



Funding Guidelines Supplement for FY 2016-17 Funds

Cap-and-Trade Auction Proceeds
**Funding Guidelines to Agencies that Administer
California Climate Investments**



Date: December 30, 2016

California Environmental Protection Agency

 **Air Resources Board**

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California Air Resources Board
Cap-and-Trade Auction Proceeds
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California Climate Investments

PROGRAM WEBPAGE

For more information on this topic and upcoming meetings, please see the program website for Administration activities at:
<http://www.arb.ca.gov/auctionproceeds>.

DOCUMENT AVAILABILITY

Electronic copies of this document and related materials can be found at:
www.arb.ca.gov/auctionproceeds. Alternatively, paper copies may be obtained from the Air Resources Board's Public Information Office, 1001 I Street, 1st Floor, Visitors and Environmental Services Center, Sacramento, California, 95814, (916) 322-2990.

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QUESTIONS

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I. Purpose

In accordance with Senate Bill (SB) 862 (Chapter 36, Statutes of 2014), the Air Resources Board (ARB or Board) must develop funding guidelines for State agencies, local transit agencies, and academic institutions (administering agencies) that receive a direct appropriation of auction proceeds from the Greenhouse Gas Reduction Fund (GGRF) to ensure statutory requirements are met. To comply with this law, the Board approved and ARB released the final version of the *Cap-and-Trade Auction Proceeds, Funding Guidelines for Agencies that Administer California Climate Investments*¹ (Funding Guidelines) in December 2015 to help administering agencies use appropriations in a way that reduces greenhouse gases, furthers the purposes of Assembly Bill (AB) 32 (Núñez, Chapter 488, Statutes of 2006), maximizes benefits to disadvantaged communities, and meets the other statutory requirements. The document was the result of a robust public process that included a series of public workshops and a public hearing before the Board on September 24, 2015.

This document, the *Funding Guidelines Supplement for FY 2016-17 Funds* (Supplement), is to be used in conjunction with the Funding Guidelines, and provides interim direction for administering agencies implementing the September 2016 funding appropriations established in the Budget Act of 2016 (AB 1613, Chapter 370, Statutes of 2016).

To obtain public input, a draft of this Supplement was made available for a three week comment period that ended on December 6, 2016. ARB received 14 public comments on the Supplement and those comments have been considered in developing this final Supplement. Several of these comments were focused on issues outside the scope of this Supplement (e.g. AB 1550 (Gomez, Chapter 369, Statutes of 2016) implementation, suggested changes to legislative appropriations, changes in GHG quantification, and others). While these comments were outside the scope of this document, many of them will inform ARB's broader Funding Guidelines update occurring in 2017. This broader effort will provide guidance to all GGRF administering agencies on the implementation of AB 1550, as well as other updates to continue and expand existing GGRF accountability and transparency provisions. There will also be additional opportunities for public feedback during the development of the Funding Guidelines update.

The guidance included in this Supplement is in accordance with existing SB 535 (De León, Chapter 830, Statutes of 2012) requirements regarding benefits to disadvantaged communities. The passage of AB 1550 modifies the existing disadvantaged community investment requirements in SB 535, and further provides new investment targets for low-income households and low-income communities. ARB and agency partners are in the process of transitioning to full implementation of AB 1550 as part of FY 2017-18 funded programs.

¹ Air Resources Board, "Cap-and-Trade Auction Proceeds, Funding Guidelines for Agencies that Administer California Climate Investments," December 21, 2015, available at: www.arb.ca.gov/ccifundingguidelines.

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The purpose of this Supplement is to provide:

1. Disadvantaged community investment targets for all programs based on the FY 2016-17 budget appropriations and current statutory requirements under SB 535.
2. For new programs created under 2016 legislation, criteria for how to determine whether proposed projects provide benefits to disadvantaged communities, in accordance with current requirements under SB 535.
3. For new programs created under 2016 legislation, guidance on reporting requirements.

This Supplement provides requirements and guidance for agencies administering GGRF appropriations; each agency is ultimately responsible for including the provisions of the Funding Guidelines and the provisions of this Supplement when designing its programs and developing its administrative guidelines or administrative requirements that establish the agency's project selection and project implementation criteria.

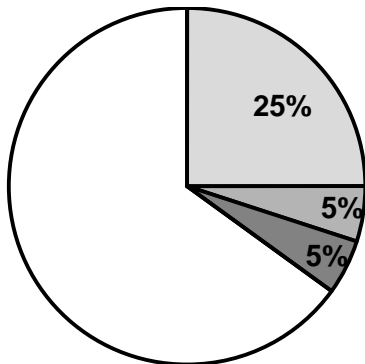
II. GGRF Legislative Changes in 2016

In September 2016, the Legislature passed, and the Governor signed, a suite of GGRF legislation that updates the implementation direction for the GGRF, including the following:

- AB 1613 appropriated \$900 million from GGRF through amendments to the FY 2016-17 State Budget.
- SB 859 (Budget and Fiscal Review, Chapter 368, Statutes of 2016) created new requirements for existing GGRF programs and also established new GGRF programs.
- AB 2722 (Burke, Chapter 371, Statutes of 2016) established the Transformative Climate Communities Program to be funded by the GGRF. The competitive grant program will fund technical assistance, planning, and project implementation for multiple, coordinated greenhouse gas emission reduction projects addressing a range of environmental issues in order to benefit disadvantaged communities.
- AB 1550 will update the existing requirements in SB 535 when it becomes effective in 2017. Figure 1 illustrates the requirements of these new AB 1550 provisions.

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Figure 1 – Minimum Investments to Benefit Disadvantaged and Low-Income Communities (AB 1550 Requirements)



- 25 percent to projects within and benefiting disadvantaged communities*;
- 5 percent to projects within and benefiting low-income communities* and/or benefiting low-income households statewide; and
- 5 percent to projects within and benefiting low-income communities*, and/or benefiting low-income households, that are within ½ mile of disadvantaged communities.
- The remaining 65% of the investments can be made anywhere in the State, including additional investments in disadvantaged and low-income communities beyond the minimum AB 1550 requirements.

*Community based projects must benefit individuals living in those communities.

Note on AB 1550 Implementation: This Supplement is focused on the FY 2016-17 definition of disadvantaged communities and minimum investment targets; it does not include any direction on investment targets or criteria to meet the requirements enacted under AB 1550. Guidance on the implementation of AB 1550 will be included in the 2017 update to the Funding Guidelines. The broader Funding Guidelines update in 2017 will include public workshops and multiple opportunities for public input on how best to establish a consistent set of requirements and recommendations for implementing AB 1550 requirements across all GGRF programs.

III. FY 2016-17 Appropriations from the GGRF

In 2016, the Legislature and Governor enacted AB 1613, which amended the FY 2016-17 State Budget and appropriated auction proceeds to administering agencies to fund projects. The appropriations directed funding to existing programs and also created several new programs, including: Transformative Climate Communities, Active Transportation, Urban Greening, Healthy Soils, and Woodsmoke Reduction.

