



DRAFT

FUNDING GUIDELINES



California Environmental Protection Agency

 **Air Resources Board**

Draft for Public Comment

Release Date: August 4, 2017

Comments Due: September 15, 2017

Cap-and-Trade Auction Proceeds

Funding Guidelines for Agencies that Administer California Climate Investments

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VOLUME 1

GENERAL GUIDANCE



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Funding Guidelines for Agencies that Administer California Climate Investments

For more information:

- California Climate Investments: www.caclimateinvestments.ca.gov
- California Climate Investments Project Map and Data: www.arb.ca.gov/ccimap
- Identification of disadvantaged communities, low-income communities, and low-income households: www.calepa.ca.gov/EnvJustice/GHGInvest
- Guidance for administering agencies: www.arb.ca.gov/cci-fundingguidelines and www.arb.ca.gov/caclimateinvestments
- CARB's quantification methodologies: www.arb.ca.gov/cci-quantification
- Cap-and-Trade Auction Proceeds Three-Year Investment Plan: www.arb.ca.gov/cci-investmentplan
- Twitter: [@CAClimateInvestments](https://twitter.com/CAClimateInvestments)
- Email: GGRFProgram@arb.ca.gov
- To receive electronic notices of meetings and materials, sign up for the Auction Proceeds list serve at: www.arb.ca.gov/listserv/listserv_ind.php?listname=auctionproceeds

**Draft Funding Guidelines
Volume 1: General Guidance**

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VOLUME 2: Investments to Benefit AB 1550 Populations

VOLUME 3: Reporting Requirements

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I. Summary of Major Changes

In 2015, the California Air Resources Board (CARB or Board) released a Funding Guidelines document followed by a Supplement document in 2016 to provide direction for agencies that administer California Climate Investments funded by appropriations from the Greenhouse Gas Reduction Fund.¹ These draft Funding Guidelines contain proposed revisions for both the 2015 Funding Guidelines and the 2016 Supplement. After a public hearing in 2017, CARB will release an updated version of the Funding Guidelines.

Table 1-1 Summary of Proposed Major Changes in Volume 1

#	Proposed Change	Reference in Volume 1
1.	Updated guidance to reflect Assembly Bill (AB) 1550 requirements for investments located within and benefiting disadvantaged communities, low-income communities, and low-income households ²	Throughout Volume 1
2.	Added statutory requirements that were enacted after the release of the 2015 Funding Guidelines	Section III.C
3.	Updated guidance on quantification methodologies	Section IV.F
4.	Added information on coordinated communication, including the new California Climate Investments logo and guidance on program recognition	Section VI.A.9
5.	Added guidance on public transparency	Section VI.A.10
6.	Updated guidance on Expenditure Records to streamline process for existing programs. Added guidance for administering agencies that fund programs with continuous appropriations or for agencies where statute requires them to implement funds over multiple years	Appendix 1.A

CARB is seeking input on these Funding Guidelines. **New sections and significant revisions are highlighted in yellow.** Please electronically submit any written comments on this draft document by September 15, 2017, to:
www.arb.ca.gov/lispub/comm2/bcsubform.php?listname=draftguidelines-ws&comm_period=1.

¹ California Air Resources Board, “Cap-and-Trade Auction Proceeds, Funding Guidelines for Agencies that Administer California Climate Investments,” release date December 21, 2015; and “Cap-and-Trade Auction Proceeds, Funding Guidelines Supplement for FY 2016-17 Funds,” release date December 30, 2016, are both available at: www.arb.ca.gov/cci-fundingguidelines.

² AB 1550, Gomez, Chapter 369, Statutes of 2016; amending Health and Safety Code Section 39713. Detailed information on AB 1550 requirements is provided in Volume 2 of the Funding Guidelines.

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II. Purpose

Administering agencies in the transportation, energy, natural resources, and waste sectors are administering California Climate Investments that provide greenhouse gas (GHG) reductions and other important co-benefits for California, including benefits to residents of disadvantaged communities, low-income communities, and low-income households.

This is Volume 1 of CARB’s Funding Guidelines for agencies that administer California Climate Investments funded by appropriations from the Greenhouse Gas Reduction Fund (GGRF or Fund). The full Funding Guidelines include:

- Volume 1: General Guidance
- Volume 2: Investments to Benefit AB 1550 Populations
- Volume 3: Reporting Requirements

Specifically, Volume 1 provides guidance on:

- How administering agencies design and implement their programs to meet statutory requirements, ensure accountability, and provide public transparency;
- How administering agencies prepare and submit Expenditure Records to document the proposed use of their Fund appropriations;
- Fiscal procedures for administering agencies that request Fund withdrawals; and
- How CARB staff develops quantification methodologies for projects funded by administering agencies.

Volume 1 is structured in a “question-and-answer” format, beginning with *General Questions* that provide background (Chapter III). This is followed by *Statutory Requirements* and *Guiding Principles* (Chapters IV and V), which are the provisions that need to be incorporated into each administering agency’s *Program Design and Administration* and *Guidelines and Solicitation Materials* (Chapters VI and VII). Appendix A.1 provides guidance for completing Expenditure Records, required by statute, and fiscal procedures.

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III. General Questions

III.A. What are the Greenhouse Gas Reduction Fund and California Climate Investments?

California’s Cap-and-Trade Program includes an auction system where tradable permits (called *allowances*) can be purchased from the State at quarterly auctions. The State’s portion of the proceeds from Cap-and-Trade auctions are deposited in the Fund, which was established by Senate Bill (SB) 1018.³ SB 1018 and other statutes require that monies appropriated from the Fund be used to facilitate the achievement of GHG emission reductions and further the purposes of AB 32.⁴ The Legislature and Governor enact budget appropriations from the Fund for administering agencies to implement a variety of programs throughout California, as described in Table 1-2.

Table 1-2 Administering Agencies and California Climate Investments Programs

Agency	Program
Sustainable Communities and Clean Transportation	
California Air Resources Board (CARB)	Low Carbon Transportation
California Department of Transportation (Caltrans) and Local Transit Agencies	Low Carbon Transit Operations Program; Active Transportation Program
High-Speed Rail Authority (HSRA)	High-Speed Rail Project
California State Transportation Agency (CalSTA) / California Transportation Commission (CTC)	Transit and Intercity Rail Capital Program
Strategic Growth Council (SGC)	Affordable Housing and Sustainable Communities; Transformative Climate Communities
Energy Efficiency and Clean Energy	
CARB	Woodsmoke Reduction
Department of Community Services and Development (CSD)	Low-income Weatherization Program / Renewable Energy
California Department of Food and Agriculture (CDFA)	Climate Smart Agriculture: State Water Efficiency and Enhancement Program
California Department of Water Resources (DWR)	Water-Energy Efficiency Program
Natural Resources and Waste Diversion	
Department of Fish and Wildlife (DFW)	Wetlands and Watershed Restoration
CDFA	Climate Smart Agriculture: Dairy Digesters and Alternative Manure Management Practices; Healthy Soils
Department of Forestry and Fire Protection (CAL FIRE)	Forest Health; Urban and Community Forestry
Department of Resources Recycling and Recovery (CalRecycle)	Waste Diversion
California Natural Resources Agency (CNRA)	Urban Greening

³ SB 1018, Budget and Fiscal Review Committee, Chapter 39, Statutes of 2012.

⁴ AB 32, Nuñez, Chapter 488, Statutes of 2006, added Health and Safety Code Division 25.5, Sections 38500-38599.

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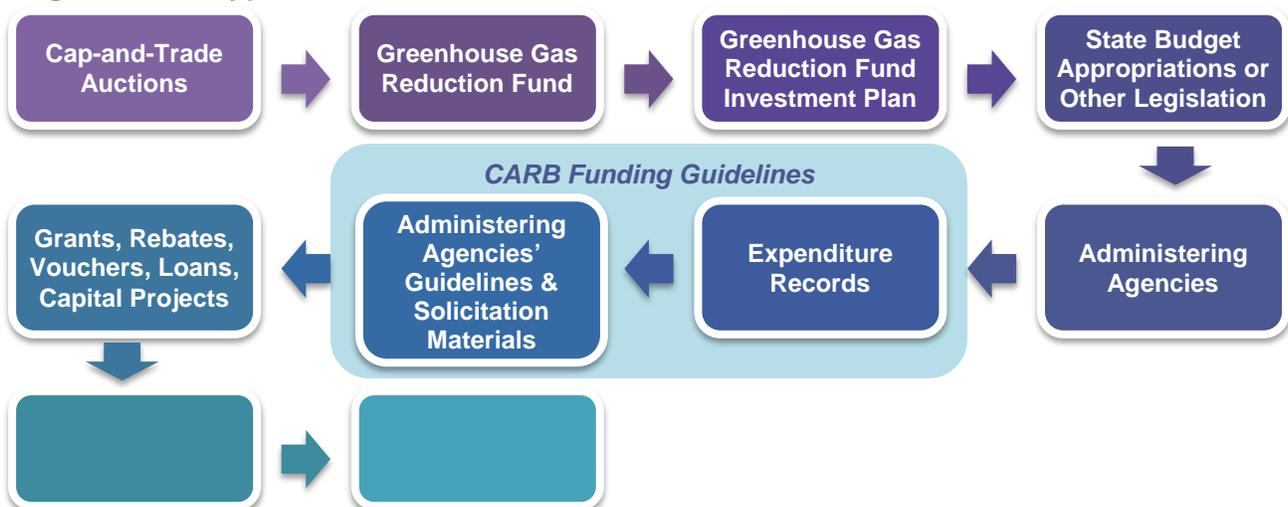
General Questions

The list of administering agencies and programs provided in Table 1-2 reflects budget appropriations and agency programs as of **April 2017**. The Fiscal Year (FY) 2014-15 Budget appropriated \$20 million to the California Energy Commission for energy efficiency projects in public buildings. However, the program was discontinued and no projects were funded; therefore it is not listed in Table 1-2. If future legislation includes appropriations for new agencies or programs, those new programs will need to be administered consistent with these Funding Guidelines, applicable statutes, and any supplements to the Funding Guidelines.

After administering agencies receive their appropriations, they invest the money in projects that help achieve the State's climate goals, including many that provide benefits to disadvantaged communities, low-income communities, and low-income households. These investments are collectively called "**California Climate Investments**." Administering agencies use a variety of mechanisms to fund projects and distribute incentives (e.g., grants, rebates, vouchers, direct funding, loans).

Figure 1-1 illustrates the typical flow of dollars from Cap-and-Trade auctions into the Fund and through the budgeting and implementation process. To provide guidance on how these dollars are used, statute requires that a three-year Investment Plan be developed by the Department of Finance (Finance), in consultation with CARB and other administering agencies.⁵ The Investment Plan identifies priority California Climate Investments that further the purposes of AB 32. Finance submitted the first Investment Plan to the Legislature in May 2013 for auction proceeds generated during fiscal years 2013-14 through 2015-16. They submitted the second Investment Plan in January 2016 for fiscal years 2016-17 through 2018-19. Appropriations from the Fund must be consistent with the Investment Plans and must be used for projects that reduce GHG emissions.

Figure 1-1 Typical Flow of California Climate Investments Dollars and Guidance



⁵ Health and Safety Code Section 39716 contains the Investment Plan requirements. Both the first and second Investment Plans are available at: www.arb.ca.gov/cc-i-investmentplan.

General Questions

III.B. Why has CARB developed Funding Guidelines?

In 2014, the Legislature and Governor enacted SB 862, which amended the Health and Safety Code to require that CARB:

- Develop funding guidelines for administering agencies to ensure the requirements of the chapter are met.⁶ These guidelines must include a component for how administering agencies should maximize benefits for disadvantaged communities.⁷
- Develop guidance on reporting and quantification methodologies for all administering agencies.⁸

The purpose of these Funding Guidelines is to provide direction for administering agencies, so they design and implement their programs in a way that:

- Reduces GHG emissions and furthers the purposes of AB 32 and related amendments;⁹
- Meets statutory requirements;
- Maximizes benefits to disadvantaged communities;
- Targets investments to disadvantaged communities, low-income communities, and low-income households to help ensure AB 1550 investment minimums are met;
- Provides accountability and transparency; and
- Supports consistency among administering agencies.

The goal is to align investments with the environmental, economic, public health, and other public policy goals of the State, while providing consistent and transparent implementation of all California Climate Investments programs.

In 2015, CARB released the main Funding Guidelines document followed by a Supplement document in 2016 to provide direction for administering agencies with September 2016 budget appropriations.

⁶ See Health and Safety Code Sections 39710-39723.

⁷ SB 862, Chapter 36, Statutes of 2014, Health and Safety Code Section 39715.

⁸ See Government Code Section 16428.9(b).

⁹ See Volume 1, Chapter III for additional information on AB 32 and related amendments which comprise the California Global Warming Solutions Act.

General Questions

III.C. Why is CARB updating the Funding Guidelines?

Much of the guidance included in the Funding Guidelines is intended to help administering agencies in the initial set-up of their programs and to provide consistency in designing and implementing California Climate Investments programs that meet the State’s statutory and policy objectives for appropriations from the Fund. When the statutory requirements changed, as they did in 2016, CARB staff identified areas within the Funding Guidelines that needed updating. This also provided CARB staff an opportunity to update the Funding Guidelines in response to “lessons learned” over the past four years, feedback from stakeholders, and a recognition that many administering agencies have moved past the initial design period and into more routine implementation.

These Funding Guidelines contain proposed revisions for both the 2015 Funding Guidelines and the 2016 Supplement. At a public hearing in 2017, Board Members will hear public testimony and consider the proposed revisions for approval.

Summaries of the new statutory requirements that are incorporated into these Funding Guidelines are provided below.

III.C.1. Assembly Bill 1550 – disadvantaged communities, low-income communities, and low-income households

The 2015 Funding Guidelines and the 2016 Supplement include guidance based on SB 535, which contained investment minimums for disadvantaged communities.¹⁰ In 2016, AB 1550 amended the investment minimums for disadvantaged communities and established new investment minimums for low-income communities and low-income households. Under the AB 1550 investment requirements, at least 35 percent of the available monies for California Climate Investments must be allocated as described below:

- Allocate a minimum of 25 percent to projects located within the boundaries of, and benefiting individuals living in, disadvantaged communities;¹¹
- Allocate an additional minimum 5 percent to projects that benefit low-income households or to projects located within the boundaries of, and benefiting individuals living in, low-income communities located anywhere in the State; and
- Allocate an additional minimum 5 percent to projects that benefit low-income households that are outside of, but within ½-mile of, disadvantaged communities, or to projects located within the boundaries of, and benefiting individuals living in,

¹⁰ SB 535, De León, Chapter 830, Statutes of 2012, codified with AB 1532 in Health and Safety Code Sections 39711-39723.

¹¹ “Disadvantaged Communities” must still be determined in accordance with SB 535’s statutory requirements, per Health and Safety Code Section 39711.

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low-income communities that are outside of, but within ½-mile of, disadvantaged communities.

For disadvantaged communities, projects must now be located within the boundaries of disadvantaged communities to count towards AB 1550 investment minimums – the “provides benefits to” category from SB 535 was removed. Volume 2 of these Funding Guidelines focuses on the updates to incorporate AB 1550 requirements for three groups (disadvantaged communities, low-income communities, and low-income households) collectively termed “AB 1550 populations.”

III.C.2. New or updated programs

The Legislature may enact new legislation that pertains to a subset of California Climate Investments programs. While it is up to each administering agency to ensure their program(s) is meeting all statutory requirements, CARB also reviews the requirement to determine if updates to guidance are needed. Legislative changes that have occurred since the 2015 Funding Guidelines include modification of an existing program, the Department of Transportation’s Low Carbon Transit Operations Program (LCTOP), through SB 824,¹² and establishment of a new program, the Strategic Growth Council’s Transformative Climate Communities, through AB 2722.¹³

- **Senate Bill 824 – Low Carbon Transit Operations Program.** SB 824 makes a number of changes to the Department of Transportation’s LCTOP. It provides transit agencies more flexibility in spending their allocations from the Fund and allows them to use their allocations to fund a wider range of eligible projects. More specifically, SB 824 allows transit agencies to either expand transit service or increase transit mode share, rather than requiring both, and explicitly identifies zero-emission buses and related infrastructure as projects eligible for funding. It also gives transit agencies flexibility in how they use their allocations, including the ability to accumulate funds for up to four years and to spend funds on a project over multiple years if GHG emissions can be reduced. Under SB 824, transit agencies can request a Letter of No Prejudice, which allows them to spend money on an approved project, prior to receiving their allocation, and then receive reimbursement when LCTOP funds become available.

¹² SB 824, Beall, Chapter 479, Statutes of 2016, amended Public Resources Code Section 75230 and added Section 75231.

¹³ AB 2722, Burke, Chapter 371, Statutes of 2016. AB 1613 amended the Budget Act of 2016 to provide funding for the newly established Transformative Climate Communities Program.

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- **Assembly Bill 2722 – Transformative Climate Communities Program.**

AB 2722 establishes the Transformative Climate Communities Program, a competitive grant program that is administered by the Strategic Growth Council. This program will fund the development and implementation of neighborhood-level transformative climate community plans that include multiple, coordinated GHG emission reduction projects that provide local economic, environmental, and health benefits to disadvantaged communities.

Volumes 2 and 3 of these Funding Guidelines include updates to incorporate the Transformative Climate Communities Program.

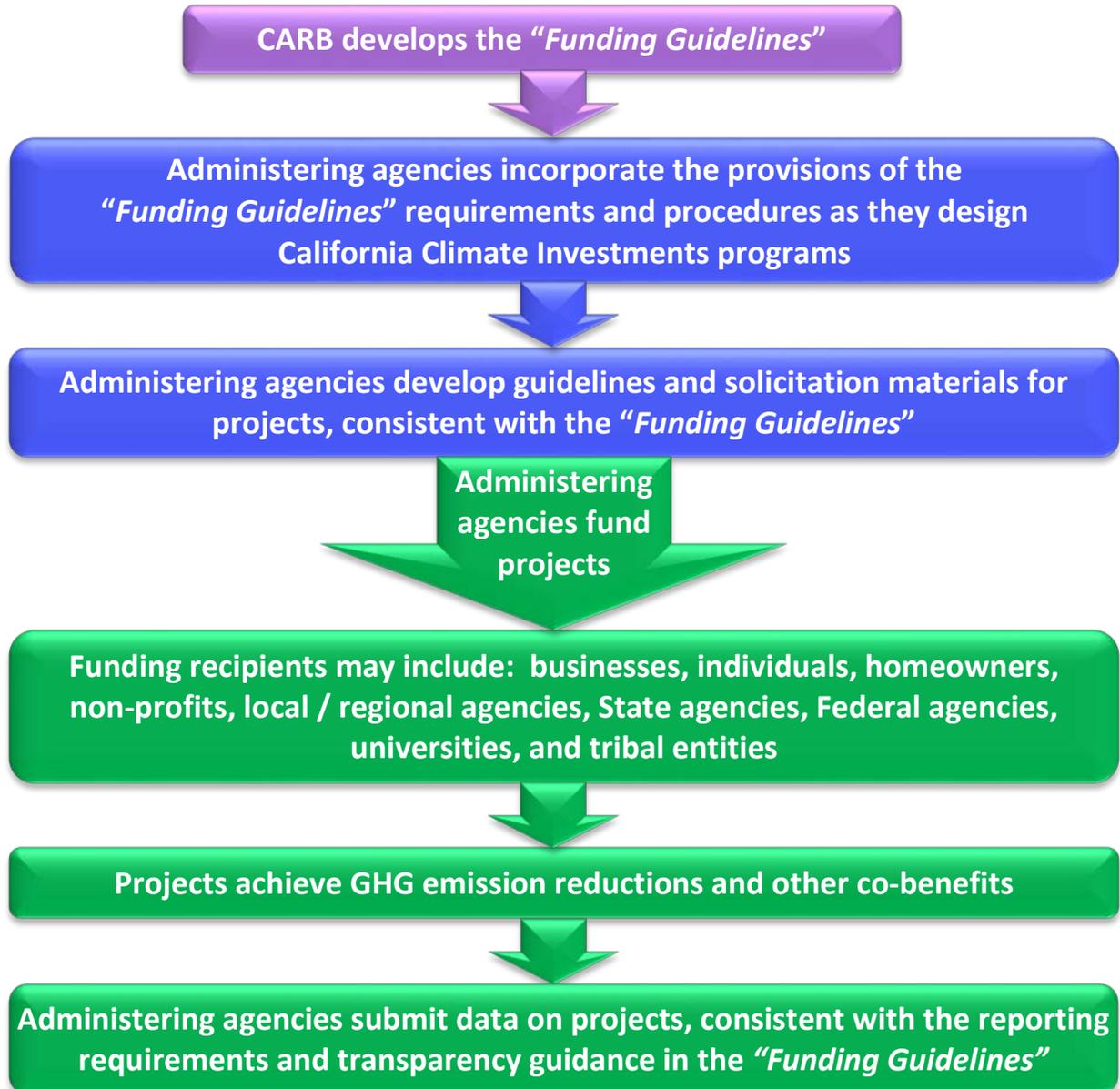
III.D. Who needs to incorporate the provisions of the Funding Guidelines into their California Climate Investments programs?

All agencies that administer California Climate Investments programs must incorporate the provisions of these Funding Guidelines into their programs. In doing so, administering agencies may use whatever approach is best suited to their individual program needs. For the purposes of these Funding Guidelines, the term “administering agencies” means all agencies that receive Fund appropriations from the Legislature. As provided in Table 1-2, numerous administering agencies are using their appropriations to support a wide variety of programs and project types, and each administering agency is responsible for implementing its own programs and selecting projects for funding in accordance with these Funding Guidelines. In these Funding Guidelines, “agency” is used as a general term to refer to an agency, authority, board, commission, department, office, or other unit of State government, as well as a local transit agency or academic institution.

To incorporate the Funding Guidelines provisions into their programs, administering agencies may only need to make minor modifications, such as updating administrative procedures or revising program documents (e.g., solicitation materials, contract templates, grant agreements, outreach materials). In some cases, administering agencies are directly funding ongoing capital projects and certain provisions of the Funding Guidelines may not be applicable, such as those that focus on developing solicitation materials to select new projects. Figure 1-2 illustrates how administering agencies use the Funding Guidelines as they implement their programs.

General Questions

Figure 1-2 How are the Funding Guidelines Created and Used?



General Questions

III.E. What are the roles and responsibilities for implementing California Climate Investments programs?

