

Advance Payment Request Form

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Section A: Grantee Information

Grantee:	Date:
Grant Agreement Number:	Request Number:
Fiscal Year:	Incentive Funding Year:
Contact Name:	Contact Telephone Number:

Section B: Funds Requested

	Total Grant Amount	Total Previous Disbursements	This Request	Remaining Balance
Project Funds				
Administrative Funds (If applicable)				
Total				

Section C: Attestation

Grantee attests that it has met all requirements for advance payment as stated in Health and Safety Code section 39603.1; California Code of Regulations, title 17, sections 91040 et seq.; and, the terms and conditions of the Grant Agreement.

Section D: Payee

Make warrant payable to Grantee at the following address:

Street Address:	City:
State:	Zip Code:

The address provided above matches the Grantee's Payee Data Record Form ([STD 204](#)) or Government Agency Tax Payer ID Form ([GovtTINForm_000.pdf](#)) previously submitted to CARB. If this address or contact is different than the form previously provided, then an updated form must be submitted with this Advance Payment Request Form.

Section E: Grantee Authorized Signature

By signing below, I hereby certify that I am the duly authorized representative of the herein named Grantee, and that the information provided in this form, and all attachments thereto, are true, accurate, and complete. I authorize the California Air Resources Board (CARB) to make inquiries to confirm this information.

Grantee Authorized Signature:	Date:
Printed Name:	Title:

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Section F: CARB Signatures (CARB use Only)

Liaison (Signature):	Date:
Printed Name:	Title:

Program Manager (Signature):	Date:
Printed Name:	Title:

Branch Chief (Signature):	Date:
Printed Name:	Title:

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Instructions for Completing This Form

A completed and signed Advance Payment Request Form (FSD/BB-365) should be submitted consistent with instructions available in the Grant Agreement.

Section A: Grantee Information

Section A is intended to capture basic information of all Grantees.

Fill in the following: Legal name of Grantee's organization, date of request, grant agreement number as assigned by CARB, the number of request (i.e. if this is your first request, indicate 1 in this block), fiscal year (i.e. from the Grant Agreement Cover Sheet), incentive funding year (if applicable), contact name, and contact phone number. The "fiscal year" refers to the state fiscal year in which the grant agreement was executed. The "incentive funding year" refers to the funding year of the specific funding sources used for the incentive program (i.e. FY 2022-23). This information may be found on the Cover Sheet of the Grant Agreement.

Section B: Funds Requested

Enter the total dollar amounts as indicated on the chart. Administration Funds are only applicable to third party administrators and air districts. For some grant agreements, Administration Funds may be referred to as Administration Fees or Implementation Fees.

Section C: Attestation

By signing in Section E, Grantee Authorized Signature, the Grantee attests that it has met all requirements to qualify for an advance payment under Health and Safety Code section 39603.1; California Code of Regulations, title 17, sections 91040 et seq.; and, the terms and conditions of the Grant Agreement.

This instruction to section C provides a general checklist for convenience and example scenarios. However, it is not meant to replace the Grantee verifying that they meet all current requirements of their Grant Agreement, program implementation manual or guideline, and current law. The General Checklist includes sections 1 through 4 below, followed by Example Scenarios.

The General Checklist is as follows:

1. All Entities:

Grantee is attesting to the following, and has provided supporting documentation to CARB as required:

- The amount requested is necessary to meet the purposes of the grant program or project¹ and is intended to alleviate a practical business or economic situation that would inhibit the program or project.²
 - Documentation to support the need for advance payment has been provided and may include, but is not limited to, invoices, contracts, estimates, payroll records, and financial records.³
- Advance payment funds will only be used for activities specified in the Grant Agreement.⁴

¹ Health & Saf. Code, § 39603.1, subd. (a)(1); Gov. Code, § 11019.3, subd. (c)(2)(A)(ii).

² Cal. Code Regs., tit. 17, § 91043, subd. (a)(1).

³ Gov. Code, § 11019.3, subd. (c)(2)(A)(ii). This documentation is not required of an air district where the funds have been expressly legislatively appropriated for distribution to them. An example of supporting documentation includes a board resolution documenting the intent to use this advance payment, and for what purpose.

⁴ Health & Saf. Code, § 39603.1, subd. (a)(1); Gov. Code, § 11019.3, subd. (d); Cal. Code Regs., tit. 17, § 91043, subd. (a)(2).