In addition to funds appropriated to State agencies through the Budget Act of 2016 (SB 826 (Chapter 23)), the statutory requirements enacted by SB 862 provide continuous appropriations of future GGRF monies for transportation, transit, land use, housing, and agricultural land preservation programs. Table 1 provides a comprehensive summary of the existing programs funded through the GGRF to date, as well as all FY 2016-17 budget appropriations.



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Table 1 – California Climate Investments from the GGRF**



| | Prior Funding To Date (\$M) | FY 2016-17 Funding (\$M) |
|---|--------------------------------|--|
| High Speed Rail Authority | | |
| High Speed Rail | \$707 | 25% Continuous Appropriation |
| California State Transportation Agency | | |
| Transit and Intercity Rail Capital Program | \$208 | \$135+ 10% Continuous Appropriation |
| California Department of Transportation | | |
| Active Transportation Program – NEW for 2016 | | \$10 |
| Low Carbon Transit Operations Program | \$116 | 5% Continuous Appropriation |
| Strategic Growth Council | | |
| Transformative Climate Communities – NEW for 2016 | | \$140 |
| Technical Assistance – NEW for 2016 | | \$2 |
| Affordable Housing and Sustainable Communities Program¹ | \$496 | 20% Continuous Appropriation |
| California Air Resources Board | | |
| Low Carbon Transportation | \$325 | |
| Clean Vehicle Rebate Project | | \$133 |
| Light-Duty Equity Projects | | \$80 |
| Heavy-Duty Vehicles and Off-Road Equipment | | \$150 |
| Woodsmoke Reduction Program – NEW for 2016 | | \$5 |
| California Department of Community Services and Development | | |
| Low-Income Weatherization Program | \$154 | \$20 |
| California Department of Food and Agriculture | | |
| Healthy Soils Program – NEW for 2016 | | \$8 |
| Dairy Methane Program | \$12 | \$50 |
| Agricultural Energy and Operational Efficiency Program | \$60 | \$8 |
| Alternative and Renewable Fuels Program | \$3 | |
| California Department of Water Resources | | |
| Water-Energy Efficiency Program | \$50 | |
| State Water Project | \$20 | |
| California Energy Commission | | |
| Energy Efficiency in Public Buildings – Currently on hold | \$20 | |
| California Natural Resources Agency | | |
| Urban Greening Program – NEW for 2016 | | \$80 |
| California Department of Forestry and Fire Protection | | |
| Forest Health Program | \$24 | \$25 |
| Urban and Community Forestry Program | \$18 | \$15 |
| California Department of Resources Recycling and Recovery | | |
| Waste Diversion Program | \$31 | \$40 |
| California Department of Fish and Wildlife | | |
| Wetlands and Watershed Program | \$27 | |
| Total Funding To Date Including FY 2016-17 | \$2,271 | \$900+ 60% Continuous Appropriation |

¹Includes the Sustainable Agricultural Lands Conservation Program.
Dollars are rounded to the nearest million.

IV. Disadvantaged Community Investment Targets for Agencies Administering FY 2016-17 Funds

SB 535 requires that a minimum of 25 percent of California Climate Investments is allocated to projects that provide benefits to disadvantaged communities, and of that 25 percent, a minimum of 10 percentage points is allocated to projects that are also located within disadvantaged communities. The California Environmental Protection Agency (CalEPA) identified disadvantaged communities using CalEnviroScreen, a tool developed by the Office of Environmental Health Hazard Assessment that assesses all census tracts in California to identify the areas disproportionately burdened by and vulnerable to multiple sources of pollution. The FY 2016-17 investment targets established for disadvantaged communities in this Supplement are based on the disadvantaged community designations made by the Secretary for Environmental Protection at CalEPA, based on the 25 percent highest-scoring census tracts in CalEnviroScreen 2.0. Consistent with the Funding Guidelines, any updates to disadvantaged community designations will apply to projects funded with subsequent fiscal year appropriations.

The SB 535 percentage requirements apply to the overall appropriation from the GGRF, rather than to each agency appropriation. While statute encourages all agencies to maximize benefits for disadvantaged communities wherever possible, there are certain programs that are better suited for being located within disadvantaged communities (e.g., urban forestry) and some well-suited to provide benefits to those communities even if they are located outside the boundaries of those census tracts (e.g., low carbon transportation). In addition to the overall SB 535 targets for the GGRF, SB 862 and SB 859 also include individual specific disadvantaged community investment targets for some, but not all, of the GGRF programs. These individual program targets include:

- Transit and Intercity Rail Capital Program: at least 25 percent to projects benefiting disadvantaged communities.
- Low Carbon Transit Operations Program: for those operators with disadvantaged communities in their service areas, the operators must direct at least 50 percent of funding to benefit disadvantaged communities. The requirement does not apply to transit operators that do not have disadvantaged communities in their service areas.
- Affordable Housing and Sustainable Communities Program: at least 50 percent to projects benefiting disadvantaged communities.
- Urban Greening Program: at least 75 percent of \$80 million to projects that are located in, and that provide benefits to, disadvantaged communities.²

Table 2 identifies the estimated minimums to benefit disadvantaged communities for each of the FY 2016-17 programs, based on the current SB 535 requirements. The targets were developed by the Administration in consultation with administering agencies and community stakeholders. Implementation of these FY 2016-17 targets will result in over 35 percent of investments for projects located within disadvantaged communities and positions the GGRF program as a whole to implement AB 1550.

² Statute defines disadvantaged community for this program only as a community identified pursuant to SB 535 or a community with a median household income less than 80% of the statewide average.

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Table 2: Estimated Minimums to Benefit Disadvantaged Communities (FY 2016-17)

| FY 2016-17 Continuous Appropriations | | | | | |
|---|--------------------------------|--|--------------|----------------------------------|--------------|
| Program Name (Agency) | Continuous Appropriation (%) | Potential Funds to Benefit Disadvantaged Communities, based on SB 535 ¹ | | | |
| | | Benefiting | | Subtotal Located In ² | |
| | | % | % | % | % |
| High Speed Rail (HSRA) | 25% | --- | --- | --- | --- |
| Transit and Intercity Rail Capital Program (CalSTA) | 10% | 50% | 50% | 25% | 25% |
| Low Carbon Transit Operations Program (Caltrans) | 5% | 50% | 50% | 25% | 25% |
| Affordable Housing and Sustainable Communities (SGC) | 20% | 50% | 50% | 25% | 25% |
| Subtotals for Continuous Appropriations | 60% | 29% | 29% | 15% | 15% |
| FY 2016-17 Appropriations | | | | | |
| Program Name (Agency) | FY 2016-17 Appropriation (\$M) | Potential Funds to Benefit Disadvantaged Communities, based on SB 535 ¹ | | | |
| | | Benefiting | | Subtotal Located In ² | |
| | | % | (\$M) | % | (\$M) |
| Transit and Intercity Rail Capital Program (CalSTA) – beyond continuous appropriation | \$135 | 50% | \$68 | 25% | \$34 |
| Active Transportation Program (Caltrans) | \$10 | 50% | \$5 | 50% | \$5 |
| Low Carbon Transportation (ARB) | | | | | |
| Clean vehicle rebates (CVRP) ³ | \$133 | >33% | \$44 | >5% | >\$7 |
| Light-duty equity projects ⁴ | \$80 | >95% | \$76 | >10% | >\$8 |
| Heavy-duty vehicles and off-road equipment ⁵ | \$150 | >75% | \$113 | >38% | >\$57 |
| Transformative Climate Communities (SGC) | \$140 | 100% | \$140 | 100% | \$140 |
| Weatherization Upgrades/Renewable Energy (CSD) | \$20 | 75% | \$15 | 75% | \$15 |
| Climate Smart Agriculture (CDFA) | \$65 | --- | --- | --- | --- |
| Woodsmoke Reduction (ARB) | \$5 | --- | --- | --- | --- |
| Urban Forestry (CAL FIRE) | \$15 | 75% | \$11 | 75% | \$11 |
| Forest Health (CAL FIRE) | \$25 | --- | --- | --- | --- |
| Urban Greening (CNRA) | \$80 | 75% | \$60 | 75% | \$60 |
| Waste Diversion (CalRecycle) | \$40 | --- | --- | --- | --- |
| Subtotal for FY 2016-17 Appropriations⁶ | \$898 | 59% | \$531 | 37% | \$337 |