Figure 1-3 illustrates the key roles and responsibilities for administering agencies.

Figure 1-3 Key Roles and Responsibilities

CALIFORNIA ENVIRONMENTAL PROTECTION AGENCY

- Identifies disadvantaged communities, per SB 535, and low-income communities / low-income households, per AB 1550, in coordination with the Office of Environmental Health Hazard Assessment (OEHHA) and CARB.
- Consults on the three-year Investment Plan and CARB's Funding Guidelines.
- Coordinates with the State Climate Action Team.

CALIFORNIA AIR RESOURCES BOARD

- Administers the Cap-and-Trade Program, which generates auction proceeds.
- Acts as the Fund Administrator (accountant).
- Develops Funding Guidelines, reporting and tracking procedures, quantification methodologies, and Expenditure Record guidance for administering agencies.
- Provides consultation with other agencies on programs, per statute.
- Develops the three-year Investment Plan with Finance and the California Environmental Protection Agency (CalEPA), in consultation with other relevant State agencies.
- Hosts workshops and a public hearing for each three-year Investment Plan and conducts program outreach.
- Compiles data provided by administering agencies for the Annual Report to the Legislature that Finance submits to the Legislature.

ADMINISTERING AGENCIES

- Design and implement California Climate Investments programs in accordance with statutory requirements and CARB's Funding Guidelines.
- Consult with CARB on Expenditure Records and quantification methodologies.
- Complete Expenditure Records to document how expenditures will further the purposes of AB 32 and SB 32, prior to issuing final guidelines or final solicitation materials.
- Determine program structure and criteria for selecting projects for funding.
- Use money to fund projects that help achieve GHG emission reductions and further the other purposes of AB 32 and related amendments.
- Ensure that a portion of California Climate Investments are located in and benefit disadvantaged communities, low-income communities, and low-income households; assign a community liaison and conduct outreach (see Volume 2 for guidance).
- Provide oversight of project applicants receiving funding to track project status and report on benefits.
- Coordinate with other organizations to leverage funds and provide local / regional incentives.
- Quantify GHG emission reductions and document co-benefits, per CARB guidance.
- Maintain records and submit reports on expenditures, investment benefits, and project outcomes (see Volume 3 for guidance).

General Questions

III.F. How are administering agencies and funding recipients being held accountable for their California Climate Investments?

III.F.1. Expenditure Records

All administering agencies must complete an Expenditure Record, as required by SB 1018, prior to funding projects.¹⁴ The required Expenditure Record must be submitted to CARB for posting the CARB website *prior* to the public release of final program materials, such as final guidelines or project solicitations. An Expenditure Record is usually prepared for a program, not for individual projects or individual invoices for payment. Appendix 1.A includes guidance for how administering agencies must complete and maintain an Expenditure Record **and Attestation Memorandum**. Completed Expenditure Records are posted on the CARB website where they can be accessed by oversight administering agencies and the public (www.arb.ca.gov/caclimateinvestments).

The Expenditure Record is a critical first step in ensuring that administering agency investments will result in projects that reduce GHG emissions, meet statutory requirements, and further the purposes of AB 32 and related amendments.¹⁵ Each Expenditure Record supports accountability and transparency by providing a public document where administering agencies describe how their program(s) will fund projects that achieve GHG emission reductions and other co-benefits, how investments will be targeted to AB 1550 populations, and how the agency will document project benefits and submit reports to CARB. Administering agencies also explain the link between their proposed projects and the Investment Plan, as well as links to the AB 32 Scoping Plan, which establishes a framework of action for California to meet GHG emission reduction goals.¹⁶ The reporting process identified in Volume 3 is used to demonstrate that administering agencies are using their Fund appropriations in a manner that is consistent with their Expenditure Records.

III.F.2. Annual Reports to the Legislature

All administering agencies must submit project data to CARB, including project descriptions, project location, information on timelines and budgets, GHG emission reductions, co-benefits, and project status (see Volume 3 for guidance). Administering agencies also submit program-level data, to summarize the number of projects selected for funding, the amount of funding awarded, administrative costs, public process, and

¹⁴ See Government Code Sections 16428.8 to 16428.9.

¹⁵ Expenditure Records must describe how investments will further the regulatory purposes of Health and Safety Code, Division 25.5 (starting with Section 38500), the California Global Warming Solutions Act of 2006, which was created by AB 32 and amended by SB 32 and AB 197 in 2016. The term “AB 32 and related amendments” refers to AB 32, SB 32, AB 197, and any other bills that amend this Act.

¹⁶ AB 32 Climate Change Scoping Plans are available at: www.arb.ca.gov/cc/scopingplan/scopingplan.htm.

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other information. CARB compiles project data and program-level data from all administering agencies, and works with Finance to prepare the “Annual Report to the Legislature,” (Annual Report) which is due in March every year.

This report is a public document that reflects the data submitted by each administering agency as well as program-wide summary statistics. Each Annual Report is posted on the California Climate Investments website at:
www.caclimateinvestments.ca.gov/annual-report.

III.F.3. Fiscal audits and program reviews

All administering agencies are subject to Legislative and Administration oversight, including audits by the California State Auditor, Finance, other State oversight agencies, or a third-party auditor. In addition, AB 197 created the “Joint Legislative Committee on Climate Change Policies” to provide ongoing, permanent oversight over the implementation of the State’s climate policies, with an emphasis on transparency and accountability.¹⁷ This Committee will ascertain facts and make recommendations to the Legislature concerning the State’s programs, policies, and investments related to climate change.

III.F.4. Accountability tools for administering agencies

For administering agencies that select projects via competitive solicitation or other application process, the agency and funding recipient execute a grant agreement or other legally binding document that includes requirements for the use of the Fund. These agreements contain terms and conditions that cover accountability, controls, and oversight provisions. Examples of accountability tools that an administering agency may include are:

- Monitoring and reporting requirements that provide for periodic reporting of project status and outcomes;
- Recordkeeping provisions, which requires grantees to maintain records for a set period of time relating to the award;
- Auditing language, which allows the State or its designated representative to review and copy any records and supporting documentation pertaining to an agreement;
- Dispute resolution language that provides a process for resolution of disagreements between the State and the grantee;
- Stop work language that gives the State the right to issue a stop work notice/order in the event that a dispute should arise;

¹⁷ AB 197, Garcia, Chapter 250, Statutes of 2016.

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- Termination language, which allows the State to terminate an agreement at its sole discretion;
- Recovery language in grants and other materials (e.g., guidelines) that allows recovery of funds if grantees fail to meet the requirements of the grant;
- Withholding of funds from payment; and
- Administrative or civil actions.

III.G. When should administering agencies coordinate with CARB while developing their California Climate Investments programs?

III.G.1. When identifying project types

Before administering agencies identify the specific project types that they will be funding, they must coordinate with CARB beginning with an initial consultation. For both new and existing programs, the purpose of this initial consultation is to discuss the types of projects that the administering agency plans to fund, confirm that GHG emission reductions can be achieved and quantified for those projects, and help inform agency completion of the Expenditure Record process by identifying issues early in program development.

All California Climate Investments projects must reduce GHG emissions and administering agencies must use a GHG quantification methodology that has been developed or approved by CARB. SB 862 requires CARB to develop guidance on quantification methodologies for estimating GHG emission reductions and co-benefits from all California Climate Investments projects.

III.G.2. When drafting Expenditure Records

SB 1018 requires all administering agencies to complete an Expenditure Record prior to expending project funds. For new programs, the administering agency must get CARB concurrence on the Expenditure Record prior to the public release of final program materials, such as final guidelines or final solicitation materials. For existing programs, CARB concurrence on the Expenditure Record is not required, but administering agencies still need to consult with CARB to discuss any new or revised requirements and determine if a new or revised quantification methodology needs to be developed. Administering agencies should start coordinating with CARB staff soon after appropriation or identification of a new project type to avoid delays in releasing program materials. Appendix 1.A includes guidance for how and when administering agencies need to draft, complete, and revise Expenditure Records, and submit an Attestation Memorandum.

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III.G.3. Prior to issuing guidelines and solicitation materials

Each administering agency is responsible for developing its own guidelines and solicitation materials. Administering agencies can consult with CARB when developing those materials for consistency with Expenditure Records and these Funding Guidelines.

III.H. When do the Funding Guidelines become effective?

These updated Funding Guidelines become effective on August 4, 2017.¹⁸ In general, the updated provisions apply to all programs funded with FY 2013-14 and later appropriations. However, some updated requirements may not apply in cases where it is not feasible to follow the new provisions (e.g., when administering agencies have selected projects, executed grant agreements or contracts, or publicly released program guidelines prior to the release of these Funding Guidelines that limit their ability to incorporate updated requirements). CARB staff will work with administering agencies to address situations where agencies find that incorporating new requirements is infeasible.

III.I. What was the public process for developing the Funding Guidelines?

The development of the Funding Guidelines has involved an extensive public process that started in 2012. This public process continues to be an important focus when considering updates. Information on the public process, including links to meeting materials and written comments, can be found at:

www.arb.ca.gov/cc/capandtrade/auctionproceeds/upcomingevents.htm.

The process began with public meetings during 2012 and 2013 to gather input on the investment of auction proceeds and the development of the first three-year Investment Plan. In 2014, CARB participated in the workshop “*Investment Justice Through the Greenhouse Gas Reduction Fund*” at the University of California Los Angeles, Luskin School of Public Affairs, which informed the process for auction proceeds implementation and the creation of guidance for maximizing benefits to disadvantaged communities.

During 2014 and 2015, CARB hosted a dozen public workshops during the development of the 2015 Funding Guidelines, as summarized in Figure 1-4. In 2014, the California Environmental Protection Agency (CalEPA) and CARB held joint workshops to obtain public input on potential methods for identifying disadvantaged communities and maximizing benefits to those communities under SB 535. These

¹⁸ These draft Funding Guidelines are subject to change based on public input and Board direction. While the draft provides an indication of what will ultimately be required, administering agencies must incorporate all provisions reflected in the final Board approved Funding Guidelines.

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workshops informed the development of the *“Interim Guidance to Agencies Administering Greenhouse Gas Reduction Fund Monies”* (Interim SB 535 Guidance) which was incorporated as Volume 2 of the 2015 Funding Guidelines. CARB also held a public hearing on September 18, 2014, to obtain additional public input on the draft version of the Interim SB 535 Guidance. After CalEPA finalized the disadvantaged community designations, CARB released the Interim SB 535 Guidance on November 3, 2014.

From Fall 2014 to Fall 2015, CARB coordinated with administering agencies and met with stakeholders to gather input on the implementation of California Climate Investments programs and the development of the Funding Guidelines. In 2015, CARB hosted nine workshops throughout the State. For the seven workshops conducted during August 2015, CARB coordinated with Administration representatives from several administering agencies to hear public comments on both the Funding Guidelines and the second three-year Investment Plan, which covers Fund appropriations from FY 2016-17 through FY 2018-19.

Administering agencies have been actively involved in developing and updating the Funding Guidelines. Since passage of the FY 2014-15 State Budget, CARB (in consultation with CalEPA) has been regularly meeting with these agencies and working with them to develop the concepts presented in these Funding Guidelines. In addition, administering agencies participated in the public workshops that CARB hosted during 2015.

In February 2017, CalEPA and CARB held joint community meetings to get public input on the use of Cap-and-Trade auction proceeds to fund projects that reduce GHG emissions and provide benefits in disadvantaged communities, low-income communities, and low-income households to implement SB 535 and AB 1550. Two key questions were addressed: how to identify these communities and how to assess whether projects benefit individuals living in these communities. CARB is hosting additional community meetings in Summer 2017 for the draft revisions presented in these Funding Guidelines.

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Figure 1-4 Public Process for Funding Guidelines



IV. Statutory Requirements

IV.A. What is AB 32?

AB 32 established California’s Global Warming Solutions Act (Act), which created a comprehensive, multi-year program to reduce GHG emissions in California.¹⁹ AB 32 requires California to reduce GHG emissions to 1990 levels by 2020, and to maintain and continue reductions beyond 2020. In 2016, two bills amended this Act – SB 32 requires a 40 percent reduction *below* 1990 levels by 2030 and AB 197 includes revisions regarding implementation of the Act and emissions data.²⁰ The programs and projects receiving moneys from the Fund must further the purposes of AB 32 and the related amendments which comprise the current version of the Act.

The Cap-and-Trade Program is a key strategy for reaching the State’s GHG emission reduction goals. It creates a limit on the emissions from high-emitting sources of California’s GHG emissions, establishes the price signal needed to drive long-term investment in cleaner fuels and more efficient use of energy, and gives sources of GHG emissions the flexibility to implement the lowest-cost options to reduce emissions. In the Cap-and-Trade Program, CARB places a limit, or cap, on GHG emissions by issuing a limited number of tradable permits (called “allowances”) equal to the cap. Over time, the cap steadily declines.

Since the beginning of the Cap-and-Trade Program, most allowances have been distributed for free. For most other allowances, the Program includes an auction system where allowances can be purchased from the State. The State’s portion of the proceeds from these auctions are deposited in the Fund which provides moneys for projects that reduce GHG emissions. The first Cap-and-Trade auction was held on November 14, 2012, and subsequent auctions have been conducted quarterly. Additional information on the Cap-and-Trade Program, including up-to-date auction results, can be found at: www.arb.ca.gov/cc/capandtrade/capandtrade.htm.

IV.B. What is the “Investment Plan”?

Statute requires the development of a three-year Investment Plan to identify funding priorities for investing auction proceeds.²¹ The Administration (led by Finance, in consultation with CARB and other State agencies) develops and submits this Investment Plan to the Legislature. Finance submitted the first Investment Plan to the Legislature in May 2013 and the second Investment Plan in January 2016. The Investment Plan is updated every three years and must be submitted prior to the release of the Governor’s January budget proposal, which means the third Investment

¹⁹ See Health and Safety Code Division 25.5, Sections 38500-38599.

²⁰ SB 32, Pavley, Chapter 249, Statutes of 2016, added Health and Safety Code Section 38566.

²¹ AB 1532, Chapter 807, Statutes of 2012, codified with SB 535 in Health and Safety Code Sections 39711-39723.

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Plan must be submitted by January 2019. Each Investment Plan must identify GHG emission reduction goals and targets, analyze gaps in current State strategies for meeting GHG emission reduction goals, and identify priority investments that facilitate feasible and cost-effective GHG emission reductions.

In 2016, SB 1464 amended the Investment Plan requirements.²² Per this legislation, the Investment Plan must include an assessment of how proposed investments interact with State regulations, policies, and programs; evaluate whether and how those proposed investments could be incorporated into existing programs; and recommend metrics that would measure progress and benefits from the proposed programmatic investments. These new requirements will be reflected in the third three-year Investment Plan.

IV.C. What are the statutory requirements for all California Climate Investments programs?

In 2012, the Legislature passed and Governor Brown signed into law three bills – SB 535, AB 1532, and SB 1018 – that provided the framework for how the Cap-and-Trade auction proceeds are appropriated and expended. These statutes require that allocations from the Fund be used to facilitate the achievement of GHG emission reductions and, where applicable and to the extent feasible, to further additional goals of AB 32 and the Legislature. In addition, expenditures must comply with budget trailer bills which establish additional requirements, such as SB 862 and SB 859.

SB 535 requires CalEPA to identify disadvantaged communities, requires CARB to provide guidance on maximizing benefits to disadvantaged communities, and established the original investment minimums to benefit disadvantaged communities. In 2016, AB 1550 amended statute to establish new minimum investment targets for three groups: disadvantaged communities, low-income communities, and low-income households, collectively termed “AB 1550 populations.” The AB 1550 investment minimums supersede the SB 535 investment minimums and will be implemented beginning in FY 2017-18. However, the AB 1550 requirements do not supersede or alter statutory provisions regarding administering agencies’ program-specific allocations to disadvantaged communities.²³ Volume 2 contains additional guidance on investment minimums and related statutory requirements.

²² SB 1464, De León, Chapter 679, Statutes of 2016, Health and Safety Code Section 39716.

²³ For example, AB 1550 does not supersede or alter the Affordable Housing and Sustainable Communities Program’s “goal of expending 50 percent of program expenditure for projects benefiting disadvantaged communities,” which was established by SB 862 (see Public Resources Code Section 75214).

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The goals that AB 1532 established for the investment of appropriations from the Fund, combined with the AB 1550 requirements, are to:

- Reduce GHG emissions;
- Maximize economic, environmental, and public health benefits to the State;
- Foster job creation by promoting in-State GHG emission reduction projects carried out by California workers and businesses;
- Complement efforts to improve air quality;
- Direct investment toward the most disadvantaged communities and households in the State;
- Provide opportunities for businesses, public agencies, nonprofits, and other community institutions to participate in and benefit from statewide efforts to reduce GHG emissions;
- Lessen the impacts and effects of climate change on the State's communities, economy, and environment;
- Maximize benefits to disadvantaged communities; and
- Allocate at least the following minimum percentages of the available proceeds to projects located within the boundaries of, and benefiting individuals living in:
 - disadvantaged communities 25 percent
 - low-income households or low-income communities anywhere in the State 5 percent
 - low-income households that are outside of, but within ½-mile of, disadvantaged communities or low-income communities that are outside of, but within ½-mile of, disadvantaged communities 5 percent

The allocations illustrated above apply to overall expenditures from the Fund, including all administering agencies, programs, and projects. Investment targets for specific administering agencies and programs will vary, as described in Volume 2.²⁴

Additionally, AB 1532 requires Finance to submit an Annual Report to the Legislature on the status and outcomes of all California Climate Investments projects (see Section III.F.2) and SB 1018 requires administering agencies to prepare an Expenditure Record prior to expending monies from the Fund to implement projects (see Appendix 1.A).

²⁴ Specific AB 1550 program targets for each fiscal year will be determined and published after additional detail on that fiscal year budget becomes available.

Statutory Requirements

IV.D. Why do all California Climate Investments need to reduce GHG emissions and further the purposes of AB 32?

All investments of appropriations from the Fund need to reduce GHG emissions based on statutory requirements, including but not limited to:

- **AB 1532.** “The state shall not approve allocations for a measure or program using moneys appropriated from the fund except after determining. . .that the **use of those moneys furthers the regulatory purposes of Division 25.5** (commencing with Section 38500) [AB 32 and related amendments] and is consistent with law...”; and
“[Fund] moneys shall be used to **facilitate the achievement of reductions of greenhouse gas emissions ...**”²⁵
- **SB 862.** “The Legislature shall appropriate the annual proceeds of the [Fund] **for the purpose of reducing greenhouse gas emissions ...**”²⁶
- **SB 1018.** “Prior to expending any moneys appropriated to it by the Legislature from the [Fund], a state agency shall prepare a record consisting of all of the following: ... (2) A description of how a proposed expenditure **will further the regulatory purposes of Division 25.5** (commencing with Section 38500) of the Health and Safety Code [AB 32 and related amendments], including, but not limited to, the limit established under Part 3 (commencing with Section 38550) and other applicable requirements of law. (3) A description of how a proposed expenditure **will contribute to achieving and maintaining greenhouse gas emission reductions** pursuant to Division 25.5 (commencing with Section 38500) of the Health and Safety Code.”²⁷

To support continued success of California Climate Investments with significant benefits throughout California, all administering agencies must invest in projects that meet the Fund requirements, reduce GHG emissions, and further the purposes of AB 32 and related amendments.

IV.E. What are the statutory responsibilities of CARB?

- Develop Funding Guidelines for administering agencies, including guidance on reporting, quantification methodologies, and maximizing disadvantaged community benefits, in accordance with SB 862;²⁸
- Administer the Fund as the “accountant;”

²⁵ See Health and Safety Code Section 39712 (a)(2) and Section 39712(b).

²⁶ See Health and Safety Code Section 39719 (a).

²⁷ See Government Code Section 16428.9(a)(2)-(3).

²⁸ See Government Code Section 16428.9(b).

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- Provide consultation to the Strategic Growth Council on development of the Affordable Housing and Sustainable Communities Program;²⁹
- Provide consultation to Department of Transportation on the Low Carbon Transit Operations Program;³⁰ and
- Hold a public hearing on the three-year Investment Plan.³¹

IV.F. How is CARB providing guidance on quantification methodologies?

CARB has a statutory role under SB 862 to develop guidance on quantification methodologies for all California Climate Investments projects, including GHG emission reductions and co-benefits. This work relies on a review of the available science, in close coordination with the administering agencies, as well as academic consultants and other experts as needed. CARB contracts with outside experts and academic partners to obtain technical assistance and expertise to support the development of, and updates to, the quantification methodologies for GHG emission reductions and co-benefits. The methodologies are developed to provide project-level benefit estimates that are supported by empirical literature. As CARB develops quantification methodologies, they are posted at: www.arb.ca.gov/cc-quantification.

Benefits estimated with quantification methodologies (GHG emission reductions and co-benefits) for all California Climate Investments are compiled in the Annual Report to the Legislature.

IV.F.1. GHG quantification methodologies

Figure 1-5 illustrates the process CARB follows in developing the quantification methodologies. All California Climate Investments must reduce GHG emissions and use a CARB quantification methodology.

²⁹ See Public Resources Code Sections 75200.1 and 75215(a).

