residents, including ensuring translation of meetings and materials, scheduling meetings at times that are convenient to community members, and engaging community members in information gathering as well as outreach.

Please reference Appendix C: Community Engagement, for additional considerations.

2. Partnership Agreement and/or Memorandum of Understanding (MOU)

Implementation Grant Applicants must submit completed Partnership Agreements and/or an MOU with all parties relevant for the proposed CRC Implementation Grant upon submission of a Full Application.

a. Partnership Agreement

Applicants must develop a Partnership Agreement that is signed by the Lead Applicant and all Co-Applicants that describes the governance, organization, and financial relationships of the Collaborative Stakeholder Structure. All parties must sign the Partnership Agreement upon submission of the CRC Implementation Grant Full Application deadline. Once the grant has been executed, Lead Applicants will be referred to as the "Grantee," and Co-Applicants as "Partners."

For more information about the SGC relationship with Grantee and Partners, see Section III, J: Grant Administration.

Partnership Agreements must, at minimum:

CALIFORNIA STRATEGIC
GROWTH COUNCIL

- Detail the governance structure between Partners and a conflict resolution process for resolving disputes
- Demonstrate how community-based organizations and community residents will be involved in the governance and decision-making processes for the project throughout the grant term.

For additional detail, please reference [Appendix B: Collaborative Stakeholder Structure](#).

b. Memorandum of Understanding (MOU)

Any Applicant whose Project Area crosses municipal boundaries, federally recognized Tribal territory boundaries, or similarly relevant jurisdictional boundaries is required to submit a Memorandum of Understanding (MOU) that outlines how all public agencies and Tribal governments in the Collaborative Stakeholder Structure will effectuate and manage the grant.

The MOU must, at minimum, define the following:

- Arrangement and commitment of full-time equivalent positions from each public agency and/or Tribal government to implement the CRC grant - including implementing capital projects, conducting planning activities, developing and implementing policies, and participating in collaborative governance.
- Systems designed to coordinate successful execution of the CRC grant. This should include the responsibilities, expectations, communication systems, staffing plans, and adequate budget for each entity.
- Public agency or Tribal government responsible for leading coordination among government entities, including resolving any challenges arising from having multiple jurisdictions contained within the Project Area. This entity may be the Lead Applicant, a Co-Applicant, an independent project manager contracted by the Lead Applicant, or another appropriate arrangement.

3. Site Readiness

Readiness requirements include California Environmental Quality Act (CEQA) documentation, site control, permits, project maps and designs, project schedules, operations and maintenance plans, and other project specific requirements. Readiness requirements must be complete prior to beginning project implementation. Projects will be carefully vetted during the application review to ensure that readiness status is accurately reflected in application materials and additional documents may be requested of Applicants in advance of the awards.[15]

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[15] California Strategic Growth Council. 2022. *Transformative Climate Communities (TCC) Program: Round 4 Guidelines.* p.p. B-3-5. <https://sgc.ca.gov/meetings/council/2022/docs/20220428-Item5a_TCC_Guidelines_Round%204_Technical%20Amendment_Clean.pdf>

CALIFORNIA STRATEGIC
GROWTH COUNCIL

California Environmental Quality Act (CEQA)

All Applicants must be able to demonstrate that environmental review will be completed <u>within the first year of the grant term</u>.

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.

CEQA 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

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

CALIFORNIA STRATEGIC
GROWTH COUNCIL

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.

Site Control

Applicants must demonstrate site control to demonstrate readiness 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. *Please see Appendix E: Site Control, for methods Applicants may demonstrate site control.*

Project Site Analysis

Applicants must conduct a project site analysis demonstrating the road capacity around the proposed CRC project site, a land-use analysis for compatibility, and consultation with emergency service providers about site location (especially for emergency ingress and egress).

Permits

At the time of application, Applicants must identify all permits 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.

Financial Feasibility

Applicants must be able to demonstrate that the project is financially feasible as evidenced by documentation including, but not limited to, a market study, project pro-forma, sources and uses statement, proposed operating budget, multi-year pro-forma or other feasibility documentation, as relevant.

Project Schedule

For each Capital Project, Applicants must provide a baseline project schedule prior to implementation of that project. The project schedule must be cost loaded and utilize critical path methodology, and project activities and durations must be broken down in sufficient detail to manage the work.

Other Requirements

Applicants must also submit the following documentation required to implement the Capital Projects:

- Project Map
- Project Designs

CALIFORNIA STRATEGIC
GROWTH COUNCIL

- Operations and Maintenance Plan

The State may request additional documentation to assess site readiness and feasibility. All Capital Projects must align with applicable local/regional plans and regulations.

Resolution

If the Lead Applicant is a public agency, they must provide evidence of a passed formal resolution in the CRC Proposal that includes an authorization to apply for and accept a CRC Implementation Grant, and delegated authority to execute all related documents if awarded.

4. Applicant Capacity[16]

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

a. Management Capacity

Lead Applicants' and Co-Applicants' ability to oversee, manage, and implement infrastructure projects is essential. The Lead and Co-Applicants also must possess the capacity to implement the Partner coordination, community outreach, evaluation and reporting components critical to the grant.

To demonstrate management capacity, the Lead and Co-Applicants must:

- Identify the Lead Applicant or Co-Applicant responsible for leading the implementation of each Capital Project or activity (the "Lead Entity");
- Provide evidence of the Lead Entity or Co-Applicant having successfully implemented a similar project in scope and size in California within the last 10 years;
- Describe the full or part-time staff that will be dedicated to CRC 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.

Applicants should dedicate sufficient staff to implementing the CRC project, including sufficient capacity for grant administration and coordination depending on the size and complexity of the project.

b. Financial Capacity

Lead Applicants and Co-Applicants must possess the financial capacity to adhere to the reimbursement processes of the CRC Program and defined by the Partnership Agreement. *See Section III, J: Grant Administration, for details about the reimbursement process.*

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[16] California Strategic Growth Council. 2022. *Transformative Climate Communities (TCC) Program: Round 4 Guidelines.* p. 9. <https://sgc.ca.gov/meetings/council/2022/docs/20220428-Item5a_TCC_Guidelines_Round%204_Technical%20Amendment_Clean.pdf>

CALIFORNIA STRATEGIC GROWTH COUNCIL

To demonstrate financial capacity, the Lead and Co-Applicants must 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 five (5) years is required to enclose it in the application in an official letter.

5. Long-Term Use of the CRC Facility

Applicants must provide a legally binding document that demonstrates that the facility will remain dedicated to use as a Community Resilience Center for a <u>minimum of 30 years after project implementation is complete</u>. Example documentation can include:

- A recorded deed restriction;
- If the facility is leased, a lease commitment of <u>a minimum of 30 years</u>; or
- Other forms of documentation that give SGC assurance that the facility will continue use as a Community Resilience Center in accordance with all the requirements of the Program.

H. APPLICATION PROCESS & COMPONENTS

Implementation Grants will be evaluated and awarded through a 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's public meeting where the Strategic Growth Council will consider Staff's award recommendations.

CRC Implementation Grants will employ a two-phase application process, including a Pre-Proposal and Full Application phase. Submitting a Pre-Proposal for a CRC Implementation Grant is required, in order to submit a Full Application. CRC Program Staff will determine which CRC Implementation Grant Pre-Proposal Applicants receive technical assistance (TA).

Application Process

The intent of the two-phase application process is to decrease the application burden on Applicants, offer input and guidance earlier in an application process, and to ensure promising projects invest in a full application process with necessary TA.

CALIFORNIA STRATEGIC
GROWTH COUNCIL

Pre-Proposal Phase

- One eligible entity will submit a CRC Implementation Pre-Proposal, similar to a concept paper, describing the proposed CRC Implementation project, on behalf of their Collaborative Stakeholder Structure.
- CRC Program Staff will screen Pre-Proposals and determine which Pre-Proposals advance to the Application phase, which Pre-Proposals receive TA, and which Pre-Proposals advance without TA.
- Applicants are not beholden to project details submitted in the Pre-Proposal for their Full Application.
- In order to qualify for Application TA, a CRC Implementation Grant Applicant must submit a Pre-Proposal.
- CRC Program Staff will provide initial recommendations on submitted Pre-Proposals but no scores.

Full Application Phase

- CRC Implementation Grant Applicants with Pre-Proposals invited to advance will complete a CRC Implementation Grant Full Application. This application must be developed in Partnership with other Partners through a Collaborative Stakeholder Structure.
- CRC Program Staff will first evaluate Proposals using the Program Thresholds below. Program Thresholds are based on eligibility and CRC 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, CRC 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. Staff will recommend awards based on these scores.
- Following review of Full Applications, Staff will conduct interviews and/or site visits with top scoring Applicants. If relevant, Staff will coordinate with Applicants to host and conduct site visits.
- Based on the interagency review of the applications and interviews, Staff will finalize and prepare award recommendations to present to the SGC Council Members for final approval. Final funding decisions will be subject to programmatic considerations including diversity of project types and geographic locations, including but not limited to a variety of climate impacts, representation from rural and urban communities, incorporated and unincorporated communities. The Strategic Growth Council will make final awards at a SGC Council meeting.