Dollars and percentages rounded to the nearest whole number.

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¹ For programs that are particularly suited to implement projects that can directly address community needs, draft percentage values are entered in the table above for "Benefiting" and "Subtotal Located In". Other programs where a dash "-" is entered as a placeholder are also expected to support projects that provide community benefits. For example, natural resources projects such as forest health could result in improved water quality and other co-benefits for disadvantaged communities and ARB will work with agencies to document those benefits through the reporting process.

²Projects that are located in and provide a benefit to disadvantaged communities are a subtotal of, and are included in, the total percent benefiting disadvantaged communities

³CVRP percentages for "benefiting" and "located in" are based on historical data. In 2016, the CVRP program increased rebate amounts for lower-income consumers and instituted an income cap. Therefore, the percentages may increase, but the amount is to be determined.

⁴The light-duty equity projects include financing assistance for low-income consumers, which will be implemented statewide including areas outside of disadvantaged community census tracts. Therefore, an overall 95% "benefiting" percentage is estimated to account for this possibility. For the "located in" percentage, \$8M has been selected to fund car-sharing; additional investments to provide "located in" benefits are expected, but the amount is to be determined.

⁵For heavy-duty and off-road projects, the "located in" percentage is based on \$57M that has been selected to fund zero-emission truck and bus pilot projects. Additional heavy-duty projects to provide "located in" benefits are expected, but the amount is to be determined.

⁶The "Subtotal for Programs with FY 16-17 Appropriations" does not include \$2M in administrative funds that were appropriated to SGC for technical assistance for disadvantaged communities.

V. Required Criteria for Administering Agencies to Evaluate Projects for Benefits to Disadvantaged Communities

SB 535 directs California State and local agencies to provide investments that improve California's most vulnerable communities. The implementing statute requires that the triennial investment plan submitted by the Department of Finance allocate a minimum of 25 percent of available GGRF moneys to projects that provide benefits to disadvantaged communities and, within that 25 percent, a minimum of 10 percentage points to projects that both benefit and are located within disadvantaged communities. In order to be counted towards these overall targets, the Funding Guidelines require that investments (including those located within disadvantaged communities) must provide a direct, meaningful, and assured benefit to one or more disadvantaged communities, and provide a benefit that meaningfully addresses an important community need.

V.A. General Approach

Appendix A of this Supplement contains a table for each new project type that defines criteria for agencies to use to determine whether their projects are both located within disadvantaged community census tracts **and** provide direct benefits to disadvantaged communities. If a project does not meet the criteria for being "located in" a disadvantaged community census tract, agencies need to evaluate whether the project still "benefits" a community. Both of these approaches require that projects provide direct, meaningful, and assured benefits to one or more disadvantaged communities and meaningfully address an important community need, regardless of location.

To be counted towards the overall SB 535 targets, investments must result in benefits that meaningfully address an important community need. To determine community needs, applicants can use a variety of approaches such as: looking at the factors in CalEnviroScreen that caused an area to be defined as a disadvantaged community; hosting community meetings to get local input; referring to the list of common needs in Table 2-2 of the Funding Guidelines, Volume II; or receiving documentation of community support (e.g., letters or emails).

More requirements and recommendations for agencies on both maximizing disadvantaged community benefits, and approaches to determine benefits can be found in Volume II of the Funding Guidelines.

V.B. Supplemental Criteria for Administering Agencies to Evaluate Projects

This Supplement contains criteria tables in Appendix A for *project types* rather than criteria tables for each individual GGRF appropriation. To reduce redundancy, the project categories and criteria are deliberately designed to be broad enough to cover similar projects being implemented by different agencies and programs. Therefore, multiple agencies and programs may share a common criteria table, or a single

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agency's program may use multiple criteria tables. Each administering agency is responsible for identifying the project criteria table(s) that applies to its program(s).

Appendix A of this Supplement contains criteria tables for the following new project types:

- Table 2.A-4 Energy Efficiency and Renewable Energy
**This table amends the existing Table 2.A-4 found in the Funding Guidelines.*
- Table 2.A-7 Urban Forestry and Urban Greening
**This table amends the existing Table 2.A-7 found in the Funding Guidelines.*
- Table 2.A-9 Woodsmoke Reduction
- Table 2.A-10 Healthy Soils – Agricultural Practices

Note for the new Transformative Climate Communities and Active Transportation programs: Agencies administering these funding appropriations will use existing criteria tables in the Funding Guidelines to determine benefits to a disadvantaged community, specific to individual project components. For example, a Transformative Climate Communities project that includes affordable housing and transit components will refer to the existing Funding Guidelines, Table 2.A-3 for criteria specific to the housing component and Table 2.A-2 for the transit-related project component. An Active Transportation project may use criteria in Table 2.A-2 for bike sharing services or bicycle racks, or Table 2.A-3 for walking or biking infrastructure.

VI. Reporting Requirements

The reporting requirements outlined in this Supplement are for State agencies that are administering new project types created under the FY 2016-17 State Budget. Agencies must reference the ARB Funding Guidelines for a full list of the items that need to be reported for projects funded by the GGRF. The Funding Guidelines also provide additional information on how long tracking and reporting is required and how long records need to be retained after project completion. Table 3.A-2 in the Funding Guidelines summarizes the level of data that needs to be submitted for the various reporting templates.