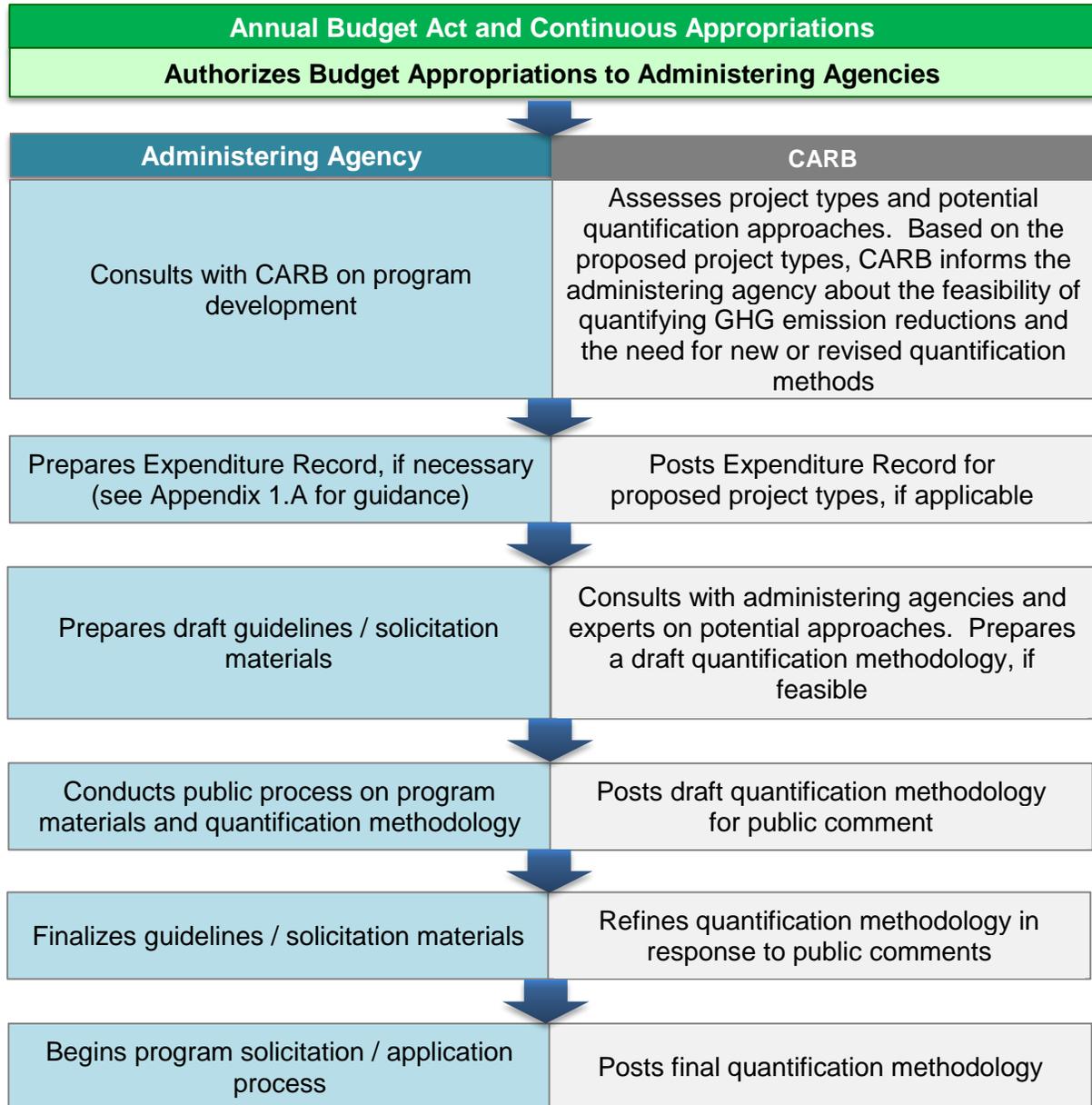
³⁰ See Public Resources Code Sections 75230(h) and 75230(m).

³¹ See Health and Safety Code Section 39716(b)(1).

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Figure 1-5. Quantification Methodology Development Process



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Broadly, there are two different approaches for GHG quantification methodologies, a one-step approach and a two-step approach. In the one-step approach, the GHG emission reductions are estimated once based on project-specific inputs. In the two-step approach, the GHG emission reductions are estimated twice – once based on initial assumptions and again based on actual project-level data. In both cases, the quantification methodologies are used for reporting purposes. The one-step approach may also be used for the competitive scoring of projects, while the two-step approach is generally used for consumer-based incentive programs.

Quantification methodologies based on the one-step approach are used to estimate the GHG emission reductions for proposed projects, based on the specific characteristics of each project. For example, when administering agencies conduct competitive solicitations, applicants use the quantification methodology to estimate the GHG emission reductions for their proposed project. This estimate is reviewed by the administering agency with supporting documentation from the applicant, and in consultation with CARB for some programs. Administering agencies decide how to incorporate the estimated GHG emission reductions into their project ranking and selection process. The GHG emission reductions estimated during the application phase are generally the same as those reported after the project is implemented and becomes operational.

For most consumer-based incentive programs, project-level details may not be known prior to expending funds. Therefore, administering agencies use a two-step quantification approach. Administering agencies develop an initial estimate of GHG emission reductions, based on the amount of funds and general assumptions for how the funds will be implemented. After incentives are issued and projects are implemented, the administering agency updates the GHG emission reduction estimates using the quantification methodology and actual project-level data. For example, after the Clean Vehicle Rebate Project (CVRP) incentive program receives a budget appropriation, CARB estimates the expected GHG emission reductions based on the amount of funding allocated to the project and historical data on the number and type of clean vehicles funded. After CVRP rebates are provided to consumers, CARB estimates the GHG emission reductions using the actual number and type of clean vehicles funded.

Quantification methodologies are specific to each program type and / or project type and may be expanded or updated over time (see Section IV.F.3 for a description of the update process).

IV.F.2. Co-benefit quantification methodologies

California Climate Investments support not only the State's climate change goals, they also provide many other social, economic, and environmental benefits, termed "co-benefits." CARB is using contract funds to assist in developing quantification

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methodologies for co-benefits. Similar to GHG emission reductions, co-benefits will be evaluated at the project-level, align with funded project types, use methodologies applicable statewide, and reflect empirical literature. The types of co-benefits achieved may vary for different types of California Climate Investments, but some could apply more broadly (e.g., job creation). CARB will provide guidance for administering agencies on the applicability of co-benefit quantification methodologies to certain programs or project types. As co-benefit quantification methodologies are developed and administering agencies begin applying them, the public can better understand some of the additional benefits of these investments, including benefits that may be more visible in their daily lives. In addition, the administering agencies can use the quantification methodologies to help them prioritize investments that maximize co-benefits.

The first set of co-benefits being evaluated were prioritized based on those that were as broadly applicable to California Climate Investments programs as possible. Under a contract with CARB, University of California, Berkeley researchers are conducting literature reviews to determine whether methodologies can be developed that meet CARB's requirements. This will be followed by the development of draft quantification methodologies for the appropriate co-benefits, with an opportunity for public review and comment before the methods are finalized. Some of the co-benefit methodologies are anticipated to be available for use in FY 2017-18. Two priority co-benefits are jobs creation and criteria and toxic air pollutant reduction.

IV.F.3. Quantification methodology update process

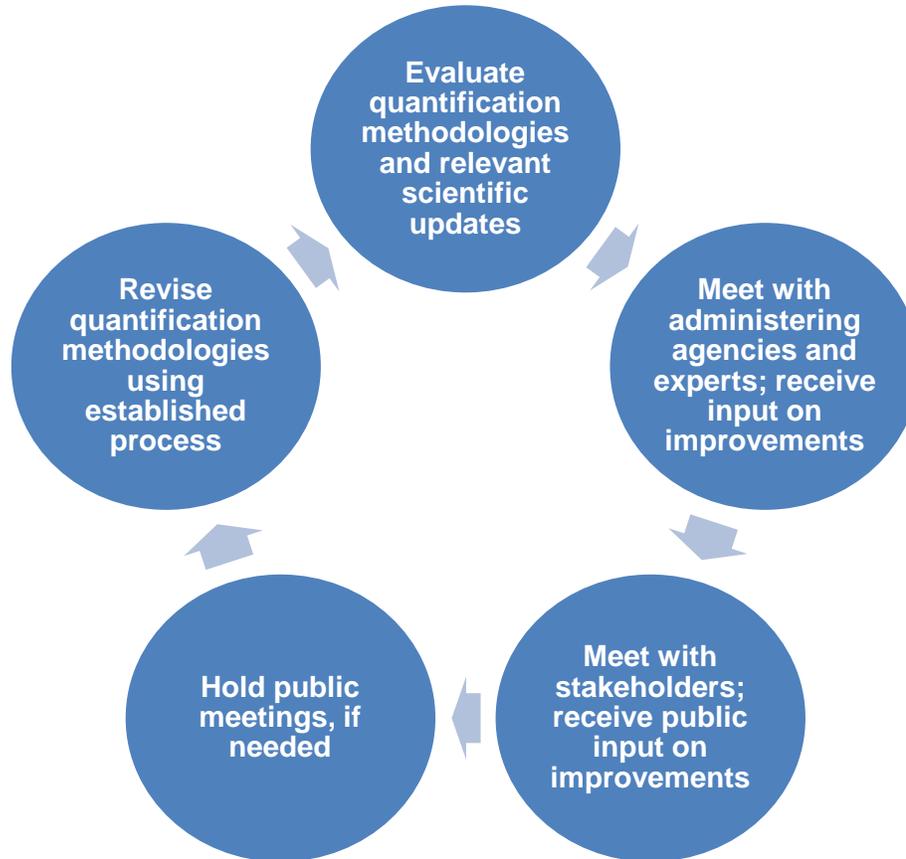
Figure 1-6 shows CARB's process for reviewing and updating quantification methodologies. This includes evaluating existing quantification methodologies for effectiveness and updating them to be more robust, user-friendly, and appropriate to the projects being quantified. CARB also evaluates the methodologies in light of new scientific developments or tools, or modifications in the analytical tools or approaches upon which the methodologies were based.

If the State Budget appropriates funding to a new program, CARB evaluates existing quantification methodologies to see if they might be applicable for the new program and to help ensure a consistent approach for similar projects. In some cases, it may be possible to use existing quantification methodologies for new programs, with relatively minor revisions.

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Figure 1-6 Process for Reviewing and Updating Quantification Methodologies



CARB may review and update quantification methodologies periodically, based on new information or public input. With each major program update, CARB follows the process illustrated in Figure 1-6. Major updates to a quantification methodology typically occur before the solicitation is released, although minor revisions may be issued during the application period, if necessary. If updates are needed that apply to multiple quantification methodologies, CARB incorporates them as part of the update process for individual quantification methodologies (e.g., emission factor updates are incorporated as methodologies are revised). For existing methodologies that are being revised, a formal public comment period may only be needed when underlying methodologies or assumptions change.

V. Guiding Principles for Program Design

Administering agencies need to expend auction proceeds in an effective, accountable, and legal manner, consistent with AB 32 and related amendments, the implementing statutes, and these Funding Guidelines. This Chapter presents guiding principles, based on statutory requirements and climate change policies. Critical provisions for administering agencies are typically identified by the use of the word “must” to indicate a requirement. Not all principles are mandatory requirements; rather, they provide direction to help administering agencies design their programs and select projects in a way that targets investments in and benefits AB 1550 populations, with a focus on maximizing disadvantaged community benefits; maximizes environmental, economic, and public health benefits; and provides fiscal and program accountability.

As administering agencies design and implement their programs, they should incorporate the provisions of the guiding principles, as illustrated in Figure 1-7.

Figure 1-7 How Guiding Principles are Incorporated into California Climate Investments Programs

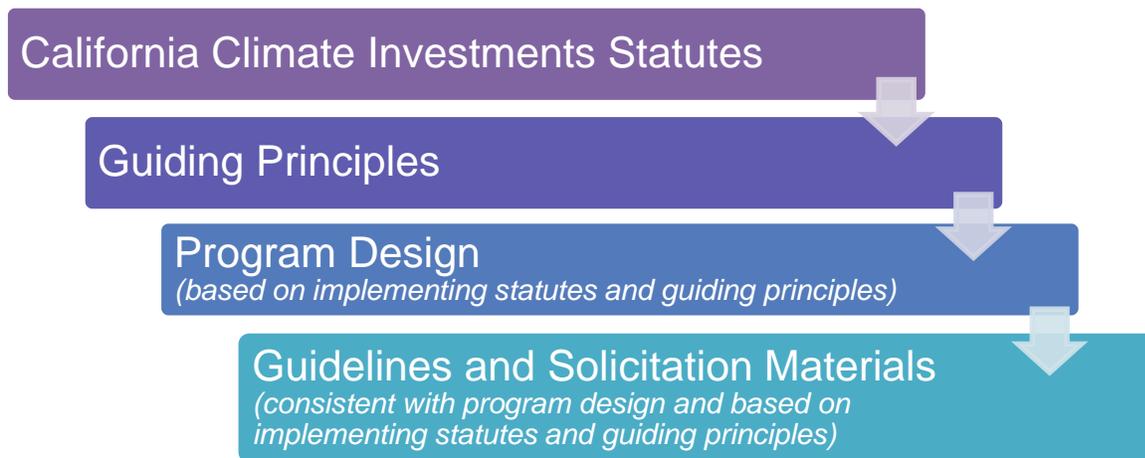


Figure 1-8 provides a summary of guiding principles for the *investment* and *implementation* of California Climate Investments programs.

Guiding Principles

Figure 1-8 Summary of Guiding Principles for California Climate Investments

Guiding Principles for <i>Investment</i>
<ul style="list-style-type: none">• Facilitate GHG emission reductions and further the purposes of AB 32 as the primary goal.• Target investments in and benefiting AB 1550 populations, with a focus on maximizing disadvantaged community benefits.• Maximize economic, public health, and environmental co-benefits to the State.• Create jobs and provide job training as a component of funded projects, wherever possible.• Encourage projects that are consistent with the State’s climate goals.• Coordinate investments and leverage funds where possible to provide multiple benefits and to maximize benefits.
Guiding Principles for <i>Implementation</i>
<ul style="list-style-type: none">• Maximize transparency and provide public access to program information (e.g., funding opportunities, selected projects, project benefits).• Maximize accountability for expenditures from the Fund.• Conduct outreach to help potential applicants access funding, particularly those in AB 1550 communities.

Additional information on each of the guiding principles for investment and implementation is provided below.

V.A. What are the guiding *investment* principles for California Climate Investments programs?

V.A.1. Facilitate GHG emission reductions and further the purposes of AB 32 as the primary goal

- All California Climate Investments programs must **further the purposes of AB 32 and related amendments as the primary program goal**. The upfront work administering agencies do on program design, development of guidelines, and project selection must **make GHG emission reductions a requirement and a priority**. “GHG emission reductions” refer to net decreases in GHG emissions attributable to the funded project, or for projects involving carbon sequestration, the net GHG benefit attributable to the funded project.

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- Each California Climate Investments project must provide real and quantifiable GHG emission reductions and should focus on the following broad project types:
 - Projects that achieve near-term GHG emissions reductions or net long-term GHG benefits, and achieve or maximize co-benefits (e.g., job creation); and
 - Projects that support development of the transformative technologies / approaches that reduce GHG emissions and are needed to achieve the State's long-term GHG emissions reduction goals and maximize co-benefits.
- When designing California Climate Investments programs, including which project types to fund, administering agencies should focus funding on the types of projects that achieve the greatest GHG emission reductions and are needed to meet climate goals. This decision should be made early in the process when an administering agency is identifying funding priorities and preparing a draft Expenditure Record. For example, if an administering agency has a choice between a technology that achieves minimal GHG emission reductions and an alternative technology that yields significant GHG emission reductions and supports long-term climate goals, the agency should focus funding on the alternative technology.
- Stand-alone activities that do not reduce GHG emissions, such as research, planning, job training, and program development cannot be funded by California Climate Investments programs. However, these activities may be included as a component of a larger project that results in quantifiable GHG emission reductions and furthers the purposes of AB 32 and related amendments.

V.A.2. Target investments in and benefiting AB 1550 populations, with a focus on maximizing disadvantaged community benefits

- Administering agencies must seek to invest in projects that are located in AB 1550 communities, benefit AB 1550 populations, and maximize benefits to disadvantaged communities, wherever possible. See Volume 2 for additional information on AB 1550 populations and maximizing benefits to disadvantaged communities.

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V.A.3. Maximize economic, public health, and environmental co-benefits to the State

- Investments must be consistent with the implementing legislation, including AB 1532 which states that the Fund "...shall be used to facilitate the achievement of reductions of GHG emissions in this state consistent with this division and, where applicable and to the extent feasible:³²
 - Maximize economic, environmental, and public health benefits to the State.
 - Foster job creation by promoting in-State GHG emission reduction projects carried out by California workers and businesses.
 - Complement efforts to improve air quality.
 - Direct investment toward the most disadvantaged communities and households in the State.
 - Provide opportunities for businesses, public agencies, nonprofits, and other community institutions to participate in and benefit from statewide efforts to reduce GHG emissions.
 - Lessen the impacts and effects of climate change on the State's communities, economy, and environment..."

V.A.4. Create jobs and provide job training as a component of funded projects, wherever possible

To maximize economic benefits, investments should result in job creation and job training as a component of funded GHG emission-reducing projects, wherever possible.

- Job training opportunities may be included as part of larger projects that result in quantifiable GHG emission reductions. Job training programs should include capacity building that results in credentials (e.g., certifications, certificates, degrees, licenses, other documentation of competency and qualifications) to support long-term, stable employment and career development. Administering agencies may consider developing partnerships with existing programs that provide training and skills such as community colleges, nonprofit organizations, labor management partnerships, state-certified apprenticeship programs, and high school career technical academies.
- Administering agencies should promote jobs that support a clean energy economy. Job classifications and job training programs in the clean energy sector can facilitate the shift towards a sustainable clean energy workforce.

³² AB 1532, Chapter 807, Statutes of 2012.

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Administering agencies may consider focusing hiring efforts on transitioning from carbon-intensive industries.

- Administering agencies should emphasize job quality. Factors commonly considered to influence job quality include, but are not limited to:
 - Local living wages;
 - Benefits provided: health insurance, paid leave, sick leave, or child care services;
 - Geographic accessibility and commute distance;
 - Job strain, schedule, and flexibility;
 - Working conditions and health risks; and
 - Job retention or duration of employment.
- If possible, administering agencies should leverage the resources of existing State and local employment programs. Additional information may be obtained through the California Labor and Workforce Development Agency (www.labor.ca.gov) which includes the Employment Development Department (www.edd.ca.gov), the California Workforce Development Board and the Green Collar Jobs Council (www.cwdb.ca.gov), the Employment Training Panel (www.etp.ca.gov), and the Department of Industrial Relations (www.dir.ca.gov).
- Administering agencies should track and report the number of job recipients or job trainees, if applicable, as well as information on the quality of jobs and job training outcomes for funded projects. Further guidance on the tracking and reporting of job creation and job outcomes for CCI projects can be found in Volume 3, Appendix 3.A of these Funding Guidelines. As CARB develops methodologies to assess employment co-benefits, tracking and reporting requirements may evolve to provide more specific and consistent approaches for estimating jobs from proposed projects and reporting on jobs from implemented projects.
- Mechanisms for maximizing job creation benefits may include practices such as targeted hiring. Targeted hiring strategies can direct opportunities to low-income residents, residents of disadvantaged communities, veterans, or residents displaced or otherwise impacted by project development, among others. Approaches for targeted hiring may include, but are not limited to:
 - Community Benefits Agreement (CBA): A contract between community-based organizations and project proponents or agencies that identify benefits to be provided as part of a project or program. Hiring priority for low-income individuals and prevailing wage requirements are commonly found in CBAs. CBAs may also include provisions for ongoing community engagement to ensure continued success.

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

V.A.5. Encourage projects that are consistent with the State's climate goals

- Investments should encourage projects that support California's climate change goals, including, but not limited to:
 - Executive Order B-16-2012 affirmed a long-range climate goal for California to reduce GHG emissions from the transportation sector to 80 percent below 1990 levels by 2050. The Executive Order also calls for 1.5 million zero-emission vehicles on California roads by 2025 and the State's Zero-Emission Vehicle (ZEV) Action Plan includes specific actions to achieve that goal.³³
 - Executive Order B-18-2012 addressed green building practices and included a goal for State agencies to reduce their GHG emissions 20 percent below 2010 levels by 2020. In addition, all new State buildings and major renovations beginning design after 2025 are to be constructed as Zero Net Energy facilities.
 - The "Safeguarding California: Reducing Climate Risk" plan is one of many climate resiliency plans that provide policy guidance for State decision makers, and is part of continuing efforts to reduce impacts and prepare for climate risks.³⁴
 - SB 605 directed CARB to develop a comprehensive strategy to reduce emissions of short-lived climate pollutants, in coordination with other State agencies and local air districts.³⁵

³³ California ZEV Action Plan, October 2016, is available at: www.gov.ca.gov/docs/2016_ZEV_Action_Plan.pdf.

³⁴ California Natural Resources Agency, Safeguarding California: Reducing Climate Risk, July 2014, is available at: www.resources.ca.gov/climate/safeguarding.

³⁵ SB 605, Lara, Chapter 523, Statutes of 2014. Information on the Short-Lived Climate Pollutant Reduction Strategy is available at: www.arb.ca.gov/cc/shortlived/shortlived.htm.

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- Governor Brown presented his 2030 climate and energy goals (or “climate pillars”) during the January 2015 Inaugural Address. By 2030, California aims to:
 - o Reduce petroleum use in cars and trucks by up to 50 percent;
 - o Increase renewable electricity generation to 50 percent;
 - o Double the energy efficiency of existing buildings and make heating fuels cleaner;
 - o Reduce emissions of methane, black carbon, and other potent short-lived climate pollutants; and
 - o Manage farm and rangelands, forests, and wetlands so they can store carbon.
- Executive Order B-30-15 established an interim target to reduce GHG emissions 40 percent below 1990 levels by 2030 and it affirmed the goal to reduce GHG emissions 80 percent below 1990 levels by 2050. The Executive Order also requires State agencies to take climate change into account in their investment decisions and contains guiding principles for those investments. These principles focus on investments that both prepare for climate impacts and reduce GHG emissions.
- SB 32 codified the 2030 target set by Executive Order B-30-15, establishing a requirement to reduce GHG emissions 40 percent below 1990 levels by 2030. The 2017 Scoping Plan Update provides strategies for achieving the 2030 GHG emission reduction targets.
- SB 350 increases the requirement for renewable electricity generation from 33 percent to 50 percent by 2030, and promotes transportation electrification. SB 350 also required the California Energy Commission to update the Existing Buildings Energy Efficiency Action Plan to achieve a cumulative doubling of statewide energy efficiency savings.³⁶

³⁶ SB 350, De León, Chapter 547, Statutes of 2015. The requirement for the Energy Commission to update the Energy Efficiency Action Plan is codified in Public Resources Code Section 25943(f)(2). Information on the Energy Efficiency Action Plan is available at: www.energy.ca.gov/ab758.