CALIFORNIA STRATEGIC
GROWTH COUNCIL

Application Components

Pre-Proposal Phase

For the Pre-Proposal phase, a Lead Applicant must submit the following, on behalf of their Collaborative Stakeholder Structure:

a) <u>Concept paper</u>, no longer than 5 pages, including a narrative description of: proposed CRC site and Facility, Campus Amenities, services and programs; proposed Partners; and overall vision;

b) <u>Confirmation of receipt of CRC Implementation Grant preliminary threshold checklist</u>, which details required thresholds by time of Full Application submission, year one of grant term, and end of grant term;

c) <u>Completed Technical Assistance survey</u>, noting anticipated TA needs to facilitate a TA match process.

Full Application Phase

For Applicants invited to submit Full Applications, a Lead Applicant must submit the following, in combination with their Collaborative Stakeholder Structure:

a) Narrative description of Vision Statement, Project Area, and how CRC Implementation Proposal will meet all CRC Program Objectives.

b) Completed Application, including:
   o Information on local community and residents, especially priority communities, Access and Functional Needs communities, and other vulnerable residents. Must include summary of local <u>climate risks</u>, exposures, and adaptation and resilience measures. Must include summary of local <u>community resilience</u>. Must include summary of <u>community engagement to date</u>, including descriptions of type, quality, depth, methods, and previous data or work developing a plan.
   o <u>At least 4 CRC Strategies</u> within the Project Area and how they will advance community-identified priorities, especially for most vulnerable residents.
   o Draft CRC Emergency Plan
   o Draft CRC Year-Round Community Resilience Plan

c) Completed Workplan Template, with clear timelines, discrete tasks, and detailed deliverables.

d) Community Engagement Plan. Must include Partners in Collaborative Stakeholder Structure with signed Partnership Agreement and/or MOU. Must include proposed plan for <u>community engagement activities during grant term</u>, if awarded.

e) 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.

f) Site readiness documentation and letters of support, if relevant.

g) Documentation to demonstrate Applicant's Capacity (management and financial capacity).

CALIFORNIA STRATEGIC
GROWTH COUNCIL

h) Demonstration of overall financial feasibility of proposed project. Must include financial feasibility plan for construction of CRC Capital Projects, which can include leveraged funding or other revenue streams. Must include financial sustainability of CRC, including ongoing operations, maintenance, and staffing for services and programs. Must include minimum number of years of community resilience services.

i) Additional documentation to meet requirements for advance payment, if relevant.

Minimum Program Thresholds

CRC staff will first evaluate CRC Implementation Grant applications to ensure timely submission, eligibility, completeness, and compliance with submission requirements. Only completed applications that meet all Minimum Program Thresholds will advance to the interagency review panel. This Minimum Program Threshold review will include the following:

1. General completeness, timely submission, and compliance with submission requirements
2. Eligibility *(reference Section III, G: Thresholds)*
   a. Applicant eligibility
   b. Collaborative Stakeholder Structure completed with signed Partnership Agreement and/or MOU
   c. Project Area eligibility
3. Community Engagement *(reference Section III, G: Thresholds)*
   a. Completed Community Engagement Plan submitted
4. Site Readiness *(reference Section III, G: Thresholds)*
5. Applicant Capacity *(reference Section III, G: Thresholds)*
6. Long-Term Use of CRC Facility *(reference Section III, G: Thresholds)*
7. CRC Strategies *(reference Section III, C: Strategies)*
   a. Discussion of at least 4 CRC strategies
8. Evidence of passed formal resolution by public agency, including authorization to apply for and accept a CRC Implementation Grant, and authority to execute all related documents if awarded[17] *(if relevant)*

I. SCORING CRITERIA

CRC Implementation Grant proposals will be scored out of a total of 200 points according to the following criteria:

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[17] California Strategic Growth Council. 2022. *Transformative Climate Communities (TCC) Program: Round 4 Guidelines.* p.p.5-6. <https://sgc.ca.gov/meetings/council/2022/docs/20220428-Item5a_TCC_Guidelines_Round%204_Technical%20Amendment_Clean.pdf>

CALIFORNIA STRATEGIC GROWTH COUNCIL

CRC Vision & Objectives *(30 points)*

- Project Area is clearly defined and complies with program requirements.
- Vision Statement reflects CRC Implementation Grant Program Objectives and approach.
- CRC strategies and proposed activities effectively advance all CRC Implementation Grant Program Objectives.

Community Profile & Engagement Plan *(40 points)*

- Clear, comprehensive, compelling narrative description of local community and community resilience, especially priority communities, Access and Functional Needs communities, and other vulnerable residents.
- Detailed summary of local community engagement to date.
- Comprehensive proposed Community Engagement Plan for grant term, demonstrating multi-stakeholder Partnerships, variety of methods, clear priorities and tailored strategies for local community. Should especially focus on outreach, engagement, and improved outcomes for priority communities, Access and Functional Needs communities, and other vulnerable residents.

Capacity & Partnerships *(40 points)*
- Demonstration of Lead Applicant's financial capacity, including ability to receive funds, execute the grant, and subcontract as needed.
- Demonstration of Lead Applicant's management & organizational capacity, including readiness and capacity to implement the proposed work on time and within budget.
- Evidence of strong, effective multi-stakeholder Partnerships secured in Collaborative Stakeholder Structure, through signed Partnership Agreement and/or MOU. Must include local residents and CBOs. Should include how Partners have worked together in the past, if relevant.
    - Additional points to proposals where the Lead Applicant is a California Native American Tribe, an eligible entity having co-ownership with a California Native American Tribe, or an eligible entity established by a California Native American Tribe to undertake climate resilience projects.

Project Impact *(65 points)*

- Demonstrated need or value of proposed strategies and activities, including demonstration of building climate resilience and community resilience through anticipated project benefits and outcomes.
    - Must include local climate risks, exposures, and adaptation and resilience measures, both current and historic. Proposed Capital Project design elements appropriately and effectively respond to identified climate hazards.

CALIFORNIA STRATEGIC
GROWTH COUNCIL

- - Additional points to proposals with projects located in and benefitting under-resourced communities.
  - Additional points to proposals from any of the following priority communities that meet the definition of under-resourced community: unincorporated communities and rural communities.
- Proposed <u>Workplan</u> provides clear, comprehensive plan with activities focused on the proposed Project Area and Site.
  - Specific activities meet Program Objectives; build climate resilience and community resilience; and meaningfully prepare the local community to implement a future Community Resilience Center.
- <u>Draft Emergency Plan and Year-Round Community Resilience Plan</u> demonstrate ability to serve local community during emergencies and year-round.

Project Feasibility *(20 points)*

- Overall <u>project design and feasibility</u> are clear, relevant, and appropriate given the project Vision Statement, Program Objectives, specific site, and specific local community.
  - Proposal bridges physical infrastructure and social infrastructure elements: includes CRC Facility, Campus Amenities, and community resilience services and programs.
  - Demonstrated ability to complete all site readiness requirements (Section III, G: Program Thresholds) and CRC Project Requirements (Section III, F: Project Requirements) by program deadlines.
  - Timeline and budget provide clear understanding of local community strengths, technical needs, and various strategies.
  - Demonstration of financial sustainability, inclusive of operations and maintenance costs and services and programs.

Sharing Plan *(5 points)*

- Replicability and usefulness for other communities with clear, effective plan for sharing.

J. GRANT ADMINISTRATION

Below is a brief description of the grant administration responsibilities and principles for CRC Implementation Grants:

Funding Availability

SGC received $110 million to implement Round 1 of the CRC Program through provision of grants, staff support, and third-party technical assistance. Of the $110 million, $100 million is available for total grant awards, with $95 million available for CRC Round 1 Implementation Grant awards.

CALIFORNIA STRATEGIC
GROWTH COUNCIL

Award Amount

Because the program seeks to serve communities serving a diverse set of community needs, Applicants have the flexibility to request the amount of funding needed to carry out the work described in their proposal for the five-year grant term.

CRC Implementation Grant award requests must fall within the range of $5,000,000 to $10,000,000.

Exact award amounts provided are contingent on the competitive selection process. Possible reasons for why an Applicant might not receive their full funding request include:

- Concerns regarding the feasibility of all proposed activities within the grant term
- Removal of ineligible costs that are included in the proposal
- If funding remains after awarding the highest scoring Applicants, partial awards may be made to the next highest-scoring Applicant(s)

Grant Term

Grant terms are five (5) years: a four (4) year Project Completion Period, followed by a one (1) year Performance Period, during which project outcomes will be monitored and grant close-out activities will conclude.

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."

Disbursement & Accounting of Funds

Advance Payment

SGC may provide advance payments to qualifying awards to ensure effective implementation of the program. Advance payments can be up to 25 percent (25%) of the total grant award, spread across a series of installments between the start date identified in the grant agreement until June 30, 2025. The complete schedule, process, and reporting requirements for advance pay will be determined in the Grant Agreement.

CALIFORNIA STRATEGIC
GROWTH COUNCIL

Per CRC Program's specific advance pay authority, advance payment will be limited to awards wherein the Grantee is a community-based private non-profit agency[18], which includes but may not be limited to, community-based organizations and non-government organizations. Government entities, including City and County government and Federally-Recognized California Native American Tribes, are not eligible for advance payment.