Appendix B of this Supplement contains reporting tables for the following new project types:

- Table 3.A-17 Woodsmoke Reduction
- Table 3.A-18 Healthy Soils – Agricultural Practices
- Table 3.A-19 Active Transportation

Note for the new Transformative Climate Communities and Urban Greening programs: Agencies administering these funding appropriations will be implementing project types with existing reporting requirements. Reporting requirements applicable to project types for the Transformative Climate Communities program are included in Table 3.A-4 for Transit Projects, Table 3.A-5 for Affordable Housing and Sustainable Communities, Table 3.A-10 for Land Conservation Easements, or Table 3.A-12 for Urban Forestry in the Funding Guidelines, as well as Table 3.A-19 of this Supplement for Active Transportation projects. Reporting requirements applicable to project types for the Urban Greening program are included in Table 3.A-12 for Urban Forestry in the Funding Guidelines, as well as Table 3.A-19 of this Supplement for Active Transportation projects.

APPENDIX A

**CRITERIA FOR EVALUATING BENEFITS TO
DISADVANTAGED COMMUNITIES BY PROJECT TYPE**

This Appendix contains criteria that agencies will use to determine whether a project provides direct, meaningful, and assured benefits to a disadvantaged community. The FY 2016-17 targets identified in this Supplement are based on the disadvantaged community designations by the Secretary for Environmental Protection based on CalEnviroScreen 2.0. Consistent with the Funding Guidelines, any updates to disadvantaged community designations will apply to projects funded with subsequent fiscal year appropriations.

List of Tables (naming convention consistent with Funding Guidelines)

| | |
|--|------------|
| Table 2.A-4 Energy Efficiency and Renewable Energy | Appendix-2 |
| <i>*This table amends the existing Table 2.A-4 found in the Funding Guidelines. Updated text is highlighted in yellow.</i> | |
| Table 2.A-7 Urban Forestry and Urban Greening | Appendix-3 |
| <i>*This table amends the existing Table 2.A-7 found in the Funding Guidelines. Updated text is highlighted in yellow.</i> | |
| Table 2.A-9 Woodsmoke Reduction | Appendix-4 |
| Table 2.A-10 Healthy Soils – Agricultural Practices | Appendix-5 |

For projects funded through the new Transformative Climate Communities and Active Transportation program, agencies will use existing criteria tables to determine benefits to a disadvantaged community, specific to individual project components. For example, a Transformative Climate Communities project that includes affordable housing and transit components will refer to the existing Funding Guidelines, Table 2.A-3 for criteria specific to the housing component and Table 2.A-2 for the transit related project component. An Active Transportation project may use criteria in Table 2.A-2 for bike sharing services or bicycle racks, or Table 2.A-3 for walking or biking infrastructure.

Table 2.A-4 Energy Efficiency and Renewable Energy

Projects will achieve GHG reductions by increasing energy efficiency or renewable energy generation (e.g., more efficient heating, ventilation and air conditioning equipment, installation of solar water heaters and photovoltaic systems, irrigation pumps, upgraded lighting systems, better building envelopes such as insulation and window shading devices, energy management systems, more efficient fans, motors, pumps and variable speed controls, **community solar**).

Potential administering agencies: CSD, CEC, CDFA, DGS, UC, CSU

CRITERIA TO EVALUATE PROJECTS

Agencies can also use criteria in other applicable tables.

When selecting projects for a given investment, give priority to those that maximize benefits to disadvantaged communities (e.g., use scoring criteria that favor projects which provide multiple benefits or the most significant benefits).

Step 1 – Located Within. Evaluate the project to see if it: (1) meets at least one of the following criteria for being located in a disadvantaged community census tract* and provides direct, meaningful, and assured benefits to a disadvantaged community; and (2) meaningfully addresses an important community need**.

Project must meet the following criteria focused on energy efficiency improvements and renewable energy for disadvantaged community residents:

- A. Project provides **energy efficiency** upgrades that are located within a disadvantaged community (e.g., public buildings in a disadvantaged community, single- or multi-family housing units in a disadvantaged community); or
- B. **Project is located within a disadvantaged community and provides direct energy cost savings to residents of that community by locally generating renewable power (e.g. community solar, residential solar).**

Step 2 – Provides Benefits To. If the project does not meet the above criteria for “located within,” evaluate the project to see if it: (1) meets at least one of the following criteria for providing direct, meaningful, and assured benefits to a disadvantaged community; and (2) meaningfully addresses an important community need**.

- A. **Project provides the majority of renewable energy services to disadvantaged communities that result in direct energy cost savings to residents of those disadvantaged communities.**
- B. Project includes recruitment, agreements, policies or other approaches that are consistent with federal and state law and result in at least 25% of project work hours performed by residents of a disadvantaged community; or
- C. Project includes recruitment, agreements, policies or other approaches that are consistent with federal and state law and result in at least 10% of project work hours performed by residents of a disadvantaged community participating in job training programs which lead to industry-recognized credentials or certifications.

* For maps of disadvantaged community census tracts, refer to: <http://www.calepa.ca.gov/EnvJustice/GHGInvest/>.

** To determine community needs, agencies or applicants can use a variety of approaches such as: looking at the factors in CalEnviroScreen that caused an area to be defined as a disadvantaged community; hosting community meetings to get local input; referring to the list of common needs in Table 2-2; or receiving documentation of community support (e.g., letters or emails).

Table 2.A-7 Urban Forestry and Urban Greening

Projects will achieve GHG reductions through net increases in carbon sequestration as a result of planting, cultivating, and maintaining trees and related vegetation in urban areas. Projects may also reduce energy usage by improving the green canopy and providing shade. Projects may also reduce vehicle miles travelled through enhanced active transportation routes.

Potential administering agencies: CAL FIRE, CNRA, SGC

CRITERIA TO EVALUATE PROJECTS

Agencies can also use criteria in other applicable tables.

When selecting projects for a given investment, give priority to those that maximize benefits to disadvantaged communities (e.g., use scoring criteria that favor projects which provide multiple benefits or the most significant benefits).

Step 1 – Located Within. Evaluate the project to see if it: (1) meets at least one of the following criteria for being located in a disadvantaged community census tract* and provides direct, meaningful, and assured benefits to a disadvantaged community; and (2) meaningfully addresses an important community need**.

Project must meet the following criteria focused on environmental improvements for disadvantaged community residents:

- A. The majority (50%+) of the project is in a publicly accessible area within a disadvantaged community and, for projects that include planting trees or related vegetation, the project terms provide for maintenance of the trees and related vegetation.

Step 2 – Provides Benefits To. If the project does not meet the above criteria for “located within,” evaluate the project to see if it: (1) meets at least one of the following criteria for providing direct, meaningful, and assured benefits to a disadvantaged community; and (2) meaningfully addresses an important community need**.

Project must meet at least one of the following criteria focused on economic opportunities, or providing green space or open space, for disadvantaged community residents:

- A. The majority (50%+) of trees planted by the project are accessible by walking within ½ mile of a disadvantaged community and the project terms provide for maintenance of the trees and related vegetation; or
- B. Project significantly reduces flood risk to one or more adjacent disadvantaged communities; or
- C. Project expands or improves the usability of existing active transportation routes (walking or bicycle paths, etc.) publicly accessible by walking within ½ mile of a disadvantaged community, or improves open spaces, parks, greenbelts, and recreational areas publicly accessible by walking within ½ mile of a disadvantaged community; or
- D. Project includes recruitment, agreements, policies or other approaches that are consistent with federal and state law and result in at least 25% of project work hours performed by residents of a disadvantaged community; or
- E. Project includes recruitment, agreements, policies or other approaches that are consistent with federal and state law and result in at least 10% of project work hours performed by residents of a disadvantaged community participating in job training programs which lead to industry-recognized credentials or certifications.