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- The interagency Forest Carbon Plan is the detailed implementation plan for the forest carbon goals embodied in the 2017 Scoping Plan Update. Similarly, CARB's Proposed Short-Lived Climate Pollutant Reduction Strategy points to the Forest Carbon Plan as the mechanism for addressing black carbon emissions from forest sources such as wildfire.³⁷
 - The Healthy Soils Initiative is a key part of California's strategy to reduce GHG emissions by increasing carbon sequestration in and on natural and working lands. The Healthy Soils Action Plan is an interagency plan to reduce GHG emissions and improve drought resiliency by innovating farm and rangeland practices.³⁸
 - The Caltrans California Transportation Plan 2040 outlines goals and recommendations to achieve a vision for a safe, sustainable, universally accessible, and globally competitive transportation system that provides reliable and efficient mobility for people, goods, and services, and information, while meeting the State's GHG emission reduction goals and preserving the unique character of California's communities.³⁹
 - Executive Order B-32-15 required the development of a Sustainable Freight Action Plan that establishes targets to improve freight efficiency, transition to zero-emission technologies, and increase competitiveness of California's freight system. The Executive Order also required the Plan to identify State policies, programs, and investments to achieve those targets.⁴⁰
- Investments should consider the State's planning principles as set forth in AB 857 to promote infill development and equity; to protect environmental and agricultural resources; and to encourage efficient development patterns.⁴¹
 - Investments should encourage projects that support sustainable community goals, including projects that implement local plans which are consistent with sustainable community strategies and regional transportation plans.
 - Investments may generate new environmental credits (e.g., renewable energy credits (RECs), renewable identification numbers (RINs), low carbon fuel standard credits, carbon offsets), if the investments achieve GHG emission reductions and meet the other statutory requirements.

³⁷ Information on the Forest Carbon Plan is available at: www.fire.ca.gov/fcat.

³⁸ Information on the Healthy Soils Initiative and the Healthy Soils Action Plan (September 2016) is available at: www.cdfa.ca.gov/oefi/healthysouils/HSInitiative.html.

³⁹ Information on the Caltrans California Transportation Plan 2040 (June 2016) is available at: www.dot.ca.gov/hq/tpp/californiatransportationplan2040/2040.html.

⁴⁰ California Sustainable Freight Action Plan, July 2016, is available at: www.dot.ca.gov/casustainablefreight.

⁴¹ AB 857, Wiggins, Chapter 1016, Statutes of 2002, Government Code Section 65041.1.

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However, for existing environmental credit projects (e.g., offset or renewable energy projects), California Climate Investments funding cannot supplement the ongoing operations of an existing project. In limited cases where a project is generating environmental credits and expansion of that project will result in additional GHG emission reductions beyond what would otherwise occur, California Climate Investments may fund the incremental costs for the expansion or change.

V.A.6. Coordinate investments and leverage funds where possible to provide multiple benefits and to maximize benefits

- To the maximum extent feasible, administering agencies should seek opportunities to work together to provide multiple benefits and to maximize the benefits from each program. Several administering agencies could coordinate and leverage their resources to combine funding for a project or to fund multiple related projects in the same geographic area. This coordination may involve sharing information with applicants about other California Climate Investments programs that offer funding for complementary projects. Potential funding recipients could then submit applications to multiple programs. For example, in the same neighborhood there may be funding opportunities that combine transit improvement projects with other projects (e.g., zero-emission buses, transit-oriented affordable housing, urban forestry, active transportation). **When projects receive dollars through multiple California Climate Investments programs, the assessment of benefits needs to include all Fund contributions and outcomes. The reporting guidance in Volume 3 provides additional guidance on documenting and reporting benefits for California Climate Investments projects that are funded by multiple California Climate Investments programs.**
- Investments should be coordinated with local, State, and federal funding programs to avoid duplicative efforts.
- Funding should leverage private and other government investment to the maximum extent possible. **For example, if an administering agency has a program that uses non-Fund moneys to provide job training, the agency could hire those trained workers for a project that is funded by a California Climate Investments program, thereby increasing the benefits for both programs.**

Guiding Principles

V.B. What are the guiding *implementation* principles for California Climate Investments programs?

Complementing the investment principles are implementation principles that guide how agencies administer their California Climate Investments programs.

V.B.1. Maximize transparency and provide public access to program information

Administering agencies should maximize transparency in program implementation and GHG quantification. Chapter VI contains additional guidance for administering agencies to help provide transparency during program implementation (see Section VI.A.10). At a minimum, administering agencies should provide public access to:

- Funding opportunities, including schedules and application materials;
- Public outreach events;
- Proposed funding awards and final project selections;
- Points of contact and resources for program information or technical assistance;
- Information on project outcomes, including GHG emission reductions and co-benefits; and
- Opportunities for continued public engagement (e.g., social media, list serves, work groups).

V.B.2. Maximize accountability for expenditures from the Fund

Administering agencies should maximize accountability in program implementation, as described below:

- Before expending funds, establish internal policies and procedures that ensure efficient and timely implementation in accordance with statutory requirements. These should include procedures for monitoring and evaluating projects following project selection and ensuring the availability of a trained workforce to implement programs.
- Include the necessary components for program accountability (e.g., measurable objectives, recordkeeping provisions, access to documents for program reviews and audits, consequences for non-performance) in grant agreements, loans, funding awards, or disbursements.
- Different programs will have different levels of administrative costs. It is acceptable to use appropriations from the Fund for administration of grant programs, but all administering agencies need to ensure that funds spent on

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administration are reasonable and directly tied to the implementation of California Climate Investments. As part of program reporting, administering agencies must specify the agency's costs for administering projects, as well as the administrative or overhead costs for funding recipients, as appropriate, to provide the full accounting of administrative costs. See Volume 3 for additional information on reporting administrative costs.

V.B.3. Conduct outreach to help potential applicants access funding, particularly for AB 1550 populations

Administering agencies should conduct or participate in outreach to help potential applicants access funding opportunities, particularly those in disadvantaged communities, low-income communities, and low-income households. These efforts are needed to maximize benefits and meet statutory investment requirements. See Volume 2 for additional information on conducting outreach and maximizing benefits to disadvantaged communities.

V.C. How do administering agencies incorporate provisions of these guiding principles into their California Climate Investments programs?

Each administering agency will need to review its California Climate Investments program to determine whether it has already incorporated provisions of the investment and implementation principles into program procedures and documents (e.g., guidelines, solicitation materials). In some cases, existing program structures may need to be modified to incorporate the new or revised provisions of the guiding principles. For new programs, administering agencies can incorporate the guiding principles as they build the program.

VI. Program Design and Administration

VI.A. What are the key items administering agencies need to address when they design and administer California Climate Investments programs?

Figure 1-9 summarizes some key items that administering agencies need to address when they design and administer California Climate Investments programs, and incorporate the provisions of the guiding principles presented in Chapter V.

Figure 1-9 Key Items in Program Design and Administration for California Climate Investments

- Have an initial consultation with CARB.
- Identify program-specific statutory requirements.
- Complete and maintain an Expenditure Record.
- Work with CARB on quantification methodologies.
- Establish a website and conduct public outreach, particularly for AB 1550 populations.
- Work with Finance and CARB to establish fiscal procedures.
- Develop guidelines and materials for project selection and implementation, including provisions for benefiting AB 1550 populations.
- Establish policies and procedures for project monitoring, accountability, and audits.
- Ensure program branding and acknowledgment of funding source.
- Support transparency and provide public access to information on program activities and outcomes.

VI.A.1. Have an initial consultation with CARB

Administering agencies must have an initial consultation with CARB to discuss the types of projects that the agency plans to fund, confirm that GHG emission reductions can be achieved and quantified for those projects, and facilitate program implementation by preparing the Expenditure Record early, if necessary. For administering agencies with new programs, this consultation can also provide valuable background on statutory requirements for California Climate Investments. The initial consultation for new programs should occur prior to the public release of draft guidelines or solicitation materials and prior to submitting a draft Expenditure Record to CARB. For administering agencies with existing programs, the consultation helps identify any new or revised requirements that need to be incorporated and determine if a new or revised quantification methodology needs to be developed. The consultation for existing

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programs, should occur annually prior to the public release of final guidelines or solicitation materials. Appendix 1.A, Table 1.A-1, describes the timing of the initial consultation as part of the Expenditure Record process.

VI.A.2. Identify program-specific statutory requirements

While general statutory requirements were summarized in Section IV.C, some requirements may vary by fiscal year, by administering agency, and by program. These Funding Guidelines are based on statutory requirements, but do not contain all program-specific details mandated by legislation. Therefore, it is critical that each administering agency identify all of the requirements that are applicable to that agency's program(s), such as investment targets and fiscal deadlines. These include program-specific requirements contained in budget bills (e.g., AB 1613, SB 859, SB 852, SB 862) or other legislative documents. Identifying all applicable requirements up front will help the administering agency develop and implement its program(s) in a way that is consistent with statute.

Administering agencies' programs also need to be consistent with their Expenditure Records, the "Cap-and-Trade Auction Proceeds Investment Plan," and any other applicable documents that are required by statute. For example, if an administering agency wanted to use its appropriation on a program or project type that is not included in its Expenditure Record, the agency would need to consult with CARB and may need to update its Expenditure Record prior to funding projects. See Appendix 1.A for guidance on how and when administering agencies must prepare and revise Expenditure Records.

VI.A.3. Complete and maintain an Expenditure Record

SB 1018 requires all administering agencies complete an Expenditure Record prior to expending appropriated funds. The Expenditure Record must be completed *prior* to the public release of final program materials, such as final guidelines or final project solicitations. Administering agencies must regularly evaluate their programs to ensure consistency with statutory requirements, these Funding Guidelines, and the existing Expenditure Record. The Expenditure Record must be updated, as needed, to accurately reflect the program design and implementation. Appendix 1.A includes guidance for how and when administering agencies complete and revise Expenditure Records.

VI.A.4. Work with CARB on quantification methodologies

CARB has a statutory role to develop guidance on quantification methodologies for administering agencies. Before selecting the type of projects that will be funded, administering agencies must consult with CARB on quantification methodologies.

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Program Design and Administration

CARB will work with administering agencies to develop quantification methodologies for their project types that:

- Support calculating the estimated GHG emission reductions and applicable co-benefits for individual projects;
- Apply to the project types proposed for funding;
- Provide uniform methodologies that can be applied statewide and are accessible by all applicants;
- Use existing and proven tools or methodologies, where available;
- Include the expected period of time for when GHG emission reductions, net GHG benefits, and co-benefits will be achieved; and
- Identify the appropriate data needed to calculate GHG emission reductions, net GHG benefits, or co-benefits.

Quantification methodologies should be referenced or included in the administering agency's draft and final guidelines or solicitation materials. For public review and access, all quantification methodologies are posted on the CARB website at: www.arb.ca.gov/cqi-quantification.

VI.A.5. Establish a website and conduct public outreach, particularly for AB 1550 populations

Outreach to stakeholders and the public is an important component of California Climate Investments programs, particularly for those targeted to benefit AB 1550 populations. Each administering agency should publicly identify an agency or program point of contact or liaison to provide program-specific information, including funding opportunities, program application requirements, eligibility determinations, and application / technical assistance. Volume 2 contains additional guidance on public outreach for AB 1550 populations.

After the budget is finalized, administering agencies can begin outreach efforts by establishing websites that publicize the amount of funding available, a general schedule for program development, links to list serves that allow interested parties to obtain updates as the program develops, and program contact information, such as an email address where stakeholders can submit questions or comments. Administering agencies are encouraged to send this information to: CCIPress@arb.ca.gov for posting on the California Climate Investments website, which maintains a calendar of upcoming agency events for all California Climate Investments programs (www.caclimateinvestments.ca.gov).

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There is a great deal of public interest in learning about funding opportunities. The earlier the information is made publicly available, the easier it is for people to get involved and prepare funding proposals or submit applications. Therefore, administering agencies should engage the public early on while developing guidelines, solicitation materials, and other program documents.

VI.A.6. Work with Finance and CARB to establish fiscal procedures

Administering agencies need to coordinate with Finance and CARB (the “accountant”) to establish fiscal procedures for managing their appropriation. Finance and CARB work with administering agencies to manage the cash flow and ensure that funds will be available to satisfy appropriations and transaction requests. See Appendix 1.A.X for more information on the administrative cash flow process. Administering agencies are responsible for encumbering and expending funds consistent with federal and State law, and ensuring that their appropriation is utilized consistent with the final Expenditure Record and cash flow estimates.

For projects that leverage funds from multiple sources, administering agencies need a mechanism to track the specific expenditures from the Fund and identify the amount being spent on administrative costs. Different programs will have different levels of administrative costs. It is acceptable to use appropriations from the Fund for the administration of grant programs, but administering agencies need to ensure that funds spent on administration are reasonable and directly tied to the implementation of California Climate Investments. If administering agencies distribute funds to local agencies or other entities, the funding recipients will also need to track those dollars and the associated administrative costs, so they can provide this information to the administering agency. See Volume 3 for guidance on reporting administrative costs.

VI.A.7. Develop guidelines and materials for project selection and implementation, including provisions for benefiting AB 1550 populations

Most administering agencies need to develop guidelines and / or solicitation materials to: specify eligibility standards; describe the application process; and establish other program requirements for applicants and funding recipients. In addition, administering agencies may include provisions that encourage investments benefiting AB 1550 populations, such as preferential scoring criteria or funding set-asides. See Chapter VII for detailed guidance on the type of information that administering agencies need to include when they develop guidelines and solicitation materials.

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Administering agencies may use a variety of approaches to select projects and implement programs, including but not limited to:

- Conducting competitive solicitations to select projects that will receive funding;
- Conducting competitive solicitations to choose a Program Administrator that will distribute consumer-based incentives, using a first-come, first-served approach;
- Accepting applications for a non-competitive loan program;
- Using an established non-competitive formula to distribute funding (e.g., allocating transportation funds to transit agencies by formula); and
- Directly funding infrastructure projects (e.g., high-speed rail).

VI.A.8. Establish policies and procedures for project monitoring, accountability, and audits

All administering agencies are subject to Legislative and Administration oversight, including audits by the Bureau of State Audits, Finance, other State oversight agencies, or a third-party auditor. Administering agencies must have clear policies in place that allow for audits conducted by State oversight agencies. Administering agencies also need procedures to monitor California Climate Investments projects and to conduct their own audits or program reviews of funding recipients, either during or after project implementation. Both administering agencies and funding recipients must make records available, if requested, to support program reviews or audits.

VI.A.9. Ensure coordinated communication

- **Branding and logo.** The “California Climate Investments” logo and name serve to bring under a single brand the many investments funded by Cap-and-Trade auction proceeds through the Fund.



The California Climate Investments brand helps unify for Californians the many separate programs overseen by different administering agencies. It presents a consolidated and coordinated initiative by the State to address climate change by reducing GHG emissions, strengthening the economy, and improving public health and the environment – particularly in disadvantaged communities. The name and logo are designed to reflect this unified effort and identify California as a leader in the world of innovation and sustainability.

Where there is an existing name or acronym recognized by the public and media for an existing program, the administering agency may use that name in conjunction with “California Climate Investments,” with the understanding that the program’s primary connection is to California’s efforts to fight climate change.

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The California Climate Investments logo has been used to brand the many California Climate Investments programs since 2015. As of 2017, the logo has been updated to include the addition of a tagline (“Cap and Trade Dollars at Work”) and should replace the old logo wherever it is in use.

Guidance on California Climate Investments logo usage, signage guidelines, and high resolution files is contained in a style guide available at: www.caclimateinvestments.ca.gov/logo-graphics-request.

- **Funding source acknowledgement.** Standard funding language that should be used on websites and included in announcements, press releases, and publications, is:

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

- **Coordinated social media and website.** When implementing California Climate Investments programs and projects, consistent branding and messaging should be used in all communications. Recognition of funding under a California Climate Investments program extends to publications, websites, signage, invitations, and other media-related and public-outreach products. This recognition requirement applies to all funding recipients, including sub-grantees and local agencies that receive Fund dollars to supplement existing local programs. Include the email address: CCIPress@arb.ca.gov on any distribution lists and post the @CAClimateInvestments Twitter link on websites.

When administering agencies issue any press, workshop, or milestone announcements, they should always include bcc: CCIPress@arb.ca.gov so the announcement can be included on the California Climate Investments website.

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VI.A.10. Support transparency and provide public access to information on program activities and outcomes

To support transparency, all administering agencies must provide public access to information on California Climate Investments programs and projects. Each administering agency should maintain a website that provides up-to-date program information, including:

- **Funding opportunities.** Provide information on funding opportunities, schedules, and application materials that is easily accessible to potential applicants, including those in disadvantaged communities, low-income communities, and low-income households.

Guidelines and solicitation materials should provide a clear description of program requirements, application procedures, GHG quantification methodologies, timelines, deliverables, and the criteria that the administering agency will use to evaluate proposals and select projects for funding.

- **Public outreach events.** Publicize workshops, community meetings, public hearings, and other outreach events well in advance of the event date. Post materials related to the event (e.g., agendas, presentations, draft documents) and provide a mechanism for the public to ask questions before the event or submit comments after the event. To improve accessibility, provide materials in other languages or provide language interpretation services, and select locations and timing that encourage stakeholder participation. Provide outreach information for posting on the California Climate Investments website (www.caclimateinvestments.ca.gov).
- **Proposed funding awards – prior to funding decisions.** For programs that fund projects with competitive grant, loan, or contract solicitations (i.e., not “first-come, first-served” vouchers or rebates), administering agencies must post basic information about all of the applications or proposals that are submitted for consideration. Administering agencies must post this information on their program websites at least ten days before the agency makes a decision on funding awards. Administering agencies can provide this information on their website using the format that works best for their program(s) (e.g., a list of all applications, brief narrative summaries of each application, concept proposals). Since each administering agency is responsible for its own project selection criteria and process, the type of information that is posted may vary by program. The minimum items that must be posted include:
 - For each project application or proposal:
 - Name of applicant;
 - Brief description of proposed project, including location (excluding personally identifiable information for any private individuals);

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- Amount of funding requested; and
- Whether the project is expected to provide benefits to AB 1550 populations.
- For each solicitation:
 - A reference or website link to the project evaluation and selection criteria that are contained in the administering agency's guidelines and solicitation materials, to inform the public about the factors that will influence the agency's project selection.

In addition to the items identified above, administering agencies could choose to list or describe other key data (qualitative or quantitative) for each project that is being considered in project selection according to the program guidelines or solicitation materials.

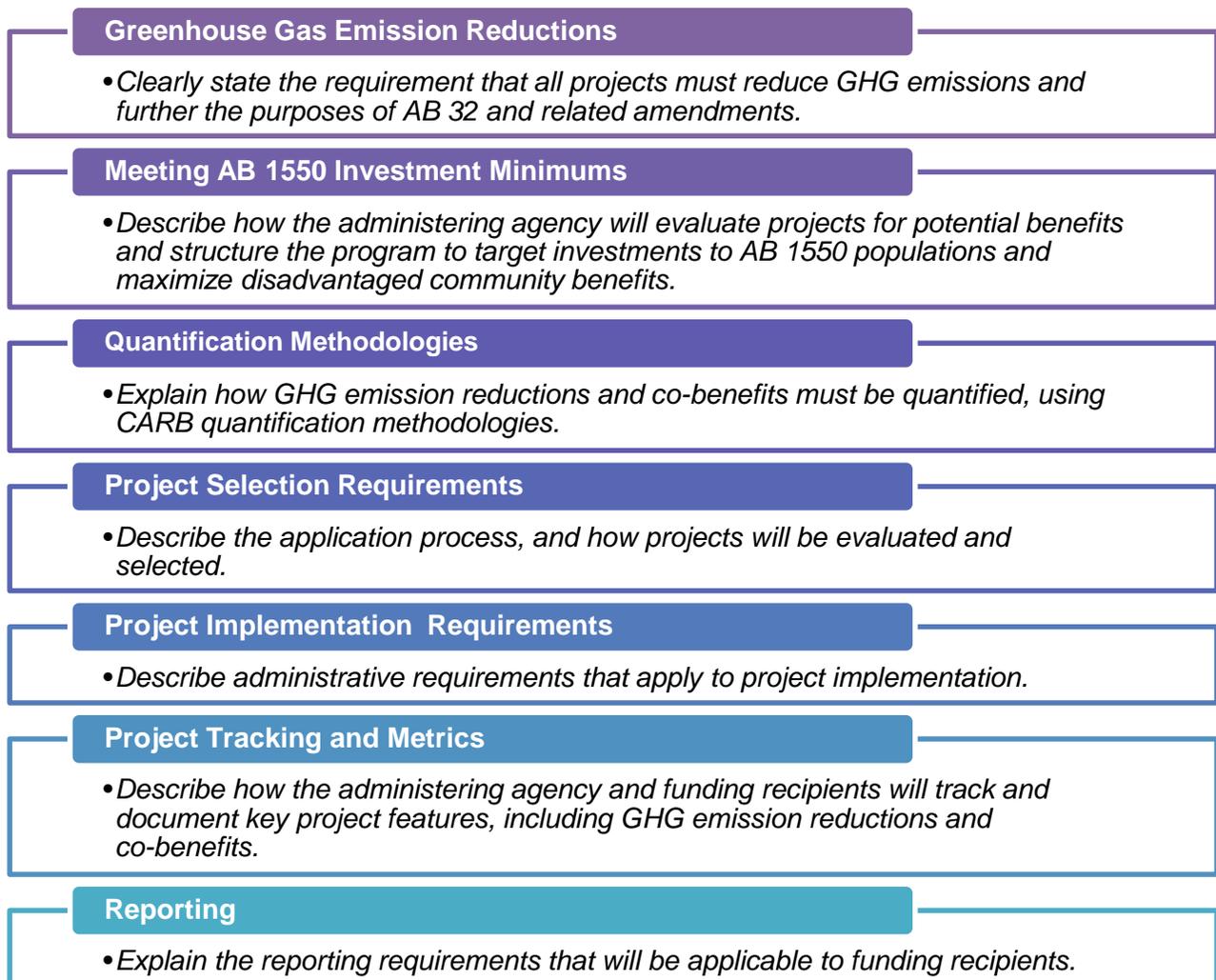
- **Final project selections – after funding decisions.** Administering agencies also need to work with their funding recipients to obtain project locations, status updates, and other information. After administering agencies submit the required project information and program-level data to CARB, it is compiled for the Annual Report to the Legislature, which is a public document. See Volume 3 of these Funding Guidelines for information on reporting requirements.
- **Points of contact and resources for information and technical assistance.** Provide contact information for the public to ask questions or obtain additional information (e.g., phone, email, social media) in a prominent location on the program website and on program materials. Also list any resources that are available for technical assistance (e.g., clarifying the methodologies for estimating GHG emission reductions).
- **Project results, including GHG emission reductions and co-benefits.** Post the results of California Climate Investments projects or provide a link to the California Climate Investments website for the Annual Report to the Legislature (www.caclimateinvestments.ca.gov/annual-report) and the CARB website for the online mapping tool (www.arb.ca.gov/ccimap). The public should be able to access the project location (address or census tract), funding amount, GHG emission reductions, co-benefits, and benefits to AB 1550 populations.
- **Opportunities for continued public engagement.** Provide options that enable the public to remain involved and informed about investments (e.g., social media, list serves, work groups) after awards have been made.