All Grantees eligible for advance payment will be required to prioritize Partners that experience low cash reserves to receive advances.

To receive advance pay, the Grantee must do the following:

At the time of the grant agreement:

- Demonstrate good standing and no tax delinquency with the California Franchise Tax Board and California Department of Tax and Fee Administration[19]
- Demonstrate 501(c)3 status or other demonstration of non-profit/NGO status for Partners that will receive advance payment
- Provide description of how the organizations that will receive advance payment are representative of a community or a significant segment of a community and are engaged in meeting human, educational, environmental, or public safety community needs. This may be included in the Collaborative Stakeholder Structure description.
- Provide the Collaborative's workplan
- Provide a spending plan for each Partner receiving advance payment
- Sign an agreement that they will:
  - Revert all unused moneys to the State if they are not liquidated within the timeline specified in the grant agreement or in the case of non-compliance/misuse of funds
  - Communicate and document changes to spending plan
  - Keep advanced funds separate in accounting records from CRC grant recipients' other funds
  - Allocate all interest earnings from advanced funds to the CRC grant's advanced funds for use on the project or returned to the State

Before payment:

- Complete an advance payment request form that includes itemized budget for the period of the grant the costs will cover
- Provide a spending timeline including anticipated spend down over a set period of time

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[18] The term "community-based agency" means a private nonprofit organization (including a church or other religious entity) that is representative of a community or a significant segment of a community; and is engaged in meeting human, educational, environmental, or public safety community needs. [42 US Code § 12511(10)]
[19] Check past due balance (<https://www.ftb.ca.gov/about-ftb/newsroom/top-500-past-due-balances/corporate-income-tax-list.html>) and sales tax websites (<https://www.cdtfa.ca.gov/taxes-and-fees/top500.htm>).

CALIFORNIA STRATEGIC
GROWTH COUNCIL

After prior advance pay is expended, the Grantee will provide a progress report that includes:

- A high-level summary of work completed
- Itemized Receipts
- Invoice for grant activities that were not covered by the advance payment (if applicable)
- Their next advance payment request form (if applicable)

Disbursement Process:

- The Grantee cannot request advance payment or reimbursement for any costs incurred or work completed before grant execution.
- Grantees may request advance payment or reimbursement from SGC on a bimonthly basis (every two months).
- SGC will retain the last five percent (5%) of the overall grant budget, to be paid once the State has determined that the grant terms have been fulfilled.
- For reimbursement payments, 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 disbursed to the Grantee. The Grantee is responsible for disbursing payment to their Partners in accordance with their signed Partnership Agreement.
- Tribes will not be required to sign a limited waiver of sovereign immunity to receive payments on a reimbursement basis from SGC through the CRC Program.

Reporting Requirements

Grantees are responsible for the following 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

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 a regular 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.

CALIFORNIA STRATEGIC
GROWTH COUNCIL

Close-Out Reports

A Project Close-out report will be submitted as the project completes all deliverables in the Work Plan.

A Final Report will be submitted at the end of the grant term.

Data Collection and Indicator Tracking

Grantees will work with a third-party Evaluator that will develop an overall evaluation framework for the CRC program and work with grantees to identify indicators for tracking and monitoring for their project. The evaluation will seek to provide specific, measurable outcomes achieved by the program that will provide lessons learned and potential recommendations for overall program improvement. *For more information, please see Section III, K: Program Evaluation.*

Prevailing Wage Requirements

CRC-funded projects may be subject to State Prevailing Wage 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 and invoices for labor reflects prevailing wage requirements, or if exempt, provide the applicable exemption to SGC with the project budget; 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.

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.

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

CALIFORNIA STRATEGIC
GROWTH COUNCIL

- Grantee can identify the rates for prevailing wage on the DIR website.[20] Grantee may contact DIR for a list of covered trades and the applicable prevailing wage.
- If Grantee is unsure whether the CRC 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.
- 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.

Ownership

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

Equipment

For any equipment purchased or built with funds that are reimbursable as a direct cost of the CRC Project, as determined by SGC, the Grantee, Partner, or Subcontractor, as applicable, must be the sole owner on the 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.

Vehicles

For any vehicles acquired with funds that are reimbursable as a direct cost of the CRC Project, the Grantee, Lead Entity, or Subcontractor, as applicable, must be the sole owner on title. 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

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[20] California Department of Industrial Relations. 2018. <http://www.dir.ca.gov>

CALIFORNIA STRATEGIC GROWTH COUNCIL

described use during the grant term and to public transportation use for their full useful life.

Infrastructure

For any rights of way, real and personal property, leases, improvements and infrastructure funded as a reimbursable direct cost of the CRC Project, the Grantee, Lead Entity, or an appropriate public agency or subcontractor, as applicable, must be the sole owner of the title or leasehold. Facilities owned or operated by public entities must include the public agency on the application, or include an executed agreement with that public agency for the completion of the resilience center upgrades for which funding is sought. If the facility is leased, SGC will require a lease commitment of <u>at least 30 years</u> following the completion of the funded project for the facility to continue use as a Community Resilience Center.

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

Publicity Requirements

CRC Grantees are required to use SGC names and/or logo for all publications, websites, signage, invitations, and other media-related and public-outreach products related to the CRC grant.

Audit & 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.

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.

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.

CALIFORNIA STRATEGIC
GROWTH COUNCIL

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.

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; inability to meet performance requirements or scheduled milestones; failure to complete or failure to make a good faith effort to complete the CRC Project as a whole or any CRC Project Components; and/or failure to comply with the Guidelines or terms and conditions of the Grant Agreement.

SGC will notify Grantee, in writing, if non-performance is determined, and will provide instructions and a timeline to rectify all cases of non-performance. Grantee must respond to a determination of non-performance within thirty (30) days either by a) acting on corrective actions and notifying SGC of actions taken, or b) disputing SGC's findings in writing. SGC, 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.

SGC may withhold any payments due to Grantee until the Grantee brings the individual project or CRC Project back into full compliance. Costs and expenses for these actions shall be borne by the applicable Grantee, Partner, or Subcontractor.

SGC has the right to issue a Stop Work Order for an individual project or the CRC Project and suspend payments to the Grantee. SGC 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.

Both SGC and the Grantee have the right to terminate the Grant Agreement prior to the end of the grant term upon thirty (30) calendar days of written notice. The written notice shall specify the reason for early termination and may permit SGC or the Grantee to rectify any deficiencies prior to the termination date.

K. PROGRAM EVALUATION

Grantees must work with an independent Evaluator to provide project-related data. The Evaluator will develop a statewide evaluation framework and work with grantees to identify indicators for tracking and monitoring for their project. The evaluation will seek to provide specific, measurable outcomes achieved by the program that will provide lessons learned and potential recommendations for overall program improvement.

The program evaluation will consider, at minimum:

Impact on Climate Resilience – Grantees will need to work with the Evaluator to collect and report on data that resilience to climate change impacts. This will include a wide range of applicable climate change impacts, including drought, floods, extreme heat, sea level rise, and wildfires. Evaluation will assess the efficacy of the CRC Project, space, and resources at preparing for, responding to, and recovering from climate impacts, through both the Capital Projects included (such as structure hardening, energy backup systems, or transit vehicles used to bring people to the CRC during disasters), as well as the Community Resilience Services & Projects (such as food and water distribution during and after a climate disaster).

Impact on Community Resilience – Grantees will need to work with the Evaluator to collect data that will allow them to assess how the CRC Project, space, and resources impact local community resilience. This may include, but is not limited to, information on: social cohesion, health impacts, economic opportunities, and civic engagement and participation.

Metrics will be collected on usage of the Community Resilience Center in assessing impact of both climate resilience and community resilience. Grantees will need to provide CRC Facility usage information. This may include but is not limited to: how many people visit the CRC Facility, where they are coming from, the purpose for attending, and the resource utilized. Usage data will examine CRC Facility usage year-round, as well as during disruptions and disasters such as drought, earthquakes, extreme temperatures, flooding, sea level rise, and wildfires.

CALIFORNIA STRATEGIC
GROWTH COUNCIL

SECTION IV: PLANNING GRANTS

CRC Planning Grants fund planning activities to prepare communities for future funding opportunities in programs that align with CRC Program Objectives, with a specific focus on preparation for CRC Round 2 Implementation Grants. CRC Planning Grant activities, therefore, should focus on developing a proposal for a future CRC Implementation Grant and must demonstrate effective, robust local community engagement and planning efforts.

A. CRC PLANNING GRANT PROGRAM OBJECTIVES

CRC Planning Grants will support planning activities to prepare communities to implement Community Resilience Centers, as well as for future funding opportunities in programs that align with the CRC Program's objectives. Planning activities should focus on supporting project readiness, as well as broader community resilience to climate emergencies and intersecting social and economic issues. Proposed planning activities will:

- Advance the local community's ability to identify, vision, design, construct, resource, and activate sites as community resilience centers.