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- All unused money will be returned to CARB if it is not liquidated within the timeline specified in the Grant Agreement.⁵

2. All Entities Other Than Small Air Districts:

Grantee who is not a "Small Air District"⁶ is attesting, and provided supporting documentation where noted, that they:

- Have no outstanding financial audit findings related to any of the funds eligible for advance payment⁷; and,
- Have provided supporting documentation for the following:
 - They are in good standing with the California Franchise Tax Board (FTB) and United States Internal Revenue Service (IRS)⁸, or are exempt from taxation as a government entity;
 - And if they are a private, nonprofit organization, that they are in good standing as an organization exempt from taxation under section 501(c)(3) of the Internal Revenue Code.⁹
- Have submitted a spending plan to CARB for review prior to submitting this request form for advance payment.¹⁰
 - Supporting documentation to include the spending plan. The spending plan must include an itemized budget for the eligible costs the advanced payment will fund, indirect or other costs needed to operate, a spending timeline, a work plan (including project schedules and milestones), and the grantee's fund balance for all state grant programs.
- Will report to CARB any material change (25% or more in any line item¹¹) to the spending plan within 30 days.¹²
- Crime insurance in the amount of the advance payment has been obtained.¹³
 - Supporting documentation includes the certificate of insurance, along with any required endorsements detailed in the Grant Agreement.

3. Grantees who will be providing advance payment to subrecipients:

If the Grantee will be using the Funds Requested to advance payment to a subrecipient, the Grantee is attesting that the subrecipient is one of the following types of entities ¹⁴:

⁵ Health & Saf. Code, § 39603.1, subds. (a)(4)(B), (a)(5); Gov. Code, § 11019.3, subd. (c)(2)(A)(v),(vii), "Any accumulated interest shall be deemed to be grant or contract moneys."

⁶ "Small Air Districts" means all county or regional air pollution control districts and all county or regional air quality management districts with a population of less than four million (4,000,000) based on data published by the California Department of Finance, Demographic Research Unit and the U.S. Census Bureau. (Cal. Code Regs., tit. 17, § 91041, subd. (j).) Air districts granted an incentive through a solicitation where entities other than air districts may also apply must comply with these requirements.

⁷ Health & Saf. Code, § 39603.1, subd. (a)(4)(A); Cal. Code Regs., tit. 17, § 91043, subd. (b)(1).

⁸ Health & Saf. Code, § 39603.1, subd. (a)(4)(A); Cal. Code Regs., tit. 17, § 91043, subd. (b)(2).

⁹ Gov. Code, § 11019.3, subd. (c)(2)(A)(iii).

¹⁰ Health & Saf. Code, § 39603.1, subd. (a)(4)(C); Gov. Code, § 11019.3, subd. (c)(2)(A)(i); Cal. Code Regs., tit. 17, §§ 91041, subd. (k); 91043, subd. (b)(3).

¹¹ Cal. Code Regs., tit. 17, § 91041, subd. (i).

¹² Health & Saf. Code, § 39603.1, subd. (a)(4)(D).

¹³ Not required of air districts. Required of other entities under their Grant Agreement and/or Gov. Code, § 11019.3, subd. (c)(2)(A)(iv). Proof of self-insurance will satisfy this requirement.

¹⁴ Health & Saf. Code, § 39603.1, subd. (b)(2)(A); Gov. Code, § 11019.3, subd. (b)(2).

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- Private, nonprofit organization that qualifies under Section 501(c)(3) of the Internal Revenue Code;
- Federally recognized Indian tribe whose territorial boundaries lie wholly or partially within the State of California, and any agencies, entities, or arms of the tribe;
- Local agency (including but not limited to an air district) ¹⁵; or,
- Nongovernmental entity.