VII. Guidelines and Solicitation Materials

VII.A. What common elements do administering agencies need to include in their guidelines and solicitation materials?

California Climate Investments programs are funding a broad spectrum of projects and many administering agencies use a competitive solicitation or an application process to select projects for funding. For guidelines and / or other solicitation materials, the administering agency must explain the application and selection process using the common elements summarized in Figure 1-10. These elements are based on the guiding principles presented in Chapter V. Some of these elements may not apply for administering agencies that use a “first-come, first-served” approach to distribute funding.

Figure 1-10 Summary of Common Elements to Include in Guidelines and Solicitation Materials



Guidelines and Solicitation Materials

VII.B. How do administering agencies address these common elements in their guidelines and solicitation materials?

Each administering agency is responsible for implementing its programs in a way that meets statutory requirements and is consistent with these Funding Guidelines. Administering agencies can decide the format and approach that works best for them as they develop guidelines and solicitation materials. Additional details on the common elements are provided below.

VII.B.1. Greenhouse gas emission reductions

Guidelines and solicitation materials must clearly state the requirement that all projects must reduce GHG emissions and further the purposes of AB 32 and related amendments.

In addition to guidelines and solicitation materials, clearly state the GHG emission reduction requirements:

- In program administration documents (e.g., internal administrative procedures);
- On the administering agency’s website; and
- During public outreach events (e.g., workshops, public meetings) and in other communications with the public.

VII.B.2. Meeting AB 1550 investment minimums

In guidelines and solicitation materials, the administering agency must describe how it will evaluate projects for potential benefits, consistent with the criteria in Volume 2 of these Funding Guidelines. The administering agency must also explain how the structure of the program will maximize benefits to disadvantaged communities and invest in projects that provide direct, meaningful, and assured benefits to AB 1550 populations, if applicable. (See Volume 2 of these Funding Guidelines for guidance on maximizing benefits to disadvantaged communities and AB 1550 implementation.)

- Describe any applicable targets or statutory requirements for investments in AB 1550 populations.

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- Include the appropriate CARB criteria and 3-step approach to determine whether investments benefit AB 1550 populations. Volume 2, Appendix 2.A contains the criteria tables that administering agencies use to evaluate projects for AB 1550 benefits.
 - Copy the full criteria tables or include a reference to the criteria tables that are applicable to the program’s project types, as contained in Volume 2, Appendix 2.A; do not use criteria for other project types.
 - Copy the applicable AB 1550 maps or include a reference to the maps. These maps and an interactive mapping tool are available on the CARB website at:
www.arb.ca.gov/cc/capandtrade/auctionproceeds/communityinvestments.htm.

Administering agencies may have applicants assess their project against the criteria or the agency may collect the relevant data and complete the assessment on the applicant’s behalf.

- Describe efforts to address important needs in disadvantaged communities, low-income communities, or low-income households, particularly those needs identified by community residents or representatives. Volume 2 contains additional guidance on how to identify important needs and select projects to address those needs.

- Clearly explain how the administering agency plans to meet programmatic targets for investments benefiting AB 1550 populations. Some administering agencies may use a broad, program-wide approach to allocate expenditures for projects specifically located in AB 1550 communities. Others may require that individual funding recipients expend a designated percentage of their awarded funds for projects benefiting AB 1550 populations. The approaches will vary among the different programs, and each administering agency needs to document its chosen approach.

If an administering agency’s plans for meeting investment targets allow flexibility in where projects are located, the agency needs to establish policies which ensure that AB 1550 investment targets are still being met. For example, if a local transit operator is allowed to transfer funds to their regional transit agency to help fund a project, both the local transit operator and the regional transit agency need to be aware of the applicable AB 1550 requirements and must use the funds accordingly. In addition, the regional transit agency would need to document the benefits to AB 1550 populations and provide the data needed to satisfy reporting requirements.

- For programs that target investments benefiting low-income households, describe how the administering agency will determine and verify “low-income” eligibility. Potential options include: relying on other public assistance programs

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that pre-qualify applicants (e.g., Supplemental Nutritional Assistance Program (CalFresh), Supplemental Security Income, Temporary Assistance for Needy Families, School Free or Reduced Lunch programs, Medi-Cal) if they use an income level consistent with the AB 1550 low-income household definition; having applicants self-certify that they meet eligibility requirements and conducting a random sample audit to check income levels; or requiring all applicants to submit income verification.

VII.B.3. Quantification methodologies

In guidelines and solicitation materials, explain how GHG emission reductions and co-benefits will be quantified using CARB quantification methodologies, which are available at: www.arb.ca.gov/cc-quantification. CARB has a statutory role to develop guidance on quantification methodologies for administering agencies.

- **GHG emission reductions.** Explain that applicants must use the quantification methodology developed by CARB and include links to methodology documents or estimation tools.
- **Co-benefits.** Describe how the administering agency will evaluate co-benefits during the selection process, either using a qualitative assessment or using a methodology approved by CARB. As CARB develops quantification methodologies for co-benefits, CARB will provide guidance on their applicability and use.

VII.B.4. Project selection requirements

In guidelines and solicitation materials, clearly describe the application process and how projects will be selected.

- **Program objectives and available funding.** Describe overall program objectives, statutory requirements, and other guiding policies / plans. Also provide information on the amount of funding that is potentially available.
- **Eligibility requirements.** Describe eligibility requirements, including the need to achieve GHG emissions reductions, in sufficient detail for potential applicants to determine if their project would be eligible for funding. Specify any ineligible costs that do not qualify for funding.
- **Match funding / leveraging.** Explain whether match funding or other leveraging is required, or if it will help an applicant rank higher during the project selection process. If an applicant is leveraging funds from multiple sources of Fund dollars or if the applicant is pursuing funding from multiple sources of Fund dollars, require the applicant to describe all existing or potential Fund sources in the application materials.

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- **Application procedures.** Describe how potential applicants can apply for funding and clearly list any application forms or other materials that applicants must submit. Describe how applicants will be notified of the results. Note that applications will be treated in accordance with Public Records Act requirements and that certain information, subject to those requirements, may be publicly disclosed. If technical assistance is available to help applicants prepare their application materials, provide information on how applicants can access that assistance.
- **Key dates and deadlines.** Specify key dates and deadlines that apply to projects under the solicitation including, but not limited to: deadline for submittal of concept proposals or full applications; timeframe for project evaluation and selection; deadlines for funding obligation or liquidation; time allowed for project implementation; and dates when project reports must be submitted to the administering agency.
- **Project selection criteria.** Define the criteria by which projects will be evaluated and selected. Explain whether the administering agency will use a “first-come, first-served” approach or a competitive process. Describe how the administering agency will handle solicitations that do not meet minimum requirements (e.g., the agency will issue a new solicitation if none of the applicants meet a specified minimum score). Examples of potential selection criteria include, but are not limited to: GHG emission reductions; providing multiple benefits to disadvantaged communities; providing benefits to AB 1550 populations; documented support from AB 1550 populations; ability to promote the use of clean alternative fuels and advanced technologies; and applicant’s ability or readiness to successfully implement the project.

VII.B.5. Project implementation requirements

In guidelines and solicitation materials, clearly describe any administrative requirements that apply to project implementation.

- **Administrative requirements during project implementation.** Describe the administrative requirements that will apply to applicants selected to receive funding. Include key milestone dates and requirements for maintaining eligibility prior to project completion, if applicable. Also, note any laws, policies, plans, or other relevant documents that will guide project implementation.
- **Review / audit procedures.** Describe the review and audit procedures that administering agencies will use for oversight of funding recipients and project implementation. Explain that the State has the right to review project documents and conduct audits during project implementation and quantification period.
- **Remedies for non-performance.** Define remedies that administering agencies may use if they determine that funding recipients have not performed in

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accordance with program requirements, grant agreements, or other legally binding agreements. Examples of non-performance include, but are not limited to: misuse of funding for ineligible expenses; failure to comply with program guidelines or requirements; inability to meet performance requirements or schedule milestones; and failure to comply with the terms and conditions identified in legal agreements.

VII.B.6. Project tracking and metrics

In guidelines and solicitation materials, describe how the administering agency and funding recipients will track and document GHG emission reductions, co-benefits, and other information by including the items provided below. (See Volume 3 of these Funding Guidelines for guidance on what needs to be tracked and reported.)

- List the metrics that will be tracked or state that the administering agency / funding recipient will track metrics in accordance with CARB's Funding Guidelines.
- Describe who will be responsible for tracking metrics, how often metrics will be tracked (e.g., quarterly), how long metrics will be tracked (e.g., over the quantification period), and the retention period for records after tracking ends.

VII.B.7. Reporting

In guidelines and solicitation materials, explain the reporting requirements that will be applicable to funding recipients. (See Volume 3 of these Funding Guidelines for guidance on reporting.)

APPENDIX 1.A

Expenditure Record and Fiscal Procedures

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Appendix 1.A

I. Purpose

The purpose of this Appendix is to provide to administering agencies:

- Guidance on the scope, preparation, completion, and revision of an Expenditure Record to document the proposed use of their appropriation.
- Guidance on fiscal procedures for administering agencies that need to request withdrawals from the Fund.

II. What is an Expenditure Record?

Administering agencies that have been appropriated moneys from the Fund must prepare an Expenditure Record.⁴² Every programmatic appropriation for investment of auction proceeds requires preparation of an Expenditure Record. An Expenditure Record is a document that provides five elements or pieces of information describing the proposed use of the funds:

- A description of the proposed use;
- A description of how a proposed expenditure will further the regulatory purposes of AB 32 and related amendments;
- A description of how a proposed expenditure will contribute to achieving and maintaining GHG emission reductions;
- A description of how the administering agency considered the applicability and feasibility of other non-GHG emission reduction objectives; and
- A description of how the administering agency will document the result achieved from the expenditure.

In addition to the above five elements, all Expenditure Records must include:

- **An Attestation Memorandum signed by the Agency Secretary and Department Director (or equivalent) affirming that the Expenditure Record was prepared according to the requirements of SB 1018 and these Funding Guidelines; and**
- **A CARB Concurrence Memorandum, if the administering agency is proposing to fund a new program.**

The Expenditure Record is a critical first step in the tracking and reporting process to ensure that all California Climate Investments meet statutory requirements and further the purposes of AB 32 and related amendments. The Expenditure Record must be updated, as outlined in these Funding Guidelines, to accurately reflect program design

⁴² See Government Code Section 16428.9, which was amended by Public Resources Code Section 75214.

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and implementation, as it serves as a valuable tool for maintaining accountability throughout the life of the projects funded by the appropriation.

An Expenditure Record is usually prepared for a program, not for individual projects implemented under the program or individual invoices for payment. For the purposes of completing an Expenditure Record, a program is defined as related projects or activities to be implemented to achieve a common goal(s). A program brings together similar projects and provides coordinated implementation and funding to achieve the goals. If an administering agency will use its appropriation for more than one program, an Expenditure Record is required for each program.

For example, the Strategic Growth Council (SGC) prepared separate Expenditure Records for its programs (Affordable Housing and Sustainable Communities and Sustainable Agriculture Land Conservation). Similarly, the California Department of Forestry and Fire Protection (CAL FIRE) prepared separate Expenditure Records for each of its programs (Forest Health and Urban and Community Forestry).

In cases where more than one Expenditure Record is completed, the administering agency should include a short text summary under element 1 of each Expenditure Record that describes the portion of the agency's appropriation that is assigned to each program for projects and administration as either a dollar amount or a percentage (e.g., SGC might indicate that "X" percent of its appropriation will be used for projects and "Y" percent for administration for its Affordable Housing and Sustainable Communities Program and "X" for projects and "Y" percent for administration for its Sustainable Agricultural Lands Conservation Program).

The Expenditure Record is a qualitative description of how the program will achieve and maintain GHG emission reductions and co-benefits, including benefits to AB 1550 populations. Prospective quantification of benefits is not necessary in the Expenditure Record, but a description of the approach for meeting AB 1550 targets and methodology that will be used to quantify the GHG emission reductions is required.

Shifts in administering agency program priorities or policies, new budget acts, legislative changes, or CARB Funding Guidelines updates, may affect program design and implementation over time. Once an administering agency has an Expenditure Record with CARB concurrence, the agency must regularly evaluate it to ensure consistency with the agency's program design and implementation, statutory requirements, and these Funding Guidelines. A new Expenditure Record and an Attestation Memorandum are needed if program changes are inconsistent with an existing Expenditure Record.

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III. Who is required to prepare an Expenditure Record?

Any administering agency must prepare, finalize, and maintain an Expenditure Record according to the procedures in these Funding Guidelines.

IV. What is the process for completing an Expenditure Record and when is CARB concurrence needed?

Prior to preparing a draft Expenditure Record or releasing draft solicitation materials, administering agencies should have an initial consultation with CARB to discuss the types of projects that the agency plans to fund and confirm that GHG emission reductions can be achieved and quantified for those projects. This initial consultation should help expedite the Expenditure Record process by identifying and resolving issues early. Table 1.A-1 describes the timing of the initial consultation as part of the Expenditure Record process.

Administering agencies will need CARB concurrence on their Expenditure Record if the agency plans to fund a new program not currently covered by an existing Expenditure Record. The Expenditure Record must be completed prior to the release of the administering agency's final guidelines or solicitation materials. If CARB concurrence is needed, the first draft should be submitted to CARB early in the program development process to avoid any schedule delays. CARB staff will work with the administering agency, as needed, to ensure that each Expenditure Record meets statutory requirements and addresses all required items. Depending on the level of detail and complexity of the Expenditure Record, CARB expects it will take approximately two weeks after submittal of the first draft for CARB staff to provide initial comments to the administering agency.

Once CARB and an administering agency reach concurrence on a final Expenditure Record, CARB will document it with a Concurrence Memorandum to the agency.

If an administering agency is continuing an existing program the agency must evaluate the existing Expenditure Record to ensure consistency with the agency's anticipated program design and implementation, statutory requirements, and these Funding Guidelines. If changes to an existing Expenditure Record are needed, the administering agency must update the Expenditure Record and submit it to CARB for posting. CARB concurrence is not required.

All Expenditure Records, new and updated, must include an Attestation Memorandum signed by the Agency Secretary and Department Director (or equivalent) affirming that the Expenditure Record was prepared according to the requirements of SB 1018 and these Funding Guidelines.

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The final Expenditure Record, administering agency Attestation Memorandum, and CARB Concurrence Memorandum (if applicable) are public documents and will be posted on the CARB website, allowing the administering agency to submit transaction requests consistent with the Expenditure Record and cash flow estimates (www.arb.ca.gov/caclimateinvestments). Table 1.A-1 illustrates the Expenditure Record process for new programs that don't have an existing Expenditure Record and existing programs that have already completed an Expenditure Record, but may need to make revisions to incorporate changes.

Administering agencies should submit completed Expenditure Records consistent with the guidance in these Funding Guidelines, in Microsoft® Word format, and an Attestation Memorandum in Adobe® PDF format, by email to CARB at: GGRFProgram@arb.ca.gov.

Table 1.A-1 Timing for Expenditure Record Process

Types of Programs	Expenditure Record Process			
	Consultation with CARB	Prepare New or Revised Expenditure Record	Get CARB Concurrence	Prepare an Attestation Memorandum
New programs	Prior to submitting draft Expenditure Record to CARB	Prior to posting final program materials	Prior to preparing an Attestation Memorandum	Prior to CARB posting Expenditure Record (see Table 1.A.2)
<u>Existing programs where:</u> Changes occur that impact the Expenditure Record*; or The program has a new budget appropriation for the fiscal year, but no other changes occur that impact the Expenditure Record*	Prior to releasing draft program materials	Prior to posting final program materials	Not required	

** If changes occur that impact an existing Expenditure Record, administering agencies must complete a revised Expenditure Record. These changes may include, but are not limited to: new or revised project types and new or revised statutory requirements.*

V. When do administering agencies need to complete an Expenditure Record?

Administering agencies must complete an Expenditure Record and an Attestation Memorandum and submit them to CARB for posting on the CARB website prior to releasing final program materials and prior to expending any funds on projects. In most cases, administering agencies will prepare a draft Expenditure Record prior to or early in the fiscal year.

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Administering agencies must complete an Expenditure Record for each program according to the procedures in this guidance *prior to* engaging in any the activities listed in Table 1.A-2. Development of the Expenditure Record *prior to* drafting program materials provides a well-structured process and will help minimize the modifications needed to future program guidance or solicitations.

Table 1.A-2 Activities that Require an Expenditure Record and an Attestation Memorandum Prior to Action

• Public release of final guidelines or solicitation materials.
• Executing contracts, loans, grant agreements, or other agreements that obligate moneys from the Fund.
• Financially committing to programs that directly receive funds (e.g., capital outlay projects, state operations expenditures for direct project costs).
• Requesting the withdrawal of funds from the Fund, excluding initial staffing expenses.
• Transferring funds out of the Fund, excluding initial staffing expenses.
• Securing leveraged funds or match funds by withdrawing moneys from the Fund.
• Submitting documentation to reimburse grantees for project expenditures.

Administering agencies do not need to complete an Expenditure Record prior to staffing up to perform the administrative functions associated with the internal management of their appropriation. However, when administering agencies complete Expenditure Records for program implementation, the amount of funding shown will need to reflect both anticipated administrative and program expenditures.

VI. What is an administering agency Attestation Memorandum and when is it needed?

After CARB concurrence (if applicable), all Expenditure Records must include an Attestation Memorandum signed by the Agency Secretary and Department Director (or equivalent) affirming that the Expenditure Record was prepared according to the requirements of SB 1018 and these Funding Guidelines. Administering agencies and departments can use their own format and content to prepare an Attestation Memorandum. However, based on administering agency input, Figure 1.A-1 was created for administering agencies as an example template.

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Figure 1.A-1 Sample Template for an Attestation Memorandum
(for illustrative purposes only – administering agencies may use a different format)

Administering Agency Letterhead	
FROM:	<i>[Name of Agency Secretary]</i> <i>[Title]</i> <i>[Name of Administering Agency]</i> <i>[Name of Department Director (or equivalent)]</i> <i>[Title]</i> <i>[Name of Department (or equivalent)]</i>
DATE:	<i>[Date]</i>
SUBJECT:	GREENHOUSE GAS REDUCTION FUND: <i>[Name of administering agency or Department with an appropriation from the Fund, e.g., California Air Resources Board]</i> EXPENDITURE RECORD FOR FISCAL YEAR [20XX-XX] <i>[Name of administering agency program that is covered by this Expenditure Record, e.g., Low Carbon Transportation]</i>
<p>This Attestation Memorandum documents that <i>[Administering agency and Department (or equivalent)]</i> completed the attached Expenditure Record on <i>[Date]</i>, for <i>[Program]</i>. The Expenditure Record is consistent with the statutory requirements of Government Code Section 16428.9 and with CARB's <i>Funding Guidelines for Agencies that Administer California Climate Investments</i> to support expenditures from the Greenhouse Gas Reduction Fund.</p> <p>This Attestation Memorandum and Expenditure Record will be submitted to CARB for public posting on the CARB website at: www.arb.ca.gov/caclimateinvestments. Questions on this Attestation Memorandum or Expenditure Record may be directed to <i>[Administering agency contact name, e-mail, and phone number]</i>.</p>	
Attachment	
cc:	
<i>[Signed by Agency Secretary and Department Director (or equivalent)].</i>	

VII. How often must an Expenditure Record be prepared?

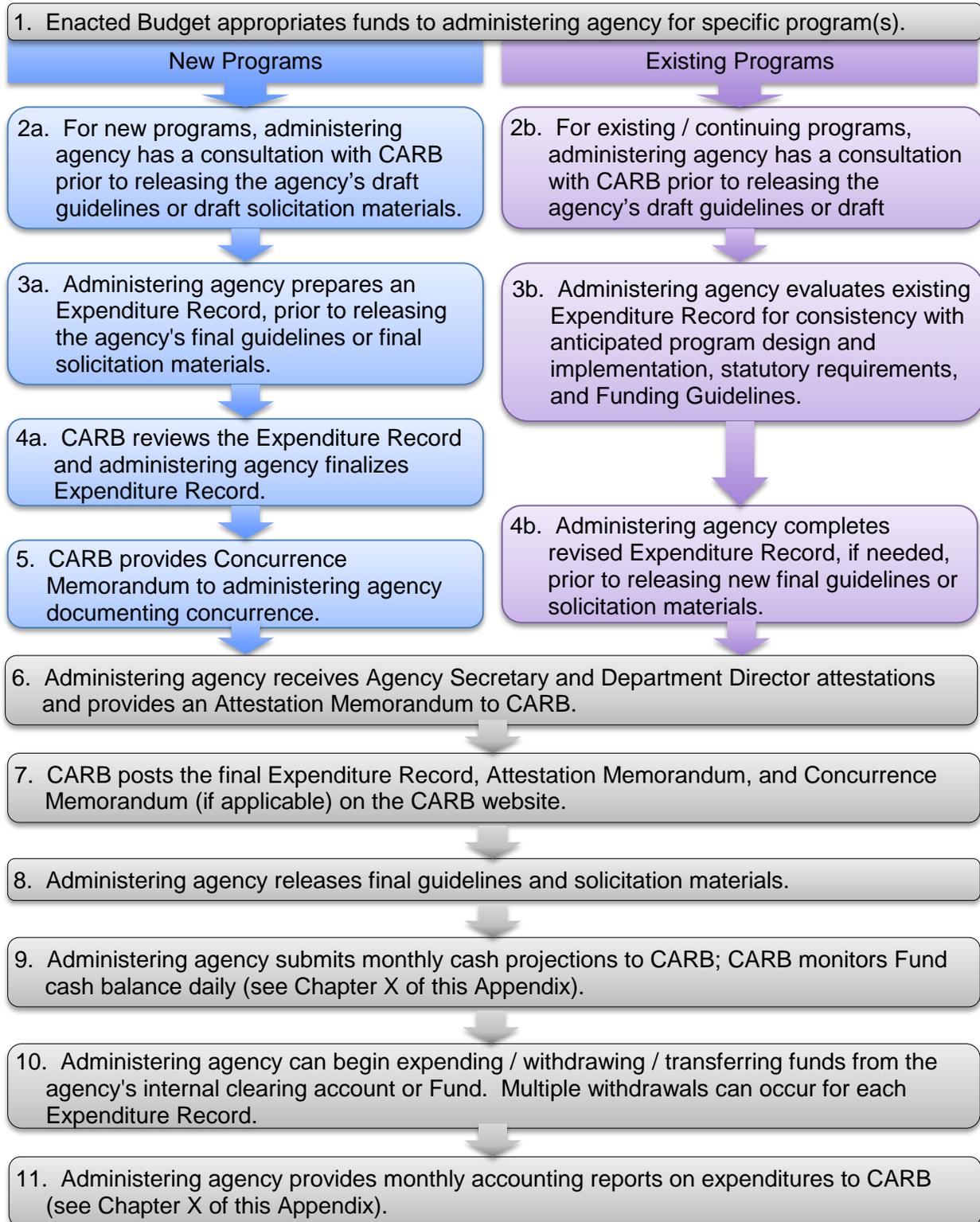
An Expenditure Record is not required for each transaction request or payment. An administering agency will typically complete an Expenditure Record for each new program funded. In most cases, an existing Expenditure Record will need to be updated annually to reflect new budget appropriations and **as needed to remain consistent with program design and implementation, statutory requirements, and these Funding Guidelines**. The Expenditure Record is tied to the proposed use of the funds, which may occur over several years as allowed by State law.