- Ensure or increase accessibility of CRCs to community members, especially during emergencies. These activities can include, but are not limited to: AB 2645 planning and implementation, targeted outreach and planning for Access and Functional Needs communities, mobile units and services, and/or development of evacuation, transportation, mass sheltering, mass feeding plans and networks.

- Build, strengthen, and sustain local community resilience, in connection with a proposed CRC. These activities can include: advancing local workforce development and training opportunities for a future net zero carbon economy, supporting local leadership and grassroots engagement in civic and community development, and climate resilience awareness and activities.

- Demonstrate consistency with the State's Planning Priorities contained in Section 65041.1 of the Government Code. These priorities intend to promote equity, strengthen the economy, protect the environment, and promote public health and safety in the state, including urban, suburban, and rural communities.

B. ELIGIBILITY

This section details eligibility requirements for CRC Planning Grant applications.

1. Eligible Facility Types

CRCs will serve as both resilience centers during specific climate or emergency events, as well as provide ongoing community services and programs. Therefore, existing community-serving locations may include, but are not limited to, the following: schools, libraries, community centers,

CALIFORNIA STRATEGIC GROWTH COUNCIL

youth and/or senior centers, health clinics, places of worship, and foodbanks. Additional possibilities depending on local context include small business incubators, commercial kitchens, workforce development and training facilities, and cultural centers. Regardless of facility type, Applicants must demonstrate how that facility serves (or could serve) the local community both during emergency activations and year-round during non-emergencies.

Please note that for CRC Planning Grants applications, at least one proposed site is required per application, by time of application submission.

2. Eligible Applicant Types

All Applicants must be based in California and may include the following:

- California Native American Tribes[21]
- Coalitions or associations of nonprofit organizations[22]
- Community-based organizations, faith-based organizations, and non-government organizations (NGOs)
    - Such NGOs may include community-based organizations, and may be supported by fiscal sponsors. Such NGOs need not be 501(c)(3) organizations, but must be legal entities authorized and empowered to enter into agreements and hold funds.
- Community development finance institution or community development corporations
- Emergency management, response, preparedness and recovery service providers and organizations
- Philanthropic organizations and foundations, private or nonprofit
- Private sector and consultants
- Public entities, including:
    - California incorporated cities, whether or not chartered cities
    - California counties, including unincorporated communities
    - Local, regional public agencies, and districts at the county level including community-choice aggregators, special districts, joint powers authorities, councils of governments, and other forms of local government.
- Small businesses

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[21] Native American Heritage Commission (NAHC). 2020. *NAHC Tribal Consultation Policy*. <https://nahc.ca.gov/wp-content/uploads/2020/09/Signed-NAHC-Tribal-Consultation-Policy.pdf>
[22] Assembly Bill 211 (2022). <https://leginfo.legislature.ca.gov/faces/billTextClient.xhtml?bill_id=202120220AB211>

CALIFORNIA STRATEGIC
GROWTH COUNCIL

Requirements for Public Agencies

If the Lead Applicant is a public agency, they must provide evidence of a passed formal resolution in the CRC Proposal that includes an authorization to apply for and accept a CRC Planning Grant, and authority to execute all related documents if awarded.[23] If the public agency is a Co-Applicant, then the Applicant must provide a letter of support from the public agency in the CRC Proposal. If an Applicant proposes creating or updating a local jurisdiction's plan, that relevant public agency must be a Co-Applicant.

Eligibility of State Entities

State entities, such as agencies, departments, commissions, offices, councils, and interstate compact entities, are prohibited from entering into grant agreements with SGC, and therefore may not apply as the Lead Applicant. However, State entities are eligible as Co-Applicants. The University of California and the California State University systems are exempt from this guidance and may apply as the Lead Applicant, where appropriate.

3. Collaborative Stakeholder Structure

Modeled from lessons learned from other SGC grant programs, the CRC program will also require a Collaborative Stakeholder Structure for each CRC Planning Grant award. The intent of this structure is to formalize localized, place-based Partnerships to ensure consistent buy-in and support; shared values and governance; and alleviation of existing power imbalances that may skew input and decisions, especially under time and resource constraints or emergency conditions.

Applicants should propose initial Partners in the Planning Grant application, if possible; TA providers will work with grant recipients to build the Collaborative Stakeholder Structure, where appropriate. Within the first year of the grant term, award recipients must develop a Collaborative Stakeholder Structure, resulting in a signed Partnership Agreement and/or MOU, as appropriate.

Statute (AB 211) requires Applicants to demonstrate involvement of community-based organizations (CBOs) and community residents within governance and decision-making processes, including selection and planning of the project and all subsequent phases of the project. The Collaborative Stakeholder Structure also should include residents and community-nominated members such as community-based organizations that are not Co-Applicants.

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[23] California Strategic Growth Council. 2022. *Transformative Climate Communities (TCC) Program: Round 4 Guidelines.* p.p. 5-6. <https://sgc.ca.gov/meetings/council/2022/docs/20220428-Item5a_TCC_Guidelines_Round%204_Technical%20Amendment_Clean.pdf>

CALIFORNIA STRATEGIC
GROWTH COUNCIL

Applications will be evaluated on the degree to which they incorporate community leadership, especially in decisions like site selection, proposal development, and project design, implementation, and evaluation.

For further detail, please reference Appendix B: Collaborative Stakeholder Structure.

a. Partnership Agreement

Within the first year of the grant term, Applicants must develop a Partnership Agreement that is 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 the SGC relationship with Grantee and Partners, see Section IV, G: Grant Administration; for further detail on the Partnership Agreement, see Appendix B: Collaborative Stakeholder Structure.

b. Memorandum of Understanding (MOU)

Any Applicant whose Planning Area crosses municipal boundaries, federally recognized Tribal territory boundaries, or similarly relevant jurisdictional boundaries is required to submit a Memorandum of Understanding (MOU) that outlines how all public agencies and Tribal governments in the Collaborative Stakeholder Structure will effectuate and manage the grant.

The MOU must, at minimum, define the following:

- Arrangement and commitment of full-time equivalent positions from each public agency and/or Tribal government to implement the CRC grant - including implementing capital projects, conducting planning activities, developing and implementing policies, and participating in collaborative governance.
- Systems designed to coordinate successful execution of the CRC grant. This should include the responsibilities, expectations, communication systems, staffing plans, and adequate budget for each entity.
- Public agency or Tribal government responsible for leading coordination among government entities, including resolving any challenges arising from having multiple jurisdictions contained within the Project Area. This entity may be the Lead Applicant, a Co-Applicant, an independent project manager contracted by the Lead Applicant, or another appropriate arrangement.

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) CRC Project Area with multiple jurisdictions, and b) CRC Collaborative Stakeholder Structure.

CALIFORNIA STRATEGIC
GROWTH COUNCIL

4. Planning Area & Site Identification

All Applicants are required to define a Planning Area and justify selection through discussion of relevant strategies and activities within that Planning Area. The Planning Area must contain a specific CRC Facility site, which is the primary focus of the CRC Planning Grant proposal. If a Planning Area bridges jurisdictions, then completing an MOU between relevant parties will be required within the first year of grant term.

Projects located on **Fee Land** must comply with the requirements of the jurisdiction on which the land is located.

C. ELIGIBLE ACTIVITIES & COSTS

Eligible planning activities for a CRC Planning Grant include:

- <u>Preparing Applicants</u> to apply to a CRC Implementation Grant or other similar grant, including but not limited to: Partnership development, stakeholder mapping, expertise of community stakeholders – community needs assessments, community health needs assessments, and creation and/or formalization of a shared governance structure such as a Collaborative Stakeholder Structure. Activities that lead to the development of a Collaborative Stakeholder Structure are strongly encouraged for Applicants who anticipate applying to CRC Round 2 Implementation Grants.
- <u>Identifying</u> and <u>preparing project sites</u> for future development into Community Resilience Centers. Activities can include, but are not limited to: feasibility studies and site identification; energy planning, audits, and site assessments; architectural and engineering designs; scoping of campus amenities and CRC-based community resilience services and programs; permitting, including CEQA-related activities; and planning for project readiness.
- <u>Completing fiscal analyses and studies</u>, such as conducting a fiscal impact analysis to understand long-term service costs of future development and to determine fee structures, and determining approaches to demonstrate financial sustainability for ongoing operations, maintenance, and staffing.
- <u>Building capacity</u> both internally, among staff and departments, as well as externally, among stakeholders, by including the development of collaborative Partnerships that connect land use development with environmental, economic and social justice priorities.
- <u>Evaluating, updating, and streamlining various policies and codes</u> currently enforced by the Planning Department and other local departments (e.g., public works, health and safety, fire, parks and open space, etc.), especially AB 2645 planning and implementation.
- <u>Preparing or updating local jurisdictional plans</u>, such as climate action plans, climate adaptation plans, local hazard mitigation plans, community emergency response plans, county emergency operations plans, and the Safety Element of General Plans (SB 379).