* For maps of disadvantaged community census tracts, refer to: <http://www.calepa.ca.gov/EnvJustice/GHGInvest/>.

** To determine if a project meaningfully addresses important community needs, agencies or applicants can use a variety of approaches such as: looking at the factors in CalEnviroScreen that caused an area to be defined as a disadvantaged community; hosting community meetings to get local input; referring to the list of common needs in Table 2-2; or receiving documentation of community support (e.g., letters or emails).

Table 2.A-9 Woodsmoke Reduction

Projects will achieve GHG reductions by reducing woodsmoke from residential burning through the use of cleaner, more efficient heating devices and by reducing residential green waste burning through waste diversion.

Potential administering agency: ARB

CRITERIA TO EVALUATE PROJECTS

Agencies can also use criteria in other applicable tables.

When selecting projects for a given investment, give priority to those that maximize benefits to disadvantaged communities (e.g., use scoring criteria that favor projects which provide multiple benefits or the most significant benefits).

Step 1 – Located Within. *Evaluate the project to see if it: (1) meets at least one of the following criteria for being located in a disadvantaged community census tract* and provides direct, meaningful, and assured benefits to that disadvantaged community; and (2) meaningfully addresses an important community need**.*

Project must meet one of the following criteria focused on air quality improvements, such as reductions in criteria and toxic air contaminants from reduced wood or green waste combustion, in a disadvantaged community:

- A. At a physical address in a disadvantaged community, the project replaces an existing wood burning device with a more efficient heating device available for sale in California that meets the most stringent emission standard in the United States.
- B. The project provides incentives for residents located within a disadvantaged community to avoid burning green waste and use alternative approved disposal practices.

Step 2 – Provides Benefits To. *If the project does not meet the above criteria for “located within,” evaluate the project to see if it: (1) meets at least one of the following criteria for providing direct, meaningful, and assured benefits to a disadvantaged community; and (2) meaningfully addresses an important community need**.*

Project must meet at least one of the following criteria focused on providing economic opportunities for disadvantaged community residents:

- C. Project includes recruitment, agreements, policies or other approaches that are consistent with federal and state law and result in at least 25% of project work hours performed by residents of a disadvantaged community; or
- D. Project includes recruitment, agreements, policies or other approaches that are consistent with federal and state law and result in at least 10% of project work hours performed by residents of a disadvantaged community participating in job training programs which lead to industry-recognized credentials or certifications.

* For maps of disadvantaged community census tracts, refer to: <http://www.calepa.ca.gov/EnvJustice/GHGInvest/>.

** To determine if a project meaningfully addresses important community needs, agencies or applicants can use a variety of approaches such as: looking at the factors in CalEnviroScreen that caused an area to be defined as a disadvantaged community; hosting community meetings to get local input; referring to the list of common needs in Table 2-2; or receiving documentation of community support (e.g., letters or emails).

Table 2.A-10 Healthy Soils – Agricultural Practices

Projects will achieve net GHG benefits through implementation of management practices on farms and rangelands. Soil health projects may include application of compost, implementation of specific United States Department of Agriculture (USDA), Natural Resource Conservation Service (NRCS) Conservation Practices Standards, or other on-farm management practices that achieve long-term net reductions in GHGs.

Potential administering agencies: CalRecycle, CDFA, DOC

CRITERIA TO EVALUATE PROJECTS

Agencies can also use criteria in other applicable tables.

When selecting projects for a given investment, give priority to those that maximize benefits to disadvantaged communities (e.g., use scoring criteria that favor projects which provide multiple benefits or the most significant benefits).

Step 1 – Located Within. Evaluate the project to see if it: (1) meets at least one of the following criteria for being located in a disadvantaged community census tract* and provides direct, meaningful, and assured benefits to that disadvantaged community; and (2) meaningfully addresses an important community need**.

Project must meet the following criteria focused on environmental improvements and public health benefits to disadvantaged community residents:

- A. The majority (50%+) of the project (e.g. no till, cover crops) is located within one or more disadvantaged communities and the project significantly reduces exposure to dust and airborne particles for disadvantaged community residents, relative to pre-project levels.

Step 2 – Provides Benefits To. If the project does not meet the above criteria for “located within,” evaluate the project to see if it: (1) meets at least one of the following criteria for providing direct, meaningful, and assured benefits to a disadvantaged community; and (2) meaningfully addresses an important community need**.

Project must meet at least one of the following criteria focused on economic opportunities for disadvantaged community residents:

- A. Project includes recruitment, agreements, policies or other approaches that are consistent with federal and state law and result in at least 25% of project work hours performed by residents of a disadvantaged community; or
- B. Project includes recruitment, agreements, policies or other approaches that are consistent with federal and state law and result in at least 10% of project work hours performed by residents of a disadvantaged community participating in job training programs which lead to industry-recognized credentials or certifications.

* For maps of disadvantaged community census tracts, refer to: <http://www.calepa.ca.gov/EnvJustice/GHGInvest/>.

** To determine if a project meaningfully addresses important community needs, agencies or applicants can use a variety of approaches such as: looking at the factors in CalEnviroScreen that caused an area to be defined as a disadvantaged community; hosting community meetings to get local input; referring to the list of common needs in Table 2-2; or receiving documentation of community support (e.g., letters or emails).

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Transformative Climate Communities

Projects will achieve GHG reductions through combined measures for: reducing vehicle miles travelled in a local area; reducing energy and water use; increasing clean energy generation; effective land use; urban forestry and urban greening; and reducing waste. These measures may include several components, such as affordable housing, transit, and active transportation projects, renewable energy, energy and water use efficiency, land preservation, urban forests, and waste diversion and utilization. Projects will be designed to avoid substantial burdens, such as physical or economic displacement of low income disadvantaged community residents and businesses or increased exposure to toxics or other health risks.

Potential administering agencies: SGC

Please refer to relevant existing criteria tables in the Funding Guidelines to determine benefits to a disadvantaged community*, specific to individual project components. For example, a Transformative Climate Communities project that includes affordable housing and transit components will refer to the existing Funding Guidelines, Table 2.A-3 for criteria specific to the housing component and Table 2.A-2 for the transit related project component.

** For maps of disadvantaged community census tracts, refer to: <http://www.calepa.ca.gov/EnvJustice/GHGInvest/>. To determine if a project meaningfully addresses important community needs, agencies or applicants can use a variety of approaches such as: looking at the factors in CalEnviroScreen that caused an area to be defined as a disadvantaged community; hosting community meetings to get local input; referring to the list of common needs in Table 2-2; or receiving documentation of community support (e.g., letters or emails).*

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Active Transportation

Projects will achieve GHG reductions through reducing vehicle miles travelled with infrastructure enhancements that encourage active transportation (walking/biking).