Figure 1.A-2 illustrates the overall Expenditure Record and fiscal process, from budget appropriation through Expenditure Record submittal, withdrawals from the Fund, and fiscal reporting.

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Figure 1.A-2 Overall Expenditure Record and Fiscal Process



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VIII. What are the required elements of an Expenditure Record?

The required elements of an Expenditure Record are presented below, with examples of potential descriptions in response:

Element (1) A description of each expenditure proposed to be made by the administering agency pursuant to the appropriation.

<i>The description must include:</i>	<i>Examples include, but are not limited to:</i>
<input type="checkbox"/> Agency that will administer funding	<ul style="list-style-type: none"> ▪ Strategic Growth Council, in coordination with Housing and Community Development and the Department of Conservation. ▪ Department of Water Resources, directly and through local water agencies.
<input type="checkbox"/> Amount of proposed expenditure and appropriation reference	<ul style="list-style-type: none"> ▪ The total expenditure is \$35 million (\$10 million for grants; \$20 million for rebates; \$5 million for vouchers), per Section [XXXX-XXX-XXXX] of the Budget Act of 2014 (Chapter [X], Statutes of [year]). ▪ Per SB 862 (Chapter 36, Statutes of 2014), ten percent of the annual proceeds in the Fund are continuously appropriated to the Transportation Agency for the Transit and Intercity Rail Capital Program, beginning in FY 2015-16.
<input type="checkbox"/> Estimated amount of expenditures for administering agency administrative costs	<ul style="list-style-type: none"> ▪ The total expenditure includes \$[XX] million for State Operations costs. ▪ Administering agency administrative costs are estimated to be approximately \$[XX] million or [XX] percent, but these costs will depend on the actual amount of the continuous appropriation.
<input type="checkbox"/> If applicable, identify laws or regulations that govern how funds will be used	<ul style="list-style-type: none"> ▪ [AB XX or SB XX] established the program and provides direction on how the funds will be allocated to recipients, including requirements for project eligibility and program implementation. All funds will be allocated and managed in accordance with this law.
<input type="checkbox"/> Continuation of existing Expenditure Record	<ul style="list-style-type: none"> ▪ This is a new program that does not have an existing Expenditure Record; or ▪ This is an update to an existing Expenditure Record. The Expenditure Record elements being updated include the following: [refer to each individual element description being updated, i.e., "Amount of proposed expenditure and appropriation reference;" "Type of projects that will be eligible for funding;" and "Percentage of total funding that will be expended for projects that benefit AB 1550 populations, per the criteria in Volume 2 of CARB's Funding Guidelines."]

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Element (1), continued

The description must include:

Examples include, but are not limited to:

<input type="checkbox"/> Project category	<ul style="list-style-type: none"> ▪ High-speed rail ▪ Low-carbon transit operations ▪ Transit and intercity rail capital program ▪ Affordable housing and sustainable communities ▪ Low-carbon transportation ▪ Energy efficiency upgrades / weatherization ▪ Energy efficiency upgrades for public buildings ▪ Water-energy efficiency ▪ Agricultural energy and operational efficiency ▪ Wetlands and watershed restoration ▪ Forest health and urban forestry ▪ Waste diversion
<input type="checkbox"/> Type of projects that will be eligible for funding	<ul style="list-style-type: none"> ▪ Weatherization of low-income residences to improve energy efficiency in disadvantaged communities. ▪ Construction of affordable housing readily accessible to transit that reduces vehicle miles travelled. ▪ Purchase of qualifying zero-emission vehicles to cut vehicle emissions.
<input type="checkbox"/> Intended recipients	<ul style="list-style-type: none"> ▪ Local transit agencies ▪ Non-profit organizations ▪ Businesses ▪ Consumers
<input type="checkbox"/> Process for selecting projects for funding	<ul style="list-style-type: none"> ▪ Competitive solicitation, evaluation, and selection of projects according to program guidelines. ▪ Allocation to contractors (e.g., other agencies, private, or non-profits) based on award or formula by governing body. ▪ Direct funding of defined State capital improvements. ▪ First-come, first-served rebates for consumers with qualifying purchases.

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Element (2) **A description of how a proposed expenditure will further the regulatory purposes of Division 25.5 (commencing with Section 38500) of the Health and Safety Code, including, but not limited to, the limit established under Part 3 (commencing with Section 38550) and other applicable requirements of law.**

<i>The description must include:</i>	<i>Examples include, but are not limited to:</i>
<input type="checkbox"/> How the expenditure is reflected in the three-year Investment Plan and the Scoping Plan	<ul style="list-style-type: none">▪ AB 1532 requires that monies from the Fund be appropriated in a manner that is consistent with the three-year Investment Plan. The 2013 “Cap-and-Trade Auction Proceeds Investment Plan” recommends that sustainable communities and clean transportation receive the largest allocation of auction proceeds investments because the transportation sector is the largest contributor of both GHGs and criteria pollutants. In addition, Appendix B of the Investment Plan specifically describes and recommends the types of projects that will be funded by expenditures under the Program (e.g., implementation of Sustainable Communities Strategies, transit-oriented development, active transportation). Therefore, the expenditures covered by this record are consistent with the Investment Plan and align with the priorities expressed in the Plan.▪ The First Update to the Climate Change Scoping Plan identified key strategies and recommendations to continue reducing GHG emissions and achieve the goals and purposes of AB 32. The recommended actions for the energy sector include continuing to enhance energy efficiency, increasing localized generation, and implementing smart-grid technologies.

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Element (3) A description of how a proposed expenditure will contribute to achieving and maintaining greenhouse gas emission reductions pursuant to Division 25.5 (commencing with Section 38500) of the Health and Safety Code.

<i>The description must include:</i>	<i>Examples include, but are not limited to:</i>
<ul style="list-style-type: none"> ☐ Describe how expenditures will achieve GHG emission reductions or net GHG benefits 	<ul style="list-style-type: none"> ▪ Expenditures will achieve GHG emission reductions by funding the purchase of zero or near-zero emission vehicles or equipment which emit less GHG emissions than comparable conventionally fueled vehicles or equipment. ▪ Expenditures will achieve net GHG benefits by funding forest management projects that enhance carbon sequestration and avoid GHG emissions through: preventing spread of disease to healthy forests by selectively removing infected trees; restoring impacted landscapes through reforestation; and utilizing removed trees for wood products or biomass energy. A net GHG benefit occurs as a result of reduced tree mortality, biomass utilization, and improved tree growth.
<ul style="list-style-type: none"> ☐ Expected period for which reductions will be estimated and how expenditure will maintain GHG emission reductions or net GHG benefits 	<ul style="list-style-type: none"> ▪ Solar retrofits will begin to yield GHG emission reductions in [year] and will continue to provide clean energy and long-term GHG emission reductions for an expected quantification period of [X] years based on warranty life. ▪ Weatherization projects will reduce energy consumption and reduce energy use GHG emissions starting in [year]. It is expected that these systems will maintain GHG emission reductions for a period of [X] years. ▪ Planting trees will sequester carbon over a period of about [X] years, with sequestration starting in [year] and GHG emission reductions expected to begin in [year]. All tree planting projects will include establishment care and maintenance and be assessed and inspected to ensure best management practices are followed to ensure long term survival. ▪ The time required to achieve a net GHG benefit will vary depending on the site preparation activities and the species planted, but a net benefit is expected to be achieved within [X] years of planting.

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Element (4) **A description of how the administering agency considered the applicability and feasibility of other non-greenhouse gas reduction objectives of Division 25.5 (commencing with Section 38500) of the Health and Safety Code.**

<i>The description must include:</i>	<i>Examples include, but are not limited to:</i>
<ul style="list-style-type: none"> ❑ Expected co-benefits, particularly environmental, economic, public health and safety, and climate resiliency 	<ul style="list-style-type: none"> ▪ Weatherization and energy upgrades will yield economic, environmental, and public health co-benefits. These projects will provide California jobs and job training for disadvantaged community residents through targeted recruitment and training programs. They will also cut energy costs for low-income residents and improve building comfort. Installing renewable energy and increasing household energy efficiency will improve air quality by reducing criteria pollutants and GHG emissions from energy production in California. Replacing older HVAC systems with newer, cleaner models will benefit public health by reducing exposure to indoor air pollutants, such as carbon monoxide, associated with very old or poorly maintained heating units. ▪ Providing more bike and pedestrian paths will improve public health by encouraging active transportation. Providing these paths will also make it easier for people to bike or walk to work, school, local businesses or transit connections, thereby reducing vehicle miles travelled, as well as the criteria air pollutants associated with automobile travel.
<ul style="list-style-type: none"> ❑ How the project will support other objectives of AB 32 and related amendments (see below) 	<ul style="list-style-type: none"> ▪ This project will demonstrate how warehouses and distribution centers can transform freight operations to low emissions by installing centralized charging / fueling stations that use low-carbon fuels. This reduces toxic air pollutants and helps modernize California's energy infrastructure.

Other objectives of AB 32 and related amendments may be applicable for qualitative discussion in Expenditure Records, including the reduction of GHG emissions in a manner that:

- Improves and modernizes California's energy infrastructure;
- Maintains electric system reliability;
- Maximizes additional environmental and economic co-benefits for California;
- Complements the State's efforts to improve air quality;
- Directs public and private investment toward the most disadvantaged communities in California; or
- Provides an opportunity for small businesses, schools, affordable housing associations, and other community institutions to participate in and benefit from statewide efforts to reduce GHG emissions.

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Element (4), continued

The description must include:

Examples include, but are not limited to:

- | | |
|--|---|
| <ul style="list-style-type: none"> ❑ Percentage of total funding that will be expended for projects that benefit AB 1550 populations, per the criteria in Volume 2 of CARB’s Funding Guidelines | <ul style="list-style-type: none"> ▪ The administering agency has established a target to expend at least 75 percent of the total project funds received under this fiscal year appropriation to fund projects that provide benefits to AB 1550 populations. We expect this amount to include 50 percent of total project funds for investments in and benefiting residents of disadvantaged communities and 25 percent in and benefiting residents of low-income communities or low-income households. <ul style="list-style-type: none"> – Per the requirements contained in SB 862, the administering agency has a 50 percent of the appropriation for the program will be expended on projects that benefit disadvantaged communities. |
| <ul style="list-style-type: none"> ❑ Describe the AB 1550 benefits, per the criteria in Volume 2 of CARB’s Funding Guidelines | <ul style="list-style-type: none"> ▪ These expenditures will support projects that provide benefits for low-income households in disadvantaged communities as identified by CalEPA. ▪ Investments to expand transit service for AB 1550 populations will improve access to jobs, schools, and businesses. |
| <ul style="list-style-type: none"> ❑ Explain strategies the administering agency will use to maximize benefits to disadvantaged communities | <ul style="list-style-type: none"> ▪ The administering agency will prioritize projects that meet multiple disadvantaged community benefit criteria and demonstrate that the project will meaningfully address an important community need. This will help maximize benefits and support administering agency efforts to meet, or exceed statutory requirements for expenditures that benefit disadvantaged communities. ▪ To help maximize benefits to disadvantaged communities, the administering agency will coordinate with local and regional entities to host workshops that allow the public to provide input on the types of projects that would be funded. |
-

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Element (5) A description of how the administering agency will document the result achieved from the expenditure to comply with Division 25.5 (commencing with Section 35800) of the Health and Safety Code.

<i>The description must include:</i>	<i>Examples include, but are not limited to:</i>
<p>☐ How the administering agency will track / report progress to make sure projects are implemented per requirements in statute and CARB's Funding Guidelines</p>	<ul style="list-style-type: none"> ▪ The administering agency will require funding recipients to maintain records and submit quarterly status reports. In addition, the administering agency will conduct periodic reviews of selected projects. If a funding recipient does not perform in accordance with program requirements, the recipient will be subject to the remedies for non-performance, as identified in the administering agency's guidelines.
<p>☐ Approach that will be used to document GHG emission reductions, net GHG benefits, or co-benefits before and after project completion. Include citations for references that support methodology</p>	<ul style="list-style-type: none"> ▪ The administering agency will calculate the GHG emission reductions expected and achieved from projects using a CARB quantification methodology. ▪ The administering agency will coordinate with CARB to estimate GHG emission reductions and co-benefits (e.g., energy savings), using CARB standardized methodologies. Administering agency staff will review calculations prepared by project proponents to ensure consistency with approved methodologies. ▪ The administering agency will work closely with CARB to refine GHG emission reduction methodologies and estimates for wetlands projects to ensure that only projects with net GHG benefits and / or sequestration are funded.
<p>☐ Type of information that will be collected to document project results, as described in CARB's Funding Guidelines</p>	<ul style="list-style-type: none"> ▪ To determine the job creation benefits, the agency will compile data from funding recipients, including: number of job-years provided, average wages and benefits, the number of people who completed job training or received industry-recognized certifications, and residence location of job / training recipients. ▪ The administering agency will collect data on project location, baseline and estimated energy usage, energy costs, type of upgrade that was installed, expected quantification period, and other data as specified in CARB's Funding Guidelines. ▪ The administering agency will collect information on project outcomes consistent with CARB's Funding Guidelines for [X] percent of projects.
<p>☐ How the administering agency will report on program status</p>	<ul style="list-style-type: none"> ▪ The administering agency will provide regular updates on expenditures, project status, and benefits in reports prepared according to CARB's Funding Guidelines. At a minimum, the reports will include expenditure amounts, current estimates of GHG emission reductions, quantification of other applicable co-benefits (e.g., jobs created, vouchers issued, units retrofitted). Reports will also include information on project outcomes for [X] percent of projects over [X] years.

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IX. How do we manage encumbrances and expenditures?

Appropriations are based on budget assumptions. The amount of auction proceeds available to the Fund throughout the fiscal year is dependent on the results of each auction and reserve sale.

If administering agencies with appropriations request to withdraw sizeable portions of their appropriation early in the fiscal year, there may not be a sufficient balance available in the Fund to fulfill all requests at that time. CARB and Finance will work with administering agencies to ensure that funds will be available to satisfy appropriations and transaction requests.

Administering agencies need to encumber and expend funds consistent with State law, and ensure that their appropriations are utilized consistent with the final Expenditure Record and cash flow estimates.

The next section describes the administrative process for administering agencies to report cash flow needs, and submit monthly reports to CARB that document the expenditures drawn on the Fund.

X. What is the cash administrative process for the Greenhouse Gas Reduction Fund?

X.A. Background

Realizing that cash deposited into the Fund is cyclical in nature, CARB actively monitors the cash in the Fund and tracks actual and budgetary expenditures. Additionally, AB 1532 requires Finance to submit an Annual Report to the Legislature on the status and outcomes of projects receiving moneys from the Fund. The Annual Report provides compiled program accomplishments and fiscal data.

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X.B. Allocations of authority

Because CARB is responsible for assisting Finance in the preparation of the Annual Report to the Legislature, CARB must track funding and proceeds at the “program” level. To track authority at this level, CARB requests administering agencies provide:

- A breakdown of each program by funding source (e.g., how much from their budget will be used for local assistance).

Example:

Local Assistance (reference 101)	<u>FY 2014-15</u>
Passenger ZEV rebates	\$109,483,000
Heavy duty hybrid/ZEV trucks and buses	\$4,931,000
Freight demonstration projects	\$49,317,000
Light duty pilot projects in disadvantaged communities	\$8,877,000
Truck and bus pilot projects in disadvantaged communities	<u>\$24,658,000</u>
Total Local Assistance (reference 101)	\$197,266,000

- A breakdown of administrative costs used beyond state operations (e.g., how much of the state operations budget was used to fund programs versus oversight of funded programs).

Example:

Administration (reference 001)	<u>FY 2014-15</u>
State Operations	\$2,360,000
Grants: Passenger ZEV rebates	\$1,000,000
Grants: Freight demonstration projects	<u>\$3,000,000</u>
Total State Operations (reference 001)	\$6,360,000

X.C. Monthly reporting requirements

To comply with Fund Administrator responsibilities per Budget Letter (BL) 14-04,⁴³ CARB requests that administering agencies submit the reports listed below on a monthly basis.

Administering agencies should submit the following reports, CALSTARS or equivalent, to CARB’s Accounting unit at: GGRFFiscal@arb.ca.gov:

- The first of each month:
 - Updated cash projections will be requested.

⁴³ California Department of Finance, Budget Letter 14-04, “Budgeting and Accounting Relationship, Coordination and Fund Reconciliation,” dated April 3, 2014, www.dof.ca.gov/budgeting/budget_letters/documents/BL14-04.pdf.

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- The middle of each month:
 - G01 (trial balance);
 - Q22 (Plan of Financial Adjustment (PFA) by Program, fiscal year, and appropriation);
 - D07 or D16 (document report by gl 6150, encumbrance balances);
 - B06 (budget report);
 - H00 (history transaction register); and
 - Additional Reports as needed per BL 14-04.

CARB tracks expenditures at the “program function” level; therefore, CARB needs administering agencies to identify the program function for expenditures incurred. CARB would like to work with each administering agency to understand how it tracks authority and expenditures in its System of Record (e.g., CALSTARS, SAP, FISCAL), so CARB can clearly see the breakdown on the administering agency’s reports.

X.D. Process for monitoring cash in the Fund

CARB monitors daily transaction activity. Therefore, CARB has developed the following process in accordance with the State Administrative Manual (SAM) 8452, 8715, 8452.1, 8452.2, and Government Code Section 11251:

- CARB shall consider the following when analyzing the impact of proposed expenditures on the cash balance in the Fund:
 - Adequate cash is available to support the proposed expenditures; and
 - The actual cash flow for expenditures is reasonably close to the estimates previously submitted by each administering agency to CARB and Finance.

Based on the projected cash flows of the Fund for the month, CARB will promptly notify Finance of any potential overdrafts.

APPENDIX 1.B

Summary Documents to Assist Administering Agencies

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Appendix 1.B

Table 1.B-1 Glossary of Terms for Funding Guidelines

This Glossary is intended to clarify the terms used in these Funding Guidelines; it does not contain official definitions to be used for other purposes.

Acronym or Term	Description
AB 32 (Assembly Bill 32)	AB 32, the California Global Warming Solutions Act of 2006, created a comprehensive multi-year program to reduce greenhouse gas emissions. In 2016, this Act was amended by SB 32 and AB 197. The term “AB 32 and related amendments” refers to AB 32, SB 32, AB 197, and any other bills that amend this Act. (Chapter 488, Statutes of 2006; Chapter 249, Statutes of 2016; and Chapter 250, Statutes of 2016; all are codified under Health and Safety Code, Division 25.5, Sections 38500-38599)
AB 93 (Assembly Bill 93)	AB 93 enacted the Fiscal Year 2015-16 State Budget, including appropriations from the Greenhouse Gas Reduction Fund. (Chapter 10, Budget Act of 2015)
AB 197 (Assembly Bill 197)	<p>AB 197 amended the California Global Warming Solutions Act to:</p> <ul style="list-style-type: none"> • Add two non-voting members to the Board; • Establish the Joint Legislative Committee on Climate Change Policies; • Require CARB to provide easier public access to air emissions data and report at least once a year to the Joint Legislative Committee on Climate Change Policies; • Require CARB to consider the social cost of greenhouse gas emissions and to prioritize regulations that result in direct emission reductions from large stationary sources and mobile sources, when CARB is adopting regulations to reduce GHG emissions; and • Provide additional direction for developing the Scoping Plan. <p>(Garcia, Chapter 250, Statutes of 2016, codified with AB 32 and SB 32 in Health and Safety Code Sections 38500-38599)</p>
AB 1532 (Assembly Bill 1532)	AB 1532, the Greenhouse Gas Reduction Fund Investment Plan and Communities Revitalization Act, established requirements and goals for the investment of monies appropriated from the Greenhouse Gas Reduction Fund. (Chapter 807, Statutes of 2012, codified with SB 535 under Health and Safety Code Sections 39711-39723)

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Appendix 1.B

Table 1.B-1 Glossary of Terms for Funding Guidelines (continued)

This Glossary is intended to clarify the terms used in these Funding Guidelines; it does not contain official definitions to be used for other purposes.

Acronym or Term	Description
AB 1550 (Assembly Bill 1550)	AB 1550, required the allocation of monies from the Greenhouse Gas Reduction Fund to projects benefiting disadvantaged communities, low-income communities, and low-income households. Note: The AB 1550 allocation requirements supersede the previous requirements under SB 535. (Gomez, Chapter 369, Statutes of 2016; amending Health and Safety Code Section 39713)
AB 1550 Communities	AB 1550 Communities include: disadvantaged communities and low-income communities. Disadvantaged communities must be identified in accordance with Health and Safety Code Section 39711. Low-income communities are defined in Health and Safety Code Section 39713.
AB 1550 Populations	AB 1550 Populations include: disadvantaged communities, low-income communities, and low-income households. Disadvantaged communities must be identified in accordance with Health and Safety Code Section 39711. Low-income communities and low-income households are defined in Health and Safety Code Section 39713.
AB 2722 (Assembly Bill 2722)	AB 2722, established the Transformative Climate Communities Program, which authorizes grants from the Fund to implement transformative neighborhood-level projects that reduce GHG emissions and provide local economic, environmental, and health benefits to disadvantaged communities. (Burke, Chapter 371, Statutes of 2016, adding Public Resources Code Sections 75240-75243)
Administering agency	A State agency that has been appropriated monies from the Greenhouse Gas Reduction Fund. The term “agency” may refer to an agency, authority, board, commission, department, office, university, or other unit of State government.
Annual Report	AB 1532 requires the Department of Finance to submit an Annual Report to the Legislature on the status and outcomes of projects funded from the Greenhouse Gas Reduction Fund. These reports are available at: www.caclimateinvestments.ca.gov/annual-report .
Appropriation	Authorization for an administering agency to make expenditures or create obligations from a specific fund for a specific purpose.