The Grantee is also attesting that:

- Subrecipient has complied with sections 1, 2, and 4.
- The advance pay does not exceed 25 percent of the total amount or contract awarded to that subrecipient; or, CARB has determined that the project requires a larger advance.¹⁶
- Any funds received as an advance payment will be deposited into a federally insured account of the subrecipient that provides the ability to track interest earned and withdrawals. The subrecipient's account will be in the subrecipient entity's name, and not in the name of any of its directors or officers.¹⁷
- Procedures have or will be established to minimize the amount of time that elapses between the transfer of funds and the expenditure of those funds; and, a sufficient amount of previously advanced funds has been expended or a plan is in place to ensure the expenditure of those funds in a timely manner.¹⁸
- Progress reports will be provided on the expenditure of advanced funds no less than on a quarterly basis and as otherwise required by the Grant Agreement.¹⁹

4. Program-Specific Requirements:

Program-specific requirements for CAP Incentives, CHIRP, and FARMER are as follows:

(a) CAP Incentives, CHIRP & FARMER:

Grantee has submitted the following:

- A project list that includes the total cost of all projects, which must equal or be greater than the amount of funds being requested.²⁰

(b) CAP Incentives and CHIRP:

- An up-to-date policies and procedures manual for the relevant incentive program is maintained at the Grantee's central office.
- The most recent Yearly Report (Report) for this incentive program, if not already submitted to CARB. Approval of this disbursement will be subject to CARB's determination that the Report indicates that expenditure milestones have been met, or if necessary, unexpended funds have been returned to CARB.

(c) CAP Incentives:

- Documentation of a public process to solicit project ideas from local residents and community groups, and a summary of the results of that process.

¹⁵ Gov. Code, § 7920.510.

¹⁶ Gov. Code, § 11019.3, subd. (c)(1)(C).

¹⁷ For subrecipients only by way of Health & Saf. Code, § 39603.1, subd. (b) and Gov. Code, § 11019.3, subd. (c)(2)(A)(v). Local agencies may be evaluated on a case-by-case basis.

¹⁸ Gov. Code, § 11019.3, subd. (c)(2)(A)(vi).

¹⁹ Gov. Code, § 11019.3, subd. (c)(2)(A)(vii, viii).

²⁰ For FARMER, this is not required for Small Air Districts where the funds request equal up to 10% of the total grant funding or \$200,000, whichever is greater.

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- Grantee must indicate for each project whether it satisfies evaluation criteria for benefits to priority populations, per the CCI Funding Guidelines criteria for Clean Transportation and Equipment. (ww2.arb.ca.gov/resources/documents/california-climate-investments-quantification-benefits-and-reporting-materials).

(d) FARMER

- For initial disbursements under the Grant Agreement, documentation showing that at least 75% of the previous fiscal year's funds are under executed contract. For subsequent disbursements, documentation showing that at least 50% of the previously disbursed project funds are under executed contracts.

Example Scenarios are as follows:

- For a private, nonprofit organization who is not participating in CAP Incentives, CHIRP, or FARMER:
 - Sections 1 and 2
 - If the Grantee will be providing advance payment for a subrecipient, then Section 3 as well.
- For a Small Air District²¹ who is not participating in CAP Incentives, CHIRP, or FARMER:
 - Section 1
 - If the Small Air District is providing advance payment for a subrecipient, then Section 3 as well.
- For an air district who is not a Small Air District and is participating in CAP Incentives:
 - Sections 1, 2, 4(a) through 4(c)
- For a Small Air District who is participating in FARMER:
 - Sections 1, 4(a), and 4(d)
- For an air district who is not a Small Air District, and is participating in FARMER:
 - Sections 1, 2, 4(a), and 4(d)
- For an air district who is not a Small Air District, and is participating in CHIRP:
 - Sections 1, 2, 4(a), and 4(b)

Section D: Payee

If the Payee information entered does not match the Grantee's Payee Data Record Form ([STD 204](#)) or Government Agency Tax Payer ID Form ([GovtTINForm_000.pdf](#)), submit an updated version of one of those forms that matches the Payee information here, along with this Advance Payment Request Form.

Section E: Grantee Signature

Have the authorized representative of the Grantee sign this section, and provide the date of signature, printed name, and title.

²¹ "Small Air Districts" means all county or regional air pollution control districts and all county or regional air quality management districts with a population of less than four million (4,000,000) based on data published by the California Department of Finance, Demographic Research Unit and the U.S. Census Bureau. (Cal. Code Regs., tit. 17, § 91041, subd. (j).)

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Section F: CARB Signatures (CARB use Only)

Once the request form is complete and all documents required by Health and Safety Code section 39603.1, by the California Code of Regulations, title 17, sections 91040 et seq., and by the terms and conditions of the Grant Agreement are attached, submit that request packet consistent with instructions available in the Grant Agreement to obtain the appropriate signatures from CARB.