CALIFORNIA STRATEGIC GROWTH COUNCIL

- <u>Designing or enhancing community engagement</u> that results in innovative and meaningful programs and practices built upon the input and expertise of local public agency staff, community-based organizations, workforce development boards, and overburdened individuals and groups. *Please see [Appendix C: Community Engagement](#) for further detail on key considerations and recommended activities for effective community engagement.*

D. INELIGIBLE ACTIVITIES & COSTS

The following costs are ineligible under the CRC Planning Grant:

- Indirect costs in excess of twelve percent (12%) of the awarded CRC funds are not reimbursable, with the exception of Federally Recognized Native American Tribes which may use the indirect cost rate negotiated with the federal government.
- Expenses and activities incurred outside the term of the grant award.
- The following costs associated with community engagement and outreach:
  - o Direct cash benefits or subsidies to participants.
  - o Alcoholic refreshments.
  - o Participant incentives, such as door prizes, which are unrelated to specific community work products.
  - o General meetings that do not specifically discuss or advance implementation of the CRC Planning Project.

E. APPLICATION PROCESS & COMPONENTS

CRC Planning Grants will be evaluated and awarded through a 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 10 days prior to SGC's public meeting where the Strategic Growth Council will consider staff's award recommendations.

Application Process

Technical Assistance (TA) Intake Survey Phase (optional)

- One eligible entity will complete a CRC TA intake survey on behalf of their eventual Collaborative Stakeholder Structure. TA intake survey responses will describe overall CRC concept and potential project ideas, local community, potential Partners, and forms of TA requested.
- CRC Program Staff and application TA provider will review submissions of the TA intake survey and match prospective Applicants with TA as appropriate.

CALIFORNIA STRATEGIC
GROWTH COUNCIL

- Completion of a TA intake survey is optional. Applicants may submit CRC Planning Grant applications without completing the TA intake survey.

Application Phase

- One eligible entity, on behalf of their eventual Collaborative Stakeholder Structure, will complete a CRC Planning Grant application and submit materials to SGC.
- CRC Staff will first evaluate applications to ensure that they are both eligible and complete. Staff will then evaluate applications using the Program Thresholds below. 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, CRC Program Staff and an interagency review panel will evaluate the Proposal using the Scoring Criteria below. Applicants will receive a single score out of 100 points. Staff will recommend awards based on these scores. Applicants who have met Program Thresholds may be invited to an interview with CRC Program Staff and potentially members of the interagency review panel.
- Based on the interagency review of the applications and interviews, Staff will finalize and prepare award recommendations to present to the SGC Council Members for final approval. Final funding decisions will be subject to programmatic considerations including diversity of project types and geographic locations, including but not limited to: variety of climate impacts, representation from rural and urban, incorporated and unincorporated communities. The Strategic Growth Council will make final awards at a Council meeting.

Program Thresholds

CRC staff will first evaluate CRC Planning Grant applications to ensure timely submission, eligibility, completeness, and compliance with submission requirements. Only completed applications that meet all Program Thresholds will advance to the interagency review panel. Program Thresholds include the following:

- General Completeness:
    - All required materials are completed and submitted on time.
    - Workplans adhere to appropriate period and contain sufficient detail.
    - Budgets contain sufficient detail and comply with submission requirements.
- Applicant Eligibility:
    - Lead Applicant is eligible entity.
    - Lead Applicant demonstrates commitment to a signed Partnership Agreement by end of year one of term for their Collaborative Stakeholder Structure.
- Planning Area Eligibility:
    - Planning Area is clearly defined and Site(s) are identified and eligible.

Application Components

A Lead Applicant must submit the following:

a) Narrative description of Vision Statement and Planning Area, and how CRC Planning Proposal will meet all CRC Planning Grant Program Objectives
b) Completed Application, including:
   a. Information on local community and residents, especially priority communities, Access and Functional Needs communities, and other vulnerable residents. Must include summary of local <u>climate risks</u>, exposures, and adaptation and resilience measures. Must include summary of local <u>community resilience</u>. Must include summary of <u>community engagement to date</u>, including descriptions of type, quality, depth, methods, and previous data or work developing a plan
   b. <u>Planning activities</u> within the Planning Area and how they will advance community-identified priorities, especially for priority communities, Access and Functional Needs communities, and other vulnerable residents.
c) Completed Workplan, with clear timelines, discrete tasks, and detailed deliverables
d) Community Engagement Plan, including proposed partners for future Collaborative Stakeholder Structure and proposed plan for <u>community engagement activities during grant term</u>, if awarded.
e) Budgets with sufficient detail, broken down by task and line item
f) Documentation to demonstrate Applicant's Capacity (management and financial capacity)
g) Additional documentation to meet requirements for advance payment, if relevant
h) Letters of support, if appropriate

F. SCORING CRITERIA

CRC Planning Grant proposals will be scored out of a total of 100 points according to the following criteria:

CRC Vision & Objectives *(15 points)*

- Planning Area is clearly defined and Site(s) are identified.
- Vision Statement reflects CRC Planning Grant Program Objectives and approach.
- Proposed Activities effectively advance all CRC Planning Grant Program Objectives and are eligible activities.

Community Profile & Engagement Plan *(25 points)*

- Clear, comprehensive, compelling narrative description of local community and <u>community resilience,</u> especially priority communities, Access and Functional Needs communities, and other vulnerable residents.
- Detailed summary of local <u>community engagement</u> <u>to date</u>.
- Diverse proposed <u>community Partners</u> for future Collaborative Stakeholder Structure.
  - o Additional points to proposals where the Lead Applicant is a California Native American Tribe[9], an eligible entity having co-ownership with a California Native

CALIFORNIA STRATEGIC
GROWTH COUNCIL

American Tribe, or an eligible entity established by a California Native American Tribe to undertake climate resilience projects.

- Comprehensive proposed <u>Community Engagement Plan for grant term</u>, demonstrating multi-stakeholder Partnerships, variety of methods, clear priorities and tailored strategies for local community. Should especially focus on outreach, engagement, and improved outcomes for priority communities, Access and Functional Needs communities, and other vulnerable residents.

Lead Applicant Capacity *(15 points)*

- Demonstration of financial capacity: Ability to receive funds, execute the grant, and subcontract as needed.
- Demonstration of management & organizational capacity: Readiness and capacity to implement the proposed work on time and within budget.

Project Impact (40 points)

- Demonstrated need or value of proposed planning activities, including demonstration of building climate resilience and community resilience through anticipated project benefits and outcomes.
    - o Must include local climate risks, exposures, and adaptation and resilience measures, both current and historic, and how proposed planning activities will build local climate resilience.
    - o Additional points to proposals with projects located in and benefitting under-resourced communities.
    - o Additional points to proposals from any of the following priority communities that meet the definition of under-resourced community: unincorporated communities and rural communities.
- Proposed Workplan provides clear, comprehensive plan with activities focused on the proposed Planning Area and Site.
    - o Specific activities meet Program Objectives; build climate resilience and community resilience; and meaningfully prepare the local community to implement a future Community Resilience Center.
- Overall project design and feasibility are clear, relevant, and appropriate, given the project Vision Statement, Program Objectives, and specific local community.
    - o Timeline and budget provide clear understanding of local community strengths, technical needs, and various strategies.
- Additional points to proposals demonstrating ability to directly meet readiness requirements to apply for CRC Round 2 Implementation Grants.

Sharing Plan (5 points)

- Replicability and usefulness for other communities with clear, effective plan for sharing.

CALIFORNIA STRATEGIC
GROWTH COUNCIL

G. GRANT ADMINISTRATION

Below is a brief description of the grant administration responsibilities and principles for CRC Planning Grants:

Funding Availability

SGC received $110 million to implement Round 1 of the CRC Program through provision of grants, staff support, and third-party technical assistance. Of the $110 million, $100 million is available for total grant awards, with $5 million available for CRC Round 1 Planning Grant awards.

Award Amount

Because the program seeks to serve communities serving a diverse set of community needs, Applicants have the flexibility to request the amount of funding needed to carry out the work described in their proposal for the two (2) year grant term.

CRC Planning Grant award requests must fall within the range of $200,000 to $500,000.

Exact award amounts provided are contingent on the competitive selection process. Possible reasons for why an Applicant might not receive their full funding request include:

- Concerns regarding the feasibility of all proposed activities within the grant term
- Removal of ineligible costs that are included in the proposal
- If funding remains after awarding the highest scoring Applicants, partial awards may be made to the next highest-scoring Applicant(s)

Grant Terms

Grant terms are two (2) years, with the option to extend on a case-by-case basis.

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."

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Disbursement & Accounting of Funds

Advance Payment

SGC may provide advance payments to qualifying awards to ensure effective implementation of the program. Advance payments can be up to 25 percent (25%) of the total grant award, spread across a series of installments between the start date identified in the grant agreement until June 30, 2025. The complete schedule, process, and reporting requirements for advance pay will be determined in the Grant Agreement.

Per CRC Program's specific advance pay authority, advance payment will be limited to awards wherein the Grantee is a community-based private non-profit agency[24], which includes but may not be limited to, community-based organizations and non-government organizations. Government entities, including City and County government and Federally-Recognized California Native American Tribes, are not eligible for advance payment.

All Grantees eligible for advance payment will be required to prioritize Partners that experience low cash reserves to receive advances.