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Appendix 1.B

Table 1.B-1 Glossary of Terms for Funding Guidelines (continued)

This Glossary is intended to clarify the terms used in these Funding Guidelines; it does not contain official definitions to be used for other purposes.

Acronym or Term	Description
Attestation Memorandum	After an administering agency completes an Expenditure Record, the Agency Secretary and Department Director (or equivalent) sign an Attestation Memorandum affirming that the Expenditure Record was prepared according to the requirements of SB 1018 and these Funding Guidelines. The final Expenditure Record, administering agency Attestation Memorandum, and CARB Concurrence Memorandum (if needed) are posted on the CARB website at: www.arb.ca.gov/caclimateinvestments .
Budget Bill	A Budget Bill provides appropriations in support of the State Budget. As an example, some of the enacted Budget Bills that include Greenhouse Gas Reduction Fund appropriations, by fiscal year, include: <ul style="list-style-type: none"> • FY 2016-17: AB 1613 (Committee on Budget, Chapter 370, Budget Act of 2016) • FY 2015-16: AB 93 (Committee on Budget and Fiscal Review, Chapter 10, Budget Act of 2015) • FY 2015-16: SB 101 (Committee on Budget and Fiscal Review, Chapter 321, amended the Budget Act of 2015) • FY 2014-15: AB 1476 (Committee on Budget, Chapter 663, Budget Act of 2014) • FY 2013-14: AB 101 (Committee on Budget, Chapter 354, Budget Act of 2013) • FY 2012-13: AB 1464 (Blumenfeld, Chapter 21, Budget Act of 2012)
CalEnviroScreen	CalEnviroScreen is a tool that can be used to assess areas that are disproportionately affected by multiple types of pollution and areas with vulnerable populations. Per SB 535, CalEPA has used this tool to identify disadvantaged communities for the purpose of California Climate Investments. For additional information, please refer to: www.calepa.ca.gov/EnvJustice/GHGInvest .
California Climate Investments	An umbrella term and associated logo developed for the purpose of communication with funding recipients and the general public to identify programs or projects funded in whole or in part by the Greenhouse Gas Reduction Fund. <div style="text-align: right;">  </div>

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Appendix 1.B

Table 1.B-1 Glossary of Terms for Funding Guidelines (continued)

This Glossary is intended to clarify the terms used in these Funding Guidelines; it does not contain official definitions to be used for other purposes.

Acronym or Term	Description
CARB	CARB refers to the California Air Resources Board, the lead agency implementing AB 32, including the Cap-and-Trade Program. CARB also administers the Greenhouse Gas Reduction Fund; develops funding guidelines and quantification methodologies; and is an administering agency that funds low carbon transportation and woodsmoke reduction projects.
Co-benefit	Benefit, other than greenhouse gas emission reductions or net greenhouse gas benefits, that results from California Climate Investments. Co-benefits may be environmental, social, or economic.
Concurrence Memorandum	If an administering agency plans to fund a new program that is not currently covered by an existing Expenditure Record, CARB issues a Concurrence Memorandum after the administering agency completes the Expenditure Record. The final Expenditure Record, administering agency Attestation Memorandum, and CARB Concurrence Memorandum (if needed) are posted on the CARB website at: www.arb.ca.gov/caclimateinvestments .
Continuous Appropriation	An amount, specific or estimated, available each year under a permanent constitutional or statutory expenditure authorization that exists from year to year without further legislative action. The amount available for expenditure each year may be: a specific recurring sum each year; all, or a specified portion of, the proceeds of specified revenues which have been dedicated permanently to a certain purpose; or whatever amount is designated for the purpose as determined by formula.
Disadvantaged Communities	Areas that are disproportionately affected by multiple types of pollution and areas with vulnerable populations. Per SB 535 (adding Health and Safety Code Section 39711), the Secretary for Environmental Protection at CalEPA is responsible for identifying disadvantaged communities for the purpose of California Climate Investments. For additional information, please refer to: www.calepa.ca.gov/EnvJustice/GHGInvest .
Encumbrance	The commitment of all or part of a budget appropriation. Encumbrances represent valid obligations related to unfilled purchase orders or unfulfilled contracts.

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Appendix 1.B

Table 1.B-1 Glossary of Terms for Funding Guidelines (continued)

This Glossary is intended to clarify the terms used in these Funding Guidelines; it does not contain official definitions to be used for other purposes.

Acronym or Term	Description
Expenditure Record	A document that details how projects funded by Greenhouse Gas Reduction Fund monies will reduce greenhouse gas emissions and further the purposes of AB 32 and related amendments. SB 1018 requires all administering agencies to prepare an Expenditure Record prior to expending those monies. (Government Code Sections 16428.8-16428.95)
FY (Fiscal Year)	A 12-month period during which revenue is earned and received, obligations are incurred, encumbrances are made, appropriations are expended, and for which other fiscal transactions are recognized. In California state government, the fiscal year begins July 1 and ends the following June 30. (Government Code Section 13290)
Fund (Greenhouse Gas Reduction Fund)	The Greenhouse Gas Reduction Fund was established by SB 1018 to receive the State's portion of proceeds from the quarterly Cap-and-Trade auctions. (Government Code Section 16428.8)
GHG (Greenhouse Gas)	A gas that absorbs infrared radiation, including but not limited to: carbon dioxide (CO ₂), methane (CH ₄), nitrous oxide (N ₂ O), hydrofluorocarbons (HFCs), perfluorocarbons (PFCs), and sulfur hexafluoride (SF ₆). The greenhouse gases quantified for each project or investment will be specified in the relevant quantification methodology.
GHG emission reductions or net GHG benefit	The sum of the greenhouse gas emission reductions and sequestration, less any greenhouse gas emissions resulting from project implementation. Greenhouse gas emission reductions and net benefits are determined in accordance with CARB's quantification methodologies.

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Appendix 1.B

Table 1.B-1 Glossary of Terms for Funding Guidelines (continued)

This Glossary is intended to clarify the terms used in these Funding Guidelines; it does not contain official definitions to be used for other purposes.

Acronym or Term	Description
Investment Plan	<p>AB 1532 requires the Department of Finance, in conjunction with CARB and other relevant State entities, to develop and submit to the Legislature a three-year Investment Plan for the investment of Greenhouse Gas Reduction Fund monies. The Investment Plan must identify greenhouse gas emission reduction goals, identify gaps in current State strategies to meeting the emission reduction goals of AB 32, and identify priority programmatic investments that facilitate achievement of the goals. In 2016, SB 1464 amended statute to require additional analyses for the Investment Plan. (Health and Safety Code Section 39716)</p>
Leverage	<p>Use of one source of funds to obtain a commitment from another funding source. Leveraging may involve cash commitments or non-cash commitments, such as volunteer labor or in-kind goods and services.</p>
Low-income Communities	<p>For the purposes of California Climate Investments, “low-income communities” are defined in AB 1550 as:</p> <ul style="list-style-type: none"> • “Low-income communities” are census tracts with median household incomes at or below 80 percent 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. Information and maps of low-income communities are available at: www.arb.ca.gov/cc/capandtrade/auctionproceeds/communityinvestments.htm. <p>(Health and Safety Code Section 39713)</p>
Low-income Households	<p>For the purposes of California Climate Investments, “low-income households” are defined in AB 1550 as:</p> <ul style="list-style-type: none"> • “Low-income households” are those with household incomes at or below 80 percent of the statewide median income or with 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. <p>(Health and Safety Code Section 39713)</p>

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Table 1.B-1 Glossary of Terms for Funding Guidelines (continued)

This Glossary is intended to clarify the terms used in these Funding Guidelines; it does not contain official definitions to be used for other purposes.

Acronym or Term	Description
Obligation	Amounts of money that a governmental unit may legally be required to pay out of its appropriations.
PFA (Plan of Financial Adjustment)	A plan whereby any State agency, which is supported by more than one fund or appropriation, may make financial adjustments between funding sources for services rendered, supplies used, or for a proper proportion of other expenses. (State Administrative Manual Sec. 8452)
Program	Related projects or activities that an administering agency funds and implements. A California Climate Investments program brings together similar projects and provides coordinated implementation and funding to achieve a common goal(s). For administering agencies, a program typically provides funding for multiple projects or project types that are consistent with the categories authorized by the State budget and other legislation.
Project	<p>The definition of project varies for the different administering agencies and California Climate Investments programs. A project typically includes activities that are funded, in whole or in part, by the Greenhouse Gas Reduction Fund and achieve greenhouse gas reductions. Examples of a project include, but are not limited to:</p> <ul style="list-style-type: none"> • A grant, loan, or direct funding of construction activities, equipment upgrades, or equipment purchases. • A grant for an incentive program (e.g., rebates, vouchers, financing). • Transit improvements implemented by a transit agency. • A grant that funds pilot / demonstration activities focused on advanced technology, advanced mobility options, or other innovative efforts. • A grant to fund activities that sequester carbon and achieve net greenhouse gas benefits. <p>A large-scale investment that includes planning, construction, equipment, and operations (e.g., the High-Speed Rail project). (Note: This does not include “stand-alone” planning activities that do not achieve greenhouse gas reductions.)</p>

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Appendix 1.B

Table 1.B-1 Glossary of Terms for Funding Guidelines (continued)

This Glossary is intended to clarify the terms used in these Funding Guidelines; it does not contain official definitions to be used for other purposes.

Acronym or Term	Description
Project Closeout Report	Data reporting by the administering agency when a project, contract, or grant agreement ends, or when all GGRF funds are expended. CARB works with each administering agency to develop the appropriate project closeout reporting template for data submittal.
Project Outcome Reporting or Project Outcome Report	Data collection and reporting for a subset of California Climate Investments projects. The objective of project outcome reporting is to document results achieved by a project after becoming operational or the initial implementation is completed. The start, duration, frequency, metrics, and methods of project outcome reporting vary by program and project type, as described in Volume 3, Appendix 3.B. See Volume 3 for additional information on project outcome reporting requirements which are organized by administering agency and program.
Project Type or Project Category	A general description of the kinds of projects being funded by California Climate Investments programs. Examples include, but are not limited to: Affordable Housing and Sustainable Communities; Energy Efficiency and Renewable Energy; Land Preservation or Restoration; Low Carbon Transportation; Transit; Urban Forestry and Urban Greening; Waste Diversion and Utilization; Water Use and Energy Efficiency. Both the benefits criteria in Volume 2 and the reporting requirements in Volume 3, Appendix 3.A are organized according to these general project types.
Quantification Methodology	For California Climate Investments, a quantification methodology describes the methods and approaches that administering agencies, funding recipients, or other entities must use to calculate estimated greenhouse gas emission reductions. These methodologies may also provide guidance on documenting co-benefits that result from California Climate Investments.
Quantification Period	The quantification period varies for the different administering agencies and California Climate Investments programs, so it is defined in each of CARB's quantification methodologies for estimating greenhouse gas reductions. For California Climate Investments, the quantification period typically covers the period of time during which greenhouse gas reductions are reasonably expected to occur, or the over which greenhouse gas reductions can be calculated and validated.

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Appendix 1.B

Table 1.B-1 Glossary of Terms for Funding Guidelines (continued)

This Glossary is intended to clarify the terms used in these Funding Guidelines; it does not contain official definitions to be used for other purposes.

Acronym or Term	Description
SB 32 (Senate Bill 32)	SB 32 amended the California Global Warming Solutions Act to require a 40 percent reduction in GHG emissions <i>below</i> 1990 levels by 2030. (Pavley, Chapter 249, Statutes of 2016, codified with AB 32 and AB 197 in Health and Safety Code Sections 38500-38599)
SB 101 (Senate Bill 101)	SB 101 amended the Fiscal Year 2015-16 State Budget, including appropriations from the Greenhouse Gas Reduction Fund. (Chapter 321, amended Budget Act of 2015)
SB 535 (Senate Bill 535)	SB 535 required the identification of disadvantaged communities, guidance on maximizing benefits to disadvantaged communities, and the allocation of appropriated monies from the Greenhouse Gas Reduction Fund to benefit disadvantaged communities. Note: The allocation requirements under SB 535 are superseded by those in AB 1550, which was enacted in 2016. (Chapter 830, Statutes of 2012; codified with AB 1532 by adding Health and Safety Code Sections 39711-39723)
SB 852 (Senate Bill 852)	SB 852 enacted the Fiscal Year 2014-15 State Budget, including appropriations from the Greenhouse Gas Reduction Fund. (Chapter 25, Budget Act of 2014)
SB 859 (Senate Bill 859)	SB 859 enacted the budget trailer bill for Fiscal Year 2015-16, including requirements for administering agencies that were appropriated monies from the Greenhouse Gas Reduction Fund. (Chapter 368, Statutes of 2016)
SB 862 (Senate Bill 862)	SB 862 enacted the budget trailer bill for Fiscal Year 2014-15, including requirements for administering agencies that were appropriated monies from the Greenhouse Gas Reduction Fund. (Chapter 36, Statutes of 2014)
SB 1018 (Senate Bill 1018)	SB 1018 established the Greenhouse Gas Reduction Fund and requires each administering agency to prepare an Expenditure Record, prior to expending monies from the Fund. (Chapter 39, Statutes of 2012; Government Code Sections 16428.8-16428.95)
SB 1464 (Senate Bill 1464)	<p>SB 1464 amended the Investment Plan requirements to add:</p> <ul style="list-style-type: none"> • Conduct an assessment of how proposed investments interact with State regulations, policies, and programs; • Evaluate if and how those proposed investments could be incorporated into existing programs; and • Recommend metrics that would measure progress and benefits from the proposed programmatic investments.

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Table 1.B-1 Glossary of Terms for Funding Guidelines (continued)

This Glossary is intended to clarify the terms used in these Funding Guidelines; it does not contain official definitions to be used for other purposes.

Acronym or Term	Description
	(De León, Chapter 679, Statutes of 2016, Health and Safety Code Section 39716)
Trailer Bill or Trailer Bill Language	<p>A Trailer Bill provides the implementing language for a Budget Bill. Trailer Bills that include requirements for administering agencies that were appropriated Greenhouse Gas Reduction Fund monies, by fiscal year, are:</p> <ul style="list-style-type: none"> • FY 2015-16: SB 859 (Committee on Budget and Fiscal Review, Chapter 368, Statutes of 2016) • FY 2014-15: SB 852 (Leno, Chapter 25) • FY 2013-14: SB 862 (Committee on Budget and Fiscal Review, Chapter 36, Statutes of 2014) • FY 2011-12: SB 1018 (Committee on Budget and Fiscal Review, Chapter 39, Statutes of 2012)

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Appendix 1.B

Table 1.B-2 Summary of Requirements and Recommendations

Funding Guidelines - Volume 1		Page	Required	Recom- mended
General Questions / Overview				
Incorporating Funding Guidelines Provisions into California Climate Investments Programs				
1	All administering agencies that administer California Climate Investments programs must incorporate the provisions of these Funding Guidelines into their programs.	1-8	<input type="checkbox"/>	
Accountability for California Climate Investments				
2	Expenditure Records All administering agencies must complete an Expenditure Record and submit an Attestation Memorandum prior to the public release of final program materials (i.e., final guidelines or project solicitations) (see Appendix 1.A for guidance).	1-11	<input type="checkbox"/>	
3	Annual Reports to the Legislature All administering agencies must submit project data to CARB, including project descriptions, project location, information on timelines and budgets, GHG emission reductions, co-benefits, and project status. Administering agencies also submit program-level data, to summarize the number of projects selected for funding, the amount of funding awarded, administrative costs, public process, and other information.	1-11	<input type="checkbox"/>	
4	Accountability Tools for Administering Agencies Include accountability tools in project agreements or other legally binding documents (see Section III.F.4 for examples).	1-12		<input type="checkbox"/>
Coordination with CARB while Developing California Climate Investments Programs				
5	Coordination with CARB			
	a. Before administering agencies identify the specific project types that they will be funding, they must coordinate with CARB beginning with an initial consultation to discuss the types of projects that the agency plans to fund and confirm that GHG emission reductions can be achieved and quantified for those projects.	1-13	<input type="checkbox"/>	
	b. For new programs, the administering agency must get CARB concurrence on the Expenditure Record prior to the public release of final program materials, such as final guidelines or final solicitation materials.	1-13	<input type="checkbox"/>	
	c. For existing programs, administering agencies need to consult with CARB to discuss any new or revised requirements and determine if a new or revised quantification methodology needs to be developed.	1-13	<input type="checkbox"/>	
	d. Coordinate with CARB soon after appropriation or identification of a new project type to avoid delays in releasing an Expenditure Record or program materials.	1-13		<input type="checkbox"/>
	e. Consult with CARB to ensure guidelines and solicitation materials are consistent with Funding Guidelines and Expenditure Records.	1-14		<input type="checkbox"/>

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Appendix 1.B

Table 1.B-2 Summary of Requirements and Recommendations

Funding Guidelines - Volume 1		Page	Required	Recommended
Guiding Principles for Program Design				
Investment Principles				
6	Facilitate GHG Emission Reductions and Further the Purposes of AB 32			
	a. Make furthering the purposes of AB 32 the primary program goal.	1-27	<input type="checkbox"/>	
	b. Each project must provide real and quantifiable GHG emission reductions.	1-28	<input type="checkbox"/>	
	c. Administering agencies should focus funding on the types of projects that achieve the greatest GHG emission reductions and are needed to meet climate goals.	1-28		<input type="checkbox"/>
	d. Research, planning, job training, and program development must be directly tied to a project that results in GHG emission reductions.	1-28	<input type="checkbox"/>	
7	Target Investments in and Benefiting AB 1550 Populations Administering agencies must seek to invest in projects that are located in AB 1550 communities, benefit AB 1550 populations, and maximize benefits to disadvantaged communities, wherever possible.	1-28	<input type="checkbox"/>	
8	Maximize Economic, Public Health, and Environmental Co-benefits to the State			
	a. Investments must be consistent with the implementing legislation.	1-29	<input type="checkbox"/>	
	b. Implementing legislation includes AB 1532 which requires that to the extent feasible, funds are used to: <ul style="list-style-type: none"> • Maximize economic, environmental, and public health benefits to the State. • Foster job creation by promoting in-State GHG emission reduction projects carried out by California workers and businesses. • Complement efforts to improve air quality. • Direct investment toward the most disadvantaged communities and households in the State. • Provide opportunities for businesses, public agencies, nonprofits, and other community institutions to participate in and benefit from statewide efforts to reduce GHG emissions. • Lessen the impacts and effects of climate change on the State's communities, economy, and environment..." 	1-29		<input type="checkbox"/>

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Appendix 1.B

Table 1.B-2 Summary of Requirements and Recommendations

Funding Guidelines - Volume 1		Page	Required	Recommended
Guiding Principles for Program Design (continued)				
9	Create Jobs and Provide Job Training as a Component of Funded Projects			
	a. Provide jobs and job training as part of GHG emission reduction projects, wherever possible.	1-29		<input type="checkbox"/>
	b. Job training programs should result in credentials to support long-term, stable employment and career development.	1-29		<input type="checkbox"/>
	c. Job opportunities should support a clean energy economy and facilitate the shift towards a sustainable energy workforce.	1-29		<input type="checkbox"/>
	d. Emphasize the importance of job quality.	1-30		<input type="checkbox"/>
	e. If possible, administering agencies should leverage resources of existing State and local employment programs.	1-30		<input type="checkbox"/>
	f. Track and report the number of job recipients or job trainees, as well as information on the quality of jobs and job training outcomes for funded projects.	1-30		<input type="checkbox"/>
10	Encourage Projects that are Consistent with the State's Climate Goals			
	a. Investments should encourage projects that support California's climate change goals.	1-31		<input type="checkbox"/>
	b. Consider the State's planning principles as set forth in AB 857 to promote infill development and equity; to protect environmental and agricultural resources; and to encourage efficient development patterns.	1-33		<input type="checkbox"/>
	c. Fund projects that support sustainable community goals including projects that implement local plans which are consistent with sustainable community strategies and regional transportation plans.	1-33		<input type="checkbox"/>
	d. Fund dollars <u>cannot</u> be used to supplement the ongoing operations for an existing environmental credit project.	1-34	<input type="checkbox"/>	
11	Coordinate Investments and Leverage Funds to Maximize Benefits			
	a. Seek opportunities to coordinate investments and leverage funds where possible to provide multiple benefits and to maximize benefits.	1-34		<input type="checkbox"/>
	b. When projects receive dollars through multiple California Climate Investments programs, the assessment of benefits needs to include all Fund contributions and outcomes, in accordance with Guidance provided in Volume 3.	1-34	<input type="checkbox"/>	
	c. Coordinate with local, State, and federal funding programs to avoid duplicative efforts.	1-34		<input type="checkbox"/>
	d. Leverage private funds and other government investment.	1-34		<input type="checkbox"/>