Potential administering agency: Caltrans, CNRA

Please refer to relevant existing criteria tables in the Funding Guidelines to determine benefits to a disadvantaged community*, specific to individual project components. For example, an Active Transportation project may use criteria in Table 2.A-2 for bike sharing services or bicycle racks, or Table 2.A-3 for walking or biking infrastructure.

** For maps of disadvantaged community census tracts, refer to: <http://www.calepa.ca.gov/EnvJustice/GHGInvest/>. To determine if a project meaningfully addresses important community needs, agencies or applicants can use a variety of approaches such as: looking at the factors in CalEnviroScreen that caused an area to be defined as a disadvantaged community; hosting community meetings to get local input; referring to the list of common needs in Table 2-2; or receiving documentation of community support (e.g., letters or emails).*

APPENDIX B

This Appendix contains tables specific to the newly created programs, organized by project type, to reflect the specific reporting needs of the different agencies, programs, and projects. Agencies must reference the Funding Guidelines for a full list of items that need to be reported to ARB for compilation in support of the Annual Report to the Legislature.

Note for the new Transformative Climate Communities and Urban Greening programs: Agencies administering these funding appropriations will be implementing project types with existing reporting requirements. Reporting requirements applicable to project types for the Transformative Climate Communities program are included in Table 3.A-4 for Transit Projects, Table 3.A-5 for Affordable Housing and Sustainable Communities, Table 3.A-10 for Land Conservation Easements, or Table 3.A-12 for Urban Forestry in the Funding Guidelines, as well as Table 3.A-19 of this Supplement for Active Transportation projects. Reporting requirements applicable to project types for the Urban Greening program are included in Table 3.A-12 for Urban Forestry in the Funding Guidelines, as well as Table 3.A-19 of this Supplement for Active Transportation projects.

List of Tables (naming convention consistent with Funding Guidelines)

| | |
|---|-------------|
| Table 3.A-17 Woodsmoke Reduction | Appendix-9 |
| Table 3.A-18 Healthy Soils – Agricultural Practices | Appendix-11 |
| Table 3.A-19 Active Transportation | Appendix-13 |

**Funding Guidelines Supplement for FY 2016-17 Funds
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TABLE 3.A-17 WOODSMOKE REDUCTION

(ARB Woodsmoke Reduction Program)

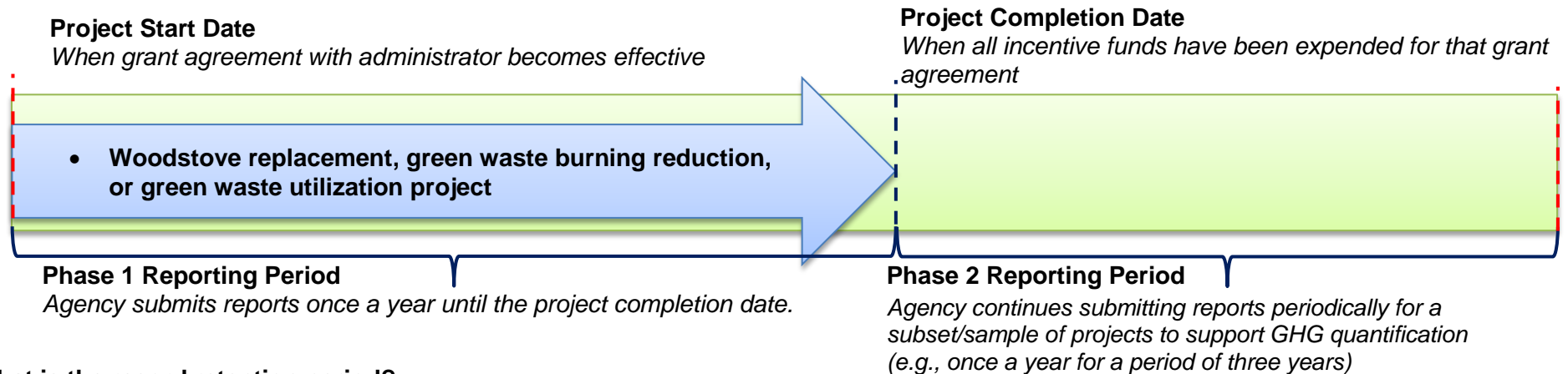
ARB will begin compiling data from agencies in early December and will complete data collection by mid-January.

| Project Profile | End of Year Report |
|--|--|
| <p align="center">Submit once for each grant <i>(only submit updates if needed)</i> (submit between December 1 – January 15)</p> | <p align="center">Submit once a year (between December 1 – January 15)</p> |
| <p>Provide the following for each grant to an administrator or air district that is implementing a woodsmoke reduction program:</p> <ol style="list-style-type: none"> 1. Project Identification Number <i>[assigned by administering agency]</i> 2. Project Types <i>[woodstove removal or replacement, green waste burning reduction, or green waste utilization in a disadvantaged community]</i> 3. Total Amount of GGRF Dollars Allocated, per Project Type 4. Anticipated Project Start Date <i>[e.g., date the grant agreement with project administrator becomes effective]</i> 5. Anticipated Project Completion Date <i>[e.g., date the grant agreement with project administrator ends]</i> 6. Estimated GHG Reductions <i>[total MTCO_{2e} over the project life; can be initial estimates used for project selection]</i> 7. Estimated Co-benefits <i>[if applicable, totals over the project life or a qualitative description. e.g., criteria air pollutant reductions, toxic pollutant reductions; fuel cost savings]</i> 8. Total GGRF dollars allocated to benefit disadvantaged communities 9. Describe how the project benefits a disadvantaged community and meaningfully addresses an important community need 10. Identify the specific criteria in ARB's Funding Guidelines Supplement, Appendix A that the project meets <i>[e.g., list "Table 2.A-9, Step 1.A" for a project that replaces a residential woodstove in a disadvantaged community]</i> | <p>Provide the following summaries for each implementing administrator or air district: <i>[Note: If administrator has completed all projects, only submit the "Project Closeout" report and the Program-level status described below]</i></p> <ol style="list-style-type: none"> 1. Overall Project Status <i>["started during reporting period" or "in progress"]</i> 2. Number of incentives issued <i>[summarized by project type (e.g. number and types of units removed and number and types of units replaced) and by census tract, ZIP code, and legislative district]</i> 3. Amount of GGRF dollars expended by fiscal year <i>[summarized by project type, census tract, ZIP code, and legislative district]</i> 4. Total cost for projects (including non-GGRF funds) <i>[summarized by project type, census tract, ZIP code, and legislative district]</i> 5. Total energy savings, fuel savings, or pollutant reductions for projects, if applicable <i>[summarized by project type, census tract, ZIP code, and legislative district]</i> 6. Total GHG reductions for projects <i>[summarized by project type, census tract, ZIP code, and legislative district]</i> <p>Provide program-level status for Annual Report to Legislature (due March 1) <i>[ARB will provide a template]</i></p> |