To receive advance pay, the Grantee must do the following:

At the time of the grant agreement:

- Demonstrate good standing and no tax delinquency with the California Franchise Tax Board and California Department of Tax and Fee Administration[25]
- Demonstrate 501(c)3 status or other demonstration of non-profit/NGO status for Partners that will receive advance payment
- Provide description of how the organizations that will receive advance payment are representative of a community or a significant segment of a community and are engaged in meeting human, educational, environmental, or public safety community needs. This may be included in the Collaborative Stakeholder Structure description.
- Provide the Collaborative's workplan
- Provide a spending plan for each Partner receiving advance payment
- Sign an agreement that they will:
    - Revert all unused moneys to the State if they are not liquidated within the timeline specified in the grant agreement or in the case of non-compliance/misuse of funds
    - Communicate and document changes to spending plan

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[24] The term "community-based agency" means a private nonprofit organization (including a church or other religious entity) that is representative of a community or a significant segment of a community; and is engaged in meeting human, educational, environmental, or public safety community needs. [42 US Code § 12511(10)]

[25] Check past due balance (<https://www.ftb.ca.gov/about-ftb/newsroom/top-500-past-due-balances/corporate-income-tax-list.html>) and sales tax websites (<https://www.cdtfa.ca.gov/taxes-and-fees/top500.htm>.

CALIFORNIA STRATEGIC
GROWTH COUNCIL

- Keep advanced funds separate in accounting records from CRC grant recipients' other funds
- Allocate all interest earnings from advanced funds to the CRC grant's advanced funds for use on the project or returned to the State

Before payment:

- Complete an advance payment request form that includes itemized budget for the period of the grant the costs will cover
- Provide a spending timeline including anticipated spend down over a set period of time

After prior advance pay is expended, the Grantee will provide a progress report that includes:

- A high-level summary of work completed
- Itemized Receipts
- Invoice for grant activities that were not covered by the advance payment (if applicable)
- Their next advance payment request form (if applicable)

Disbursement Process:

- The Grantee cannot request advance payment or reimbursement for any costs incurred or work completed before grant execution.
- Grantees may request advance payment or reimbursement from SGC on a bimonthly basis (every two months).
- SGC will retain the last five percent (5%) of the overall grant budget, to be paid once the State has determined that the grant terms have been fulfilled.
- For reimbursement payments, 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 disbursed to the Grantee. The Grantee is responsible for disbursing payment to their Partners in accordance with their signed Partnership Agreement.
- Tribes will not be required to sign a limited waiver of sovereign immunity to receive payments on a reimbursement basis from SGC through the CRC Program.

Reporting Requirements

Grantees are responsible for the following 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.

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GROWTH COUNCIL

Budget Reports

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 a regular 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.

Close-Out Reports

A Project Close-out report will be submitted as the project completes all deliverables in the Work Plan.

A Final Report will be submitted at the end of the grant term.

Publicity Requirements

CRC Grantees are required to use SGC names and/or logo for all publications, websites, signage, invitations, and other media-related and public-outreach products related to the CRC grant.

Audit & 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.

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.

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.

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.

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; inability to meet performance requirements or scheduled milestones; failure to complete or failure to make a good faith effort to complete the CRC Project as a whole or any CRC Project Components; and/or failure to comply with the Guidelines or terms and conditions of the Grant Agreement.

SGC will notify Grantee, in writing, if non-performance is determined, and will provide instructions and a timeline to rectify all cases of non-performance. Grantee must respond to a determination of non-performance within thirty (30) days either by a) acting on corrective actions and notifying SGC of actions taken, or b) disputing SGC's findings in writing. SGC, 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.

SGC may withhold any payments due to Grantee until the Grantee brings the individual project or CRC Project back into full compliance. Costs and expenses for these actions shall be borne by the applicable Grantee, Partner, or Subcontractor.

SGC has the right to issue a Stop Work Order for an individual project or the CRC Project and suspend payments to the Grantee. SGC 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.

Both SGC and the Grantee have the right to terminate the Grant Agreement prior to the end of the grant term upon thirty (30) calendar days of written notice. The written notice shall specify the reason for early termination and may permit SGC or the Grantee to rectify any deficiencies prior to the termination date.

CALIFORNIA STRATEGIC
GROWTH COUNCIL

SECTION V: TECHNICAL ASSISTANCE

SGC Staff intend to select technical assistance (TA) providers with both technical expertise and demonstrated experience working with or supporting priority communities.

A. APPLICATION

To support the development of competitive proposals, SGC will offer application TA from third-party providers (TA providers) to eligible Applicants for the CRC Implementation and Planning Grants. Depending on the volume of applications received, SGC Staff will prioritize Applicants from priority communities for application TA for both Implementation and Planning Grants *(see Section II, D: Priority Communities)*.

Important points about Application TA:

- All Implementation Grant Applicants must complete a technical assistance survey that indicates intent to apply and willingness to participate in technical assistance within the first two (2) weeks following the release of the Notice of Funding Availability (NOFA) to be eligible for TA.
- All Applicants must 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 Program Thresholds *(see Section III, H: Application Process and Components)* 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 completed by the TA providers with the Applicants will be used to inform, but not disqualify, the Applicants.
- Receiving Application TA does not guarantee that an Applicant will be awarded either a CRC Planning or Implementation Grant.

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

- Assistance developing Community Engagement Plans, Emergency Plans, Year-Round Community Resilience Plans (plans can be further refined during CRC grant award term);
- Financial analysis and budget development;
- Identification of Project Area, integration of Projects, and cost estimates;
- Assessment of project readiness;
- Provision of templates for feasibility studies and energy audits; and
- Direct application assistance, including review of responses and application coordination.

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

- Frameworks, tools, and templates for CRC Applicants; and

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GROWTH COUNCIL

- Direct application assistance, including review of responses and application coordination.

B. IMPLEMENTATION

Applicants awarded CRC Implementation Grants will receive Implementation TA and other technical support from representatives of SGC and other State entities throughout the implementation of their CRC Proposal for a timeframe to be determined by SGC. SGC will also provide Implementation TA to CRC awardees through a third-party TA provider.

Implementation TA activities for Implementation Grants may include but are not limited to:

- Support on robust, meaningful, and culturally appropriate community engagement;
- Facilitation for Collaborative Stakeholder Structure process;
- Project management;
- Assistance in attracting and leveraging additional financing;
- Assistance developing and promoting transformative plans;
- Assistance strengthening organizational capacity to integrate implementation efforts; and
- Reporting

SGC does not plan to provide Implementation TA for Planning Grants.

CALIFORNIA STRATEGIC
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SECTION VI: APPENDICES

APPENDIX A: GLOSSARY & KEY TERMS

Access and Functional Needs (AFN) – Term referring to individuals who are or have: physical, developmental, or intellectual disabilities; chronic conditions or injuries; limited English proficiency; older adults; children; low-income, homeless, and/or transportation disadvantaged or public transit-dependent; and pregnant people.[26]

Adaptive Capacity - The ability of systems, institutions, humans, and other organisms to adjust to potential damage, take advantage of opportunities, or respond to consequences. Vulnerable communities have less adaptive capacity to cope with, adapt to, and recover from climate impacts. Adaptive capacity can be assessed by using publicly accessible tools.

Advance Payment - Any payment made to a contractor before work has been performed or goods have been delivered. Advance payments are permitted only if authorized by statute. (For example, interagency agreements may provide for advance payments under (GC § 11257.)[27]

Applicant - The lead Applicant and co-Applicants are collectively referred to as "Applicants."

Application or Proposal - A submittal comprised of responses and supporting documents to apply for the grant.

Awarded - An agency commits funding to implement projects (e.g., executed a grant agreement with a Grantee; transferred funds to another agency or program administrator).

Capacity Building - The process of strengthening local coordination, leadership, knowledge, skills, expertise, and access to resources in vulnerable communities to help to develop or increase the ability of that community to independently compete for grants and implement projects in the future. Capacity building activities include, but are not limited to, identifying and planning for needed climate change mitigation and adaptation projects in a given region and identifying the tools and resources needed to successfully access, apply for, and receive grant funding.

Capital Projects – CRC Facility construction and retrofits and Campus Amenities.

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[26] California Governor's Office of Emergency Services. 2022. *Access and Functional Needs (AFN).* <https://www.caloes.ca.gov/office-of-the-director/policy-administration/access-functional-needs/>
[27] California Department of General Services (DGS). 2022. *State Contracts Manual (SCM), Volume 1 Glossary.* <https://www.dgs.ca.gov/OLS/Resources/Page-Content/Office-of-Legal-Services-Resources-List-Folder/State-Contracting>

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GROWTH COUNCIL

California Native American Tribe - A Native American Tribe that is on the contact list maintained by the Native American Heritage Commission (NAHC) for the purposes of Chapter 905 of the Statutes of 2004 (Pub. Resources Code, § 21073).[28]

Campus Amenities - Activities related to construction or improvements to amenities at or based in the CRC Facility that strengthen the local community's resilience to climate and other disasters, such as a microgrid or shade trees located on site at the resilience center.

Climate Adaptation - Adjustment in natural or human systems to a new or changing environment. 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.

Climate Resilience - Resilience is the capacity of any entity – an individual, a community, an organization, or a natural system – to prepare for disruptions, recover from shocks and stresses, and adapt and grow from a disruptive experience.