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Appendix 1.B

Table 1.B-2 Summary of Requirements and Recommendations

Funding Guidelines - Volume 1		Page	Required	Recommended
Guiding Principles for Program Design (continued)				
12	Maximize Transparency and Provide Public Access to Program Information Administering agencies should maximize <u>transparency</u> in program implementation and GHG quantification by providing access to:			
	a. Funding opportunities, including schedules and application materials.	1-35		<input type="checkbox"/>
	b. Public outreach events.	1-35		<input type="checkbox"/>
	c. Proposed funding awards and final project selections.	1-35		<input type="checkbox"/>
	d. Points of contact and resources for program information or technical assistance.	1-35		<input type="checkbox"/>
	e. Information on project outcomes, including GHG emission reductions and co-benefits.	1-35		<input type="checkbox"/>
	f. Opportunities for continued public engagement.	1-35		<input type="checkbox"/>
13	Maximize Accountability for Expenditures from the Fund Administering agencies should maximize <u>accountability</u> by:			
	a. Before expending funds, establish internal policies and procedures that ensure efficient and timely implementation in accordance with statutory requirements. These should include procedures for monitoring and evaluating projects following project selection and ensuring the availability of a trained workforce to implement programs.	1-35		<input type="checkbox"/>
	b. Include the necessary components for program accountability in grant agreements, loans, funding awards, or disbursements.	1-35		<input type="checkbox"/>
	c. Ensure that funds spent on administration are reasonable and directly tied to the implementation of projects that achieve GHG emission reductions. Administering agencies must specify the agency's costs for administering projects, as well as the administrative or overhead costs for funding recipients, as appropriate, to provide the full accounting of administrative costs.	1-35	<input type="checkbox"/>	
14	Conduct Outreach to Help Applicants Access Funding Administering agencies should conduct or participate in outreach to help potential applicants access funding opportunities, particularly for 1550 populations.	1-36		<input type="checkbox"/>
15	Incorporating Provisions of Guiding Principles into California Climate Investments Programs Each administering agency will need to review its California Climate Investments program to determine whether it has already incorporated provisions of the investment and implementation principles into program procedures and documents (e.g., guidelines, solicitation materials).	1-36	<input type="checkbox"/>	

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Table 1.B-2 Summary of Requirements and Recommendations

Funding Guidelines - Volume 1		Page	Required	Recom- mended
Program Design and Administration				
16	Initial Consultation with CARB Administering agencies must have an initial consultation with CARB to confirm that GHG emission reductions can be achieved and quantified by the types of projects that the administering agency plans to fund.	1-37	<input type="checkbox"/>	
17	Identify Program Specific Requirements a. Administering agencies must identify all of the requirements applicable to their program(s), such as investment targets and fiscal deadlines established in budget bills (e.g., AB 1613, SB 859, SB 852, SB 862) or other legislative documents.	1-38	<input type="checkbox"/>	
	b. Administering agencies' programs also need to be consistent with their Expenditure Records, the "Cap-and-Trade Auction Proceeds Investment Plan," and any other applicable documents that are required by statute.	1-38	<input type="checkbox"/>	
18	Complete and Maintain an Expenditure Record a. All administering agencies must complete an Expenditure Record prior to expending appropriated funds. The Expenditure Record must be completed <u>prior</u> to the public release of final program materials, such as final guidelines or final project solicitations.	1-38	<input type="checkbox"/>	
	b. Administering agencies must regularly evaluate their programs to ensure consistency with statutory requirements, these Funding Guidelines, and the existing Expenditure Record.	1-38	<input type="checkbox"/>	
	c. The Expenditure Record must be updated, as needed, to accurately reflect the program design and implementation.	1-38	<input type="checkbox"/>	
19	Work with CARB on Quantification Methodologies a. Before selecting the type of projects that will be funded, administering agencies must consult with CARB on quantification methodologies.	1-38	<input type="checkbox"/>	
	b. Quantification methodologies should be referenced or included in the administering agency's draft and final guidelines or solicitation materials.	1-39		<input type="checkbox"/>
20	Establish a Website and Conduct Public Outreach a. Each administering agency should publicly identify an agency or program point of contact or liaison to provide program-specific information, including funding opportunities, program application requirements, eligibility determinations, and application / technical assistance.	1-39		<input type="checkbox"/>

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Appendix 1.B

Table 1.B-2 Summary of Requirements and Recommendations

Funding Guidelines - Volume 1		Page	Required	Recom- mended
Program Design and Administration (continued)				
	b. Administering agencies are encouraged to submit programmatic information to: CClpress@arb.ca.gov for posting on the California Climate Investments website, which maintains a calendar of upcoming agency events for all programs.	1-39		<input type="checkbox"/>
21	Establish Fiscal Procedures a. Coordinate with Finance and CARB to establish fiscal procedures for managing the administering agency's appropriation. b. For projects that leverage funds from multiple sources, administering agencies need a mechanism to track the specific expenditures from the Fund and identify the amount being spent on administrative costs. c. For funds provided to local agencies or other recipients the funding recipients will also need to track those dollars and the associated administrative costs, so they can provide this information to the administering agency.	1-40 1-40 1-40	<input type="checkbox"/> <input type="checkbox"/> <input type="checkbox"/>	
22	Develop Guidelines for Project Selection and Implementation a. Most administering agencies need to develop guidelines and / or solicitation materials to: specify eligibility standards; describe the application process; and establish other program requirements for applicants and funding recipients. b. Administering agencies may use a variety of approaches to select projects and implement programs, including but not limited to: <ul style="list-style-type: none"> • Conducting competitive solicitations to select projects that will receive funding; • Conducting competitive solicitations to choose a Program Administrator that will distribute consumer-based incentives, using a first-come, first-served approach; • Accepting applications for a non-competitive loan program; • Using an established non-competitive formula to distribute funding (e.g., allocating transportation funds to transit agencies by formula); and • Directly funding infrastructure projects (e.g., high-speed rail). 	1-40 1-41	<input type="checkbox"/> <input type="checkbox"/>	

**Draft Funding Guidelines
Volume 1: General Guidance**

Appendix 1.B

Table 1.B-2 Summary of Requirements and Recommendations

Funding Guidelines - Volume 1		Page	Required	Recommended
Program Design and Administration (continued)				
23	Establish Policies and Procedures for Project Monitoring, Accountability, and Audits			
	<ul style="list-style-type: none"> a. Administering agencies must have clear policies in place that allow for audits conducted by State oversight agencies. b. Administering agencies need procedures to monitor California Climate Investments projects and to conduct their own audits or program reviews of funding recipients, either during or after project implementation. 	1-41	<input type="checkbox"/>	
24	Ensure Coordinated Communication			
	a. Adhere to guidance on California Climate Investments logo usage, signage guidelines, and high resolution files provided in a style guide available at: www.caclimateinvestments.ca.gov/logo-graphics-request .	1-42	<input type="checkbox"/>	
	b. Include standard funding language on website(s) and in announcements, press releases, and other publications.	1-42	<input type="checkbox"/>	
	c. Publications, websites, signage, invitations, and other media-related and public-outreach products (including those developed and circulated by sub-grantees receiving Fund dollars), must recognize California Climate Investments funding.	1-42	<input type="checkbox"/>	
	d. Include the email address: CCIPress@arb.ca.gov on any distribution lists and post the @CAClimateInvestments Twitter link on websites.	1-42	<input type="checkbox"/>	
e. When administering agencies issue any press, workshop, or milestone announcements, they should always include bcc: CCIPress@arb.ca.gov so the announcement can be included on the California Climate Investments website.	1-42	<input type="checkbox"/>		
25	Transparency and Public Access to Information on Program Activities and Outcomes			
	<ul style="list-style-type: none"> a. All administering agencies must provide public access to information on California Climate Investments programs and projects. b. Each administering agency should maintain a website that includes up-to-date program information about funding opportunities (e.g., schedules, application materials, or other information that may be included in guidelines and solicitation materials such as program requirements, application procedures, GHG quantification methodologies, timelines, deliverables, and evaluation / selection criteria). 	1-43	<input type="checkbox"/>	
		1-43		<input type="checkbox"/>

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Appendix 1.B

Table 1.B-2 Summary of Requirements and Recommendations

Funding Guidelines - Volume 1	Page	Required	Recommended
Program Design and Administration (continued)			
c. Each administering agency should maintain a website that includes up-to-date program information about outreach events; events should be publicized well in advance with publicly accessible meeting materials; events should include a mechanism for public to ask questions before the event or submit comments after the event.	1-43		<input type="checkbox"/>
d. Each administering agency should maintain a website that includes up-to-date program information about proposed funding awards – prior to funding decisions. For programs that fund projects with competitive grant, loan, or contract solicitations (i.e., not “first-come, first-served” vouchers or rebates), administering agencies must post basic information about all of the applications or proposals that are submitted for consideration. Administering agencies must post this information on their program websites at least ten days before the agency makes a decision on funding awards. The minimum items that must be posted include: <u>For each project application or proposal:</u> <ul style="list-style-type: none"> • Name of applicant; • Brief description of proposed project, including location; • Amount of funding requested; and • Whether the project is expected to provide benefits to AB 1550 populations. <u>For each solicitation:</u> <ul style="list-style-type: none"> • A reference or website link to the project evaluation and selection criteria that are contained in the administering agency’s guidelines/solicitation materials. 	1-43	<input type="checkbox"/>	
e. Each administering agency should maintain a website that includes up-to-date program information about proposed funding awards – after funding decisions. Agencies also need to work with their funding recipients to obtain project locations, status updates, and other information.	1-44	<input type="checkbox"/>	
f. Each administering agency should maintain a website that includes up-to-date program information about project results, including GHG emission reductions and co-benefits. Each administering agency should post the results of California Climate Investments projects or provide a link to the California Climate Investments website for the Annual Report to the Legislature (www.caclimateinvestments.ca.gov/annual-report) and the CARB website for the online mapping tool (www.arb.ca.gov/ccimap).	1-44	<input type="checkbox"/>	

**Draft Funding Guidelines
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Appendix 1.B

Table 1.B-2 Summary of Requirements and Recommendations

Funding Guidelines - Volume 1		Page	Required	Recom- mended
Program Design and Administration (continued)				
	g. Each administering agency should maintain a website that includes up-to-date program information about opportunities for continued public engagement.	1-44	<input type="checkbox"/>	
Guidelines and Solicitation Materials				
Common Elements Administering Agencies Need to Include in Guidelines and Solicitation Materials				
26	Guidelines and solicitation materials must explain the application and selection process as follows:			
	a. State the requirement that projects must reduce GHG emissions and further the purposes of AB 32;	1-45	<input type="checkbox"/>	
	b. Describe how the administering agency will evaluate projects for potential benefits and structure their program to maximize benefits to target investments to AB 1550 populations and maximize disadvantaged community benefits;	1-45	<input type="checkbox"/>	
	c. Explain how GHG emission reductions and co-benefits must be quantified;	1-45	<input type="checkbox"/>	
	d. Describe the application process, and how projects will be evaluated and selected;	1-45	<input type="checkbox"/>	
	e. Describe administrative requirements that apply to project implementation;	1-45		
	f. Describe how the administering agency and funding recipients will track and document key project features including GHG emission reductions and co-benefits; and	1-45	<input type="checkbox"/>	
	g. Explain reporting requirements applicable to funding recipients.	1-45	<input type="checkbox"/>	
How Administering Agencies Address Common Elements in Guidelines and Solicitation Materials				
27	GHG Emission Reductions			
	a. Guidelines and solicitation materials must clearly state the requirement that all projects must reduce GHG emissions and further the purposes of AB 32 and related amendments.	1-46	<input type="checkbox"/>	
	b. The GHG emission reduction requirements must also be clearly stated:	1-46	<input type="checkbox"/>	
	<ul style="list-style-type: none"> • In program administration documents; • On the administering agency's website; and • During public outreach events. 			

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Appendix 1.B

Table 1.B-2 Summary of Requirements and Recommendations

Funding Guidelines - Volume 1		Page	Required	Recom- mended
Guidelines and Solicitation Materials (continued)				
28	<p>Meeting AB 1550 Investment Minimums</p> <p>a. Describe how the administering agency will evaluate projects for potential benefits, consistent with the criteria in Volume 2 of the Funding Guidelines.</p> <p>b. Explain how the administering agency will structure the program to maximize benefits to disadvantaged communities and invest in projects that provide direct, meaningful, and assured benefits to AB 1550 populations, if applicable.</p> <p>c. Describe any applicable targets or statutory requirements for investments in disadvantaged communities, low-income communities, and low-income households.</p> <p>d. Include the appropriate CARB criteria and 3-step approach to determine whether investments benefit AB 1550 populations.</p> <ul style="list-style-type: none"> • Copy the full criteria tables or include a reference to the criteria tables that are applicable to the program’s project types; • Copy the applicable AB 1550 maps or include a reference to the maps. <p>e. Describe efforts to address important needs in disadvantaged communities, low-income communities, or low-income households, particularly those needs identified by community residents or representatives.</p> <p>f. Clearly explain how the administering agency plans to meet program targets for investments benefiting AB 1550 populations.</p> <p>g. For programs that target investments benefiting low-income households, describe how the administering agency will determine and verify “low-income” eligibility.</p>	1-46	<input type="checkbox"/>	
		1-46	<input type="checkbox"/>	
		1-46	<input type="checkbox"/>	
		1-47	<input type="checkbox"/>	
		1-47	<input type="checkbox"/>	
		1-47	<input type="checkbox"/>	
29	<p>Quantification Methodologies</p> <p>a. In guidelines and solicitation materials, explain how GHG emission reductions and co-benefits will be quantified using CARB quantification methodologies.</p> <p>b. Explain that applicants must use the quantification methodology developed by CARB and include links to methodology documents or estimation tools.</p> <p>c. Describe how the administering agency will evaluate co-benefits during the selection process, either using a qualitative assessment or using a methodology that has been developed or approved by CARB.</p>	1-48	<input type="checkbox"/>	
		1-48	<input type="checkbox"/>	
		1-48	<input type="checkbox"/>	

**Draft Funding Guidelines
Volume 1: General Guidance**

Appendix 1.B

Table 1.B-2 Summary of Requirements and Recommendations

Funding Guidelines - Volume 1		Page	Required	Recom- mended
Guidelines and Solicitation Materials (continued)				
30	Project Selection			
	a. Describe overall program objectives, statutory requirements, and other guiding policies / plans. Also provide information on the amount of funding that is potentially available.	1-48	<input type="checkbox"/>	
	b. Describe eligibility requirements, including the need to achieve GHG emissions reductions, in sufficient detail for potential applicants to determine if their project would be eligible for funding. Specify any ineligible costs that do not qualify for funding.	1-48	<input type="checkbox"/>	
	c. Explain whether match funding or other leveraging is required, or if it will help an applicant rank higher during the project selection process. If an applicant is leveraging funds from multiple sources of Fund dollars or if the applicant is pursuing funding from multiple sources of Fund dollars, require the applicant to describe all existing or potential Fund sources in the application materials.	1-48	<input type="checkbox"/>	
	d. Describe how potential applicants can apply for funding and clearly list any application forms or other materials that applicants must submit. Describe how applicants will be notified of the results. If technical assistance is available to help applicants prepare their application materials, provide information on how applicants can access that assistance.	1-49	<input type="checkbox"/>	
	e. Specify key dates and deadlines that apply to projects under the solicitation including, but not limited to: <ul style="list-style-type: none"> • Deadline for submittal of concept proposals or full applications; • Timeframe for project evaluation and selection; • Deadlines for funding obligation or liquidation; time allowed for project implementation; and • Dates when project reports must be submitted to the administering agency. 	1-49	<input type="checkbox"/>	
	f. Define the criteria by which projects will be evaluated and selected. <ul style="list-style-type: none"> • Explain whether the administering agency will use a “first-come, first-served” approach or a competitive process. • Describe how the administering agency will handle solicitations that do not meet minimum requirements. 	1-50	<input type="checkbox"/>	

**Draft Funding Guidelines
Volume 1: General Guidance**

Appendix 1.B

Table 1.B-2 Summary of Requirements and Recommendations

Funding Guidelines - Volume 1		Page	Required	Recommended
Guidelines and Solicitation Materials (continued)				
31	Project Implementation Requirements			
	a. Describe the administrative requirements that will apply to applicants selected to receive funding. Include key milestone dates and requirements for maintaining eligibility prior to project completion, if applicable. Also, note any laws, policies, plans or other relevant documents that will guide project implementation.	1-49	<input type="checkbox"/>	
	b. Describe the review and audit procedures that administering agencies will use for oversight of funding recipients and project implementation. Explain that the State of California has the right to review project documents and conduct audits during project implementation and quantification period.	1-49	<input type="checkbox"/>	
	c. Define remedies that administering agencies may use if they determine that funding recipients have not performed in accordance with program requirements, grant agreements, or other legally binding agreements. Examples of non-performance include, but are not limited to: misuse of funding for ineligible expenses; failure to comply with program guidelines or requirements; inability to meet performance requirements or schedule milestones; and failure to comply with the terms and conditions identified in legal agreements.	1-49	<input type="checkbox"/>	
32	Project Tracking and Metrics			
	a. Describe how the administering agency and funding recipients will track and document GHG emission reductions, co-benefits, and other information by including the items listed below:	1-50	<input type="checkbox"/>	
	<ul style="list-style-type: none"> • List the metrics that will be tracked or state that the administering agency / funding recipient will track metrics in accordance with CARB's Funding Guidelines. • Describe who will be responsible for tracking metrics, how often metrics will be tracked (e.g., quarterly), how long metrics will be tracked (e.g., over the quantification period), and the retention period for records after tracking ends. 	1-50	<input type="checkbox"/>	
		1-50	<input type="checkbox"/>	
33	Reporting Explain the reporting requirements that will be applicable to funding recipients.	1-50	<input type="checkbox"/>	



VOLUME 2

INVESTMENTS TO BENEFIT AB 1550 POPULATIONS



California Environmental Protection Agency

 **Air Resources Board**

Draft for Public Comment

Release Date: August 4, 2017

Comments Due: September 15, 2017

Cap-and-Trade Auction Proceeds

Funding Guidelines for Agencies that Administer California Climate Investments

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Draft Funding Guidelines
Volume 2: Investments to Benefit AB 1550 Populations

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Draft Funding Guidelines
Volume 2: Investments to Benefit AB 1550 Populations

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Draft Funding Guidelines
Volume 2: Investments to Benefit AB 1550 Populations

I. Summary of Major Changes

In 2015, the California Air Resources Board (CARB or Board) released a Funding Guidelines document followed by a Supplement document in 2016 to provide direction for agencies that administer California Climate Investments funded by appropriations from the Greenhouse Gas Reduction Fund.¹ These draft Funding Guidelines contain proposed revisions for both the 2015 Funding Guidelines and the 2016 Supplement. After a public hearing in 2017, CARB will release an updated version of the Funding Guidelines.

Table 2-1 Summary of Proposed Major Changes in Volume 2

#	Proposed Change	Reference in Volume 2
1.	Updated guidance to reflect Assembly Bill (AB) 1550 ² requirements for investments located within and benefiting disadvantaged communities, low-income communities, and low-income households	Throughout Volume 2
2.	Revised identification of disadvantaged communities, low-income communities, and low-income households	Chapter IV
3.	Updated guidance for administering agencies to target funding to benefit AB 1550 populations, and maximize benefits to disadvantaged communities per Senate Bill (SB) 535 ³	Chapter V
4.	Updated criteria tables, by project type, for evaluating benefits to AB 1550 populations	Appendix 2.A

CARB is seeking input on these Funding Guidelines. **New sections and significant revisions are highlighted in yellow.** Please electronically submit any written comments on this draft document by September 15, 2017 to:

www.arb.ca.gov/lispub/comm2/bcsubform.php?listname=draftguidelines-ws&comm_period=1.

¹ California Air Resources Board, “Cap-and-Trade Auction Proceeds, Funding Guidelines for Agencies that Administer California Climate Investments,” release date December 21, 2015; and “Cap-and-Trade Auction Proceeds, Funding Guidelines Supplement for FY 2016-17 Funds,” release date December 30, 2016, are both available at: www.arb.ca.gov/ci-fundingguidelines.

² AB 1550, Gomez, Chapter 369, Statutes of 2016; amending Health and Safety Code Section 39713.

³ SB 535, De León, Chapter 830, Statutes of 2012, codified with AB 1532 in Health and Safety Code Sections 39711-39723.

Draft Funding Guidelines
Volume 2: Investments to Benefit AB 1550 Populations

II. Purpose

The availability of Cap-and-Trade auction proceeds provides a unique opportunity to make investments that both further the purposes of AB 32⁴ and related amendments⁵, and yield significant benefits for disadvantaged communities, low-income communities, and low-income households. The purpose of Volume 2 of the Funding Guidelines is to provide guidance to agencies that administer California Climate Investments funded by appropriations from the Greenhouse Gas Reduction Fund (GGRF or Fund) on statutory requirements, including requirements to benefit AB 1550 populations,⁶ and to maximize benefits to disadvantaged communities pursuant to existing statute established by SB 535. These updated Funding Guidelines become effective on August 4, 2017. In general, the updated provisions apply to all programs funded with FY 2013-14 and later appropriations. However, some updated requirements may not apply in cases where it is not feasible to follow the new provisions (e.g., when administering agencies have selected projects, executed grant agreements or contracts, or publicly released program guidelines prior to the release of these Funding Guidelines that limit their ability to incorporate updated requirements). CARB staff will work with administering agencies to address situations where agencies find that incorporating new requirements is infeasible.

This is Volume 2 of CARB's Funding Guidelines for Agencies that Administer California Climate Investments. The full Funding Guidelines include:

- Volume 1: General Guidance
- Volume 2: Investments to Benefit AB 1550 Populations
- Volume 3: Reporting Requirements

Updates to Volume 2 replace the existing guidance on disadvantaged community benefits with the new statutory requirements of AB 1550, and also include other revisions related to evaluating the benefits of the investments based on lessons learned during earlier years of implementation.

⁴ AB 32, Nuñez, Chapter 488, Statutes of 2006, added Health and Safety Code Division 25.5, Sections 38500-38599.

⁵ The term "AB 32 and related amendments" refers to AB 32, SB 32, AB 197, and any other bills that amend this Act. (Chapter 488, Statutes of 2006; Chapter 249, Statutes of 2016; and Chapter 250, Statutes of 2016; all are codified under Health and Safety Code, Division 25.5, Sections 38500-38599).

⁶ AB 1550 populations include residents of: (1) census tracts identified as disadvantaged by the California Environmental Protection Agency (CalEPA), (2) census tracts identified as low-income per AB 1550, or (3) a low-income household per AB 1550. For identification of disadvantaged communities and low-income communities, refer to: www.calepa.ca.gov/EnvJustice/GHGInvest. A "look-up" tool and a list of income thresholds designated as "low-income" by the Department of Housing and Community Development's State Income Limits are available at: www.arb.ca.gov/auctionproceeds.

Draft Funding Guidelines
Volume 2: Investments to Benefit AB 1550 Populations

Purpose

Specifically, Volume 2 provides guidance on:

- Statutory requirements for investments within and benefiting disadvantaged communities, low-income communities, and low-income households;
- Approaches and criteria to evaluate investments and achieve AB 1550 investment minimums;
- Guidance on approaches that administering agencies can use to maximize the benefits of investments to disadvantaged communities per SB 535; and
- Guidance to administering agencies on outreach and engagement to improve funding accessibility and maximize participation by, and benefits to, AB 1550 populations.