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| TABLE 3.A-17 (continued) WOODSMOKE REDUCTION <i>(ARB Woodsmoke Program)</i> | |
|---|---|
| Project Closeout | Phase 2 Reporting <i>(for a subset of projects only)</i> |
| Submit once, after the project completion date (submit between December 1 – January 15) | Submit periodically (e.g., once a year for three years). (The first Phase 2 report would be submitted the year after project completion between December 1 – January 15) |
| Provide the following summaries for each administrator or air district after the project completion date: <i>[e.g., when all incentive funds have been expended]</i> 1. Summarize project accomplishments, including benefits to disadvantaged communities 2. Total GGRF dollars allocated to benefit disadvantaged communities 3. Estimated GHG reductions for entire project <i>[total MTCO_{2e} over the useful life of the project]</i> 4. Summarize co-benefits for entire project <i>[if applicable, totals over the project life or a qualitative description. e.g., criteria air pollutant reductions, energy savings; energy use reductions]</i> | Phase 2 data collection and reporting may include, but not be limited to: 1. Energy savings 2. Energy use reductions |

How long is reporting required? The reporting timeline is shown below.



What is the record retention period?

Agencies need to maintain copies of project records for three (3) years after the “Project Closeout” report is submitted.

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TABLE 3.A-18 HEALTHY SOILS – AGRICULTURAL PRACTICES

(CDFA Climate Smart Agriculture, CalRecycle Compost Application, SGC Sustainable Agricultural Lands Conservation Program)

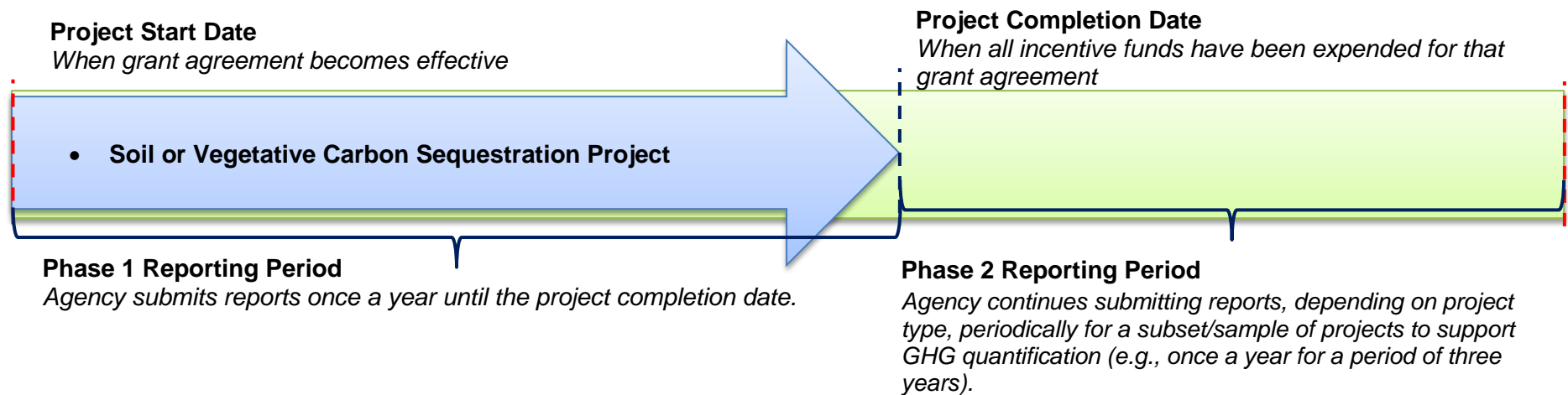
ARB will begin compiling data from agencies in early December and will complete data collection by mid-January.

| Project Profile | End of Year Report |
|--|---|
| <p align="center">Submit once for each grant <i>(only submit updates if needed)</i> (submit between December 1 – January 15)</p> | <p align="center">Submit once a year (between December 1 – January 15)</p> |
| <p>Provide the following for each project after the project has been selected for funding:</p> <ol style="list-style-type: none"> 1. Project Identification Number <i>[assigned by administering agency]</i> 2. Project Type <i>[eligible USDA-NRCS Conservation Management Practice and/or application of mulch or compost to soils]</i> 3. Project Description <i>[full description of project including number of total acres under each eligible Conservation Management Practice]</i> 4. Project Location <i>[project address, project boundaries, shape file, geographic coordinates, or census tract number(s)]</i> 5. Total Amount of GGRF Dollars Allocated, per Project Type 6. Total Project Cost (including non-GGRF funds), per Project Type 7. Anticipated Project Start Date <i>[e.g., date the grant agreement becomes effective]</i> 8. Anticipated Project End Date <i>[e.g., date the grant agreement ends]</i> 9. Estimated net GHG benefits <i>[total MTCO_{2e} over the project life; can be initial estimates used for project selection]</i> 10. Estimated Co-benefits <i>[if applicable, totals over the project life or a qualitative description. e.g., water quality protection, water use reduction, reduced sediment erosion/dust]</i> 11. Total GGRF dollars allocated to benefit disadvantaged communities 12. Describe how the project benefits a disadvantaged community and meaningfully addresses an important community need <i>[if applicable]</i> 13. Identify the specific criteria in ARB's Funding Guidelines Supplement, Appendix A that the project meets <i>[e.g., list "Table 2.A-10, Step 1.A." for a project that reduces exposure to dust and air-borne particles for disadvantaged community residents]</i> | <p>Provide the following summaries for each implementing administrator or air district: <i>[Note: If project is complete, only submit the "Project Closeout" report and the Program-level status described below]</i></p> <ol style="list-style-type: none"> 1. Overall Project Status <i>["started during reporting period" or "in progress"]</i> 2. Number of incentives issued <i>[summarized by project type and by census tract, ZIP code, and legislative district]</i> 3. Amount of GGRF dollars expended by fiscal year <i>[summarized by project type and by census tract, ZIP code, and legislative district]</i> 4. Total cost for projects (including non-GGRF funds) <i>[summarized by project type and by census tract, ZIP code, and legislative district]</i> 5. Total Benefits and Results <i>[Provide estimated totals, if available, or qualitative descriptions summarized by project type and by census tract, ZIP code, and legislative district for acres under conservation management, net GHG benefits achieved, and other co-benefits achieved]</i> <p>Provide program-level status for Annual Report to Legislature (due March 1) <i>[ARB will provide a template]</i></p> |

**Funding Guidelines Supplement for FY 2016-17 Funds
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| TABLE 3.A-18 (continued) HEALTHY SOILS – AGRICULTURAL PRACTICES <i>(CDFA Climate Smart Agriculture, CalRecycle Waste Diversion, SGC Sustainable Agricultural Lands Conservation Program)</i> | |
|--|--|
| Project Closeout | Phase 2 Reporting (for a subset of projects only) |
| Submit once, after the project completion date (submit between December 1 – January 15) | Submit periodically (e.g., once a year for three years). (The first Phase 2 report would be submitted the year after project completion between December 1 – January 15) |
| Provide the following for each project after the project has been selected for funding: <i>[e.g., when all incentive funds have been expended]</i> <ol style="list-style-type: none"> 1. Summarize project accomplishments, including benefits to disadvantaged communities 2. Total GGRF dollars allocated to benefit disadvantaged communities 3. Estimated net GHG benefits for entire project <i>[total MTCO₂e over the useful life of the project]</i> 4. Summarize co-benefits for entire project <i>[if applicable, totals over the project life or a qualitative description. e.g., water quality protection, water use reduction, reduced sediment erosion/dust]</i> | Phase 2 data collection and reporting may include, but not be limited to: <ol style="list-style-type: none"> 1. Verification that the agricultural practice is implemented in accordance with the terms of the grant agreement 2. Other, e.g., related to conversion to herbaceous/woody cover |

How long is reporting required? The reporting timeline is shown below.