Climate Vulnerability - Climate vulnerability describes the degree to which natural, built, and human systems are at risk of exposure to climate change impacts. Vulnerable communities experience heightened risk and increased sensitivity to climate change and have less capacity and fewer resources to cope with, adapt to, or recover from climate impacts. These disproportionate effects are caused by physical (built and environmental), social, political, and/ or economic factor(s), which are exacerbated by climate impacts. These factors include, but are not limited to, race, class, sexual orientation and identification, national origin, and income inequality.[29]

Co-Applicant - Entities other than the lead Applicant that enter into a Partnership with other organizations to apply for an Adaptation Planning Grant.

Co-Benefits - The ancillary or additional benefits of policies that are implemented with a primary goal, such as climate change mitigation – acknowledging that most policies designed to reduce greenhouse gas emissions also have other, often at least equally important, benefits (e.g., energy savings, economic benefits, air quality benefits, public health benefits). Also referred to as "multiple benefits" (U.S. Environmental Protection Agency).

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[28] California Strategic Growth Council. 2022. *Transformative Climate Communities (TCC) Program: Round 4 Guidelines.* p.61 <https://sgc.ca.gov/meetings/council/2022/docs/20220428-Item5a_TCC_Guidelines_Round%204_Technical%20Amendment_Clean.pdf>

[29] California Governor's Office of Planning and Research (OPR). 2020. Integrated Climate Adaptation and Resiliency Program (ICARP) Technical Advisory Committee. <https://opr.ca.gov/climate/icarp/vulnerable-communities.html>

CALIFORNIA STRATEGIC
GROWTH COUNCIL

Community-Based Organization (CBO) - 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

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.

Community Resilience Services and Programs - Services and programs that operate out of the CRC Facility that build community resilience and encourage year-round use of the CRC Facility, in addition to use during emergency activations.

CRC Emergency Plan – Plan outlining processes and procedures that will take place at the CRC Facility during emergencies. Includes mobility, emergency communications, coordination, and agreements. Draft required in Implementation Grant proposal; final due by end of grant term.

CRC Facility – Facility serving as Community Resilience Center. Campus amenities and community resilience services and programs must be connected to and based out of the CRC Facility, respectively.

CRC Year-Round Community Resilience Plan – Plan outlining services and programs operating out of the CRC year-round to ensure ongoing usage of the CRC. Draft required in Implementation Grant proposal; final due by end of grant term.

Direct Costs - Costs directly tied to the implementation of the Community Resilience Centers grant, including, but not limited to personnel costs, subcontracts, equipment costs, travel expenses, etc.

Disadvantaged Communities - Designation of census tracts and physical locations used to identify the areas most affected by pollution and the people most vulnerable to its effects, based on geographic, socioeconomic, public health, and environmental hazards criteria. The California Environmental Protection Agency (CalEPA) historically bases designations on analyses conducted by the California Communities Environmental Health Screening Tool (CalEnviroScreen) but can also exercise discretion in developing other criteria and methods.

Disadvantaged Unincorporated Communities (DUC) - An inhabited and unincorporated community that includes 10 or more dwelling units in proximity or where 12 or more registered voters reside and have an annual median household income that is 80 percent (80%) or less of the statewide median housing income (SB 244 [Wolk, 2011]).

Disaster - A serious disruption of the functioning of a community or a society at any scale due to hazardous events interacting with conditions of exposure, vulnerability and capacity, leading to

CALIFORNIA STRATEGIC
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one or more of the following: human, material, economic and environmental losses and impacts.[30]

Encumbrance – Funds not yet spent but already appropriated for a specific purpose. A commitment of funds guaranteeing a source of payment for a specific transaction.[31]

Fiscal Agent – A legal entity with legal authority, history, and capacity to administer state funds. A Fiscal Agent can make disbursements on behalf of the Applicant.

Grant Agreement - Arrangement between the State and grantee specifying the payment of funds to be used for grants by the State for the performance of specific Community Resilience Centers 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

Hazard - An event or physical condition that has the potential to cause fatalities, injuries, property damage, infrastructure damage, agricultural losses, damage to the environment, interruption of business, or other types of harm or loss.[32]

Hazard Mitigation - Any action to reduce or eliminate the long-term risk to human life and property from hazards. The term is sometimes used in a stricter sense to mean cost-effective measures to reduce the potential for damage to a facility or facilities from a disaster event.

Implementation Grant – Funding for Community Resilience Centers, including construction and retrofit of CRC Facility, Campus Amenities, and services and programs.

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

Indirect Costs - Expenses of doing business that is 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.

In-Language Materials and Activities – Materials and activities translated into relevant languages based on local community residents' language needs.

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[30] United Nations Office for Disaster Risk Reduction (UNDRR). 2022. <https://www.undrr.org/terminology/disaster>
[31] California Department of General Services (DGS). 2022. *State Contracts Manual (SCM), Volume 1 Glossary.* <https://www.dgs.ca.gov/OLS/Resources/Page-Content/Office-of-Legal-Services-Resources-List-Folder/State-Contracting>
[32] California Governor's Office of Emergency Services (CalOES). 2018. *State Hazard Mitigation Plan (SHMP).* p.14. <https://www.caloes.ca.gov/wp-content/uploads/002-2018-SHMP_FINAL_ENTIRE-PLAN.pdf>

CALIFORNIA STRATEGIC
GROWTH COUNCIL

Joint Powers Authority (JPA) - A government entity, formed by a formal, legal agreement, comprised of two or more public agencies that share a common power and want to jointly implement programs, build facilities, or deliver services.

Lead Applicant - An entity that enters into a Partnership with other organizations for purpose of applying for a CRC 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 portion of the CRC 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 whose Project Areas cross jurisdictional boundaries.

Mitigation – An effort to reduce the loss of life and property by lessening the impact of disasters.[33]

Natural Hazard – An environmental phenomenon that has the potential to impact societies and the human environment.

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

Partner - Entities other than the Grantee that enter into a Partnership with the Grantee and other organizations to implement Community Resilience Centers 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 - Funding for planning activities to prepare a community and site for a future Community Resilience Center.

Planning Area – Area containing proposed CRC Facility site and associated strategies and activities. Requirement for CRC Planning Grants.

Plan Alignment – Plan alignment is the process of leveraging connections, information, and resources to build shared language, data foundations, and processes across multiple planning efforts at any scale. The resulting products of plan alignment are:

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[33] Federal Emergency Management Agency (FEMA).

CALIFORNIA STRATEGIC
GROWTH COUNCIL

- a suite of plans (with different scopes and purposes) that share the same data, similar underlying assumptions, aligned visions, complementary goals, strategies, and actions, and
- a shared understanding, process, and structure for multiple entities in a community or region to continue to collaborate and align efforts over the long term.

Post-award Consultation - Prior to the execution of the grant agreement, a 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. CRC Implementation Grants and CRC Planning Grants each have specific program objectives. *See Section III, A: CRC Implementation Grant Program Objectives and Section IV, A: CRC Planning Grant Program Objectives, respectively.*

Project Area - Area containing proposed CRC Facility, campus amenities connected to the CRC Facility, and community resilience services and programs based out of the CRC Facility. Requirement for CRC Implementation Grants.

Public Entities - Include cities, counties, Metropolitan Planning Organizations (MPOs), Joint Powers Authorities (JPAs), Regional Transportation Planning Agencies (RTPAs), and Councils of Governments (COGs). Public entities may also include California institutions of higher education, districts, public authorities, public agencies, political subdivisions, and public corporations (California GC § 811.2).

Risk - The likelihood of loss of life, injury, or destruction and damage from a disaster in a given period.[34]

Technical Assistance (TA) - Aid and support provided to Applicants, including application and implementation TA.

Vision Statement - A statement developed by Applicants that articulates how all of the strategies and/or activities proposed in the overall CRC Proposal will be coordinated and integrated to achieve all CRC Program Objectives.

Vulnerable Resident and/or Community - Vulnerable residents and vulnerable communities experience heightened risk and increased sensitivity to climate change and have less capacity and fewer resources to cope with, adapt to, or recover from climate impacts. These disproportionate effects are caused by physical (built and environmental), social, political, and/or economic factors (s), which are exacerbated by climate impacts. These factors include, but are not limited to, race, class, sexual orientation and identification, national origin, and income inequality.

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[34] Federal Emergency Management Agency (FEMA).

CALIFORNIA STRATEGIC
GROWTH COUNCIL

APPENDIX B: COLLABORATIVE STAKEHOLDER STRUCTURE

Partnership Agreement

Applicants must develop a Partnership Agreement that is signed by the Lead Applicant and all Co-Applicants that describes the governance, organization, and financial relationships of the Collaborative Stakeholder Structure.

The Collaborative Stakeholder Structure will govern implementation of the entire CRC 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: processes for handling disputes and procedures to change, add, or remove members
- Legal and financial considerations including: liability provisions, financial relationships between the Grantee and Partners, the process the Grantee will use to reimburse or provide advance pay to the Partners, and procurement processes
- Transparent decision-making processes amongst Grantee and the Partners
- Transparent process for involving community representatives and other community-based organizations that are not included within the formal Grant Agreement in decision-making
- Non-discrimination clause; and
- Meeting facilitation procedures including frequency of meetings, minimum number of meetings open to the public, means for publishing meeting agenda, and notes for public access, with consideration for location, virtual access, and language access.