What is the record retention period?

Agencies need to maintain copies of project records for three (3) years after the “Project Closeout” report or final Phase 2 report is submitted.

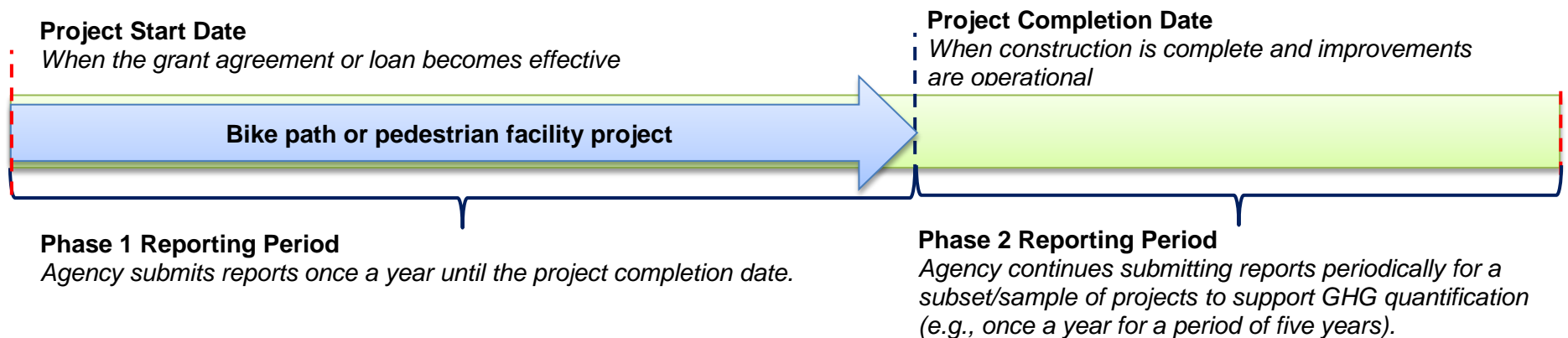
**Funding Guidelines Supplement for FY 2016-17 Funds
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| TABLE 3.A-19 ACTIVE TRANSPORTATION | |
|---|---|
| <i>(SGC Affordable Housing and Sustainable Communities Program; Caltrans Active Transportation Program; CNRA Urban Greening Program)</i> | |
| <i>ARB will begin compiling data from agencies in early December and will complete data collection by mid-January.</i> | |
| Project Profile | End of Year Report |
| Submit once for each project <i>(only submit updates if needed)</i> (submit between December 1 – January 15) | Submit once a year (between December 1 – January 15) |
| <p>Provide the following for each project after the project has been selected for funding:</p> <ol style="list-style-type: none"> 1. Project Identification Number <i>[assigned by administering agency]</i> 2. Project Type(s) <i>[construction of bicycle paths, bicycle lanes, pedestrian facilities, or bike sharing infrastructure]</i> 3. Project Description <i>[provide full description of project]</i> 4. Project Location <i>[provide an address, shape file, geographic coordinates, or census tract number(s)]</i> 5. Total Amount of GGRF Dollars Allocated, per Project Type 6. Amount of GGRF Dollars Allocated for each Project Component 7. Total Project Cost (including non-GGRF funds), per Project Type 8. Type of Funding <i>[e.g., grant; operational funding; loan]</i> 9. Anticipated Project Start Date <i>[e.g., date grant agreement becomes effective]</i> 10. Anticipated Project Completion Date <i>[e.g., when construction is complete and project is operational]</i> 11. Estimated GHG reductions <i>[provide total MTCO_{2e} over the project life; can be initial estimates used for project selection]</i> 12. Estimated Co-benefits <i>[If applicable, provide totals over the project life or a qualitative description, e.g., criteria air pollutant reductions; VMT reductions]</i> 13. Total GGRF dollars allocated to benefit disadvantaged communities <i>[If applicable]</i> 14. Describe how the project benefits a disadvantaged community and meaningfully addresses an important community need <i>[If applicable]</i> 15. Identify the specific criteria in ARB's Funding Guidelines, Volume 2, Appendix 2.A that the project meets <i>[e.g., list "Table 2.A-3, Step 1.A." for a project that active transportation project that reduces vehicle miles travelled in a disadvantaged community; list "Table 2.A-2, Step 1.G" for a project that provides greater mobility and increased access to clean transportation in a disadvantaged community]</i> | <p>Provide the following summaries for each project: <i>[Note: If project is complete, only submit the "Project Closeout" report and the Program-level status described below]</i></p> <ol style="list-style-type: none"> 1. Project Status <i>["started during reporting period" or "in progress"]</i> 2. Describe project activities completed <i>[e.g., milestones achieved; construction completed; facilities operational; etc.]</i> <p>Provide program-level status for Annual Report to Legislature (due March 1) <i>[ARB will provide a template]</i></p> |

**Funding Guidelines Supplement for FY 2016-17 Funds
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| TABLE 3.A-19 (continued) ACTIVE TRANSPORTATION <i>(SGC Affordable Housing and Sustainable Communities Program; Caltrans Active Transportation Program; CNRA Urban Greening Program)</i> | |
|--|--|
| Project Closeout | Phase 2 Reporting (for a subset of projects only) |
| Submit once, after the project completion date (submit between December 1 – January 15) | Submit periodically (e.g., once a year for five years). (The first Phase 2 report would be submitted the year after project completion between December 1 – January 15) |
| Provide the following summaries for each project, after the project completion date: <i>[e.g., when construction is complete and projects are operational]</i> <ol style="list-style-type: none"> 1. Summarize project accomplishments, including benefits to disadvantaged communities 2. Total GGRF dollars allocated to benefit disadvantaged communities 3. Estimated GHG reductions for entire project <i>[provide total MTCO_{2e} over the project life]</i> 4. Estimated criteria air pollutant reductions <i>[if available, provide totals over the project life]</i> 5. Summarize co-benefits for entire project <i>[if applicable]</i> | Phase 2 data collection and reporting may include, but not be limited to: <ol style="list-style-type: none"> 1. Post-project use survey data on mode shift |

How long is reporting required? The reporting timeline is shown below.



What is the record retention period?

Agencies need to maintain copies of project records for three (3) years after the “Project Closeout” report or final Phase 2 report is submitted.