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 the grant activities.

Governance & Conflict Resolution

Critical to the success of the Collaborative is the creation of and adherence to effective strategies around governance and conflict resolution. Applicants should establish clear and collectively agreed upon structures and processes to guide the operation of the Collaborative Stakeholder Structure including, but not limited to: leadership and governance, shared-power, transparency and accountability, the addition or removal of members, amendments to the overall workplan and budget, transition and turn-over, and decision making. Conflict is

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GROWTH COUNCIL

a natural element of Collaborative action and collective impact. Applications should include clear strategies for conflict resolution within the Collaborative and should reflect best practices, recognition of power imbalances, and value for diverse opinions and theories of change.

Representation

Collaborative Stakeholder Structures should include a diverse set of stakeholders and organizations that represent the broader community. Applicants should strive to include representation across sectors, subject matter expertise, lived experience, and inter-generational perspectives to most effectively serve local communities in a culturally sensitive manner while informing project decision-making. Per statute, Collaborative Stakeholder Structures must include local residents and community-based organizations in governance and decision-making.

Given the scope and objectives of CRC Implementation and Planning Grants, Collaborative Stakeholder Structures should consider, but are not limited to, the following: California Native American Tribes, community-based organizations, direct service organizations, service providers, emergency management agencies and organizations, operators and responders, public agencies, community residents, consultants, and other organizations that represent and serve historically excluded communities. SGC recommends anticipating additional training, orientation, and support to ensure adequate and meaningful participation from each entity, given traditional power imbalances facing local residents, community-based organizations, and lower-capacity organizations.

CALIFORNIA STRATEGIC
GROWTH COUNCIL

APPENDIX C: COMMUNITY ENGAGEMENT

Key Considerations and Recommended Activities to Ensure Robust, Meaningful, and Culturally Appropriate Community Engagement

Key Considerations

Key considerations for community engagement include, but are not limited to, the following:

- Robust: Requires comprehensive strategy that aligns clearly with overall objectives throughout every phase (design, application, implementation, and evaluation)
  - Considers frequency, type, and depth of engagement activities
- Meaningful: Delivers clear benefits and outcomes to local community members
  - Ideally builds local knowledge on issues, supports local priorities, and demonstrates impact of community engagement
- Culturally appropriate: Demonstrates clear understanding of local community members, their communication needs and preferences, and adjusts accordingly
  - Translates as needed, simplifies technical language, employs mix of approaches that most effectively connects with local community members

Community Engagement Requirements

CRC 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 CRC-funded Project
- Activity is located within the defined CRC Project Area
- Activity is focused on meaningfully engaging community stakeholders located or involved within the defined CRC Project Area

Recommended Activities[35]

Activities to Inform Community Stakeholders and to Solicit Stakeholder Input

- 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

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[35] California Strategic Growth Council. 2022. *Transformative Climate Communities (TCC) Program: Round 4 Guidelines.* Appendix C-1. <https://sgc.ca.gov/meetings/council/2022/docs/20220428-Item5a_TCC_Guidelines_Round%204_Technical%20Amendment_Clean.pdf>

CALIFORNIA STRATEGIC
GROWTH COUNCIL

- Community Working Group

Activities to Engage Community Stakeholders in Development of CRC Proposal

- Design charrettes
- Community-based participatory research
- Participatory budgeting[36]
- Convene advisory body, community working group 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 CRC Proposal development

Activities to Ensure Community Engagement During Implementation of CRC Project

- 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
- Steering committee relative to the participatory budget established
- Advisory body, community working group, or shared decision-making body
- Additional activities to provide community stakeholders an opportunity to influence the CRC Proposal development
- Maintain community engagement throughout the CRC Implementation Plan

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[36] Participatory Budgeting Project. How Participatory Budgeting Works.
<https://www.participatorybudgeting.org/how-pb-works/>

CALIFORNIA STRATEGIC
GROWTH COUNCIL

APPENDIX D: EXAMPLES OF ELIGIBLE ACTIVITIES

Examples of eligible CRC activities are listed below by eligible activity category. These are intended to serve as examples of how project funds may be used and <u>do not constitute an</u> <u>exhaustive list</u> of eligible activities.

A single activity may apply to multiple eligible activity categories (CRC Facility, Campus Amenities, and Community Resilience Services and Programs). The lists below provide examples of where an activity might apply to one activity category, or multiple.

Selected activities do not have to directly correlate to a strategy, but Applicants should ensure that at least 4 Strategies are addressed by the proposed project activities for CRC Implementation Grants. *For more information, please see Section III, C: Strategies.*

CRC Facility

- Roof upgrades
- Mold abatement
- Seismic retrofits
- Heat-reflecting paint for roof
- Structure hardening
- Building envelope strengthening, including window and sealant upgrades
- Electric kitchen appliance replacement
- Energy-efficient washer & dryer replacement
- Water-efficient appliance upgrades (dishwashers, toilets, showerheads, etc.)
- HVAC system replacement
- Filtration upgrades to existing heating, ventilation, and cooling systems
- Passive cooling retrofits and fans
- Construction of additional spaces, such as training and equipment storage spaces for Community Emergency Response Teams, or a computer lab
- Emergency equipment such as cots, emergency food & water
- General building equipment such as chairs, computers, projector

CRC Facility & Campus Upgrades

- Land acquisition
- Solar installation
- Connection to wastewater services
- Broadband connection or installation
- Installation of critical communications services and associated upgrades
- Outdoor cooling solutions
- Islanded microgrids with renewable energy generation and storage
- Backup power and fuel-switching
- Indoor and outdoor air monitors

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- Commercial kitchen installation

Campus Amenities

- Lawn replacement with water-wise landscape
- Drought-tolerant landscaping
- Shade tree planting
- Permeable surface installation
- Vegetation management
- Community garden construction & localized food production
- Park/green space development
- Electric vehicle (EV) charging infrastructure
- EV fleet based at CRC
- EV Carshare purchased & housed at CRC parking lot
- Mobile clinic housed at CRC
- Mobile units and shuttles for Access & Functional Needs (AFN) communities, especially seniors, people with disabilities, and transit-dependent community members
- Construction of bus stop on site or adjacent to CRC campus
- Public transit service extension to CRC campus
- Closing gaps in bike and pedestrian network within 1 mile of CRC (bike lanes, sidewalks)

Community Resilience Services & Programs

Health & Well-being

- Community vaccine clinic operating out of CRC & mobile clinic
- Wellness and mental health care programs
- N95 mask distribution
- Education on heatstroke and extreme heat-related illnesses
- Programs tracking indoor and outdoor air quality, asthma, and public health impacts
- Food & water distribution to community members
- Food processing and storage
- Cooking and gardening classes
- Agricultural and healthy food educational opportunities for community members

Emergency Preparedness & Response

- Emergency management, response, and recovery planning & functions
- Disaster preparedness kit distribution to community members
- Disaster and evacuation planning and education
- Wildfire management trainings
- CERT Trainings

Access & Mobility

- Electric vehicle carshare program operations, for carshare located at CRC

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- Paratransit service operations to and from CRC
- Vanpool operations for vanpools to and from CRC

Information Distribution

- Pamphlets & multimedia communications distribution on how to stay healthy during poor air quality and extreme heat days
- Flyer distribution on energy rebate programs
- Creation and distribution of in-language pamphlets and multimedia communications on extreme heat and other climate emergencies

Housing Affordability & Protection

- Case management & enrollment of community members in weatherization assistance programs
- Trainings and resources on how to maintain defensible space around homes in wildfire-prone areas

Workforce Development

- Electric vehicle technician training classes
- Solar Installation Certification courses
- Community health worker certification programs
- GED classes
- Trainings on outdoor workers' rights and protection during extreme heat events
- Computer literacy classes
- Classes and networking for contractors and other workers
- Entrepreneurship and small business incubation programs
- Leadership development programs to build local grassroots leadership

APPENDIX E: SITE CONTROL[37]

"Site Control" means the Lead Applicant or Co-Applicant has control of property through one or more of the following:

1) Fee title;
2) 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;
3) An enforceable option to purchase or lease which shall extend through the anticipated date of the Program award as specified in the Round 1 Notice of Funding Availability (anticipated Spring 2023);
4) An executed disposition and development agreement, right of way, or irrevocable offer of dedication to a Public Agency;
5) An executed encroachment permit for construction of improvements or facilities within the public right of way or on public land;
6) 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;
7) A land sales contract or enforceable agreement for acquisition of the property; or
8) Other forms of site control that give SGC assurance (equivalent to 1-7 above) 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 CRC Program.

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[37] California Strategic Growth Council. 2021. *Affordable Housing and Sustainable Communities (AHSC) Program: Round 6 Guidelines.* p.p.65-66. <https://sgc.ca.gov/meetings/council/2021/docs/20210224-AHSC_Round_6_Guidelines.pdf>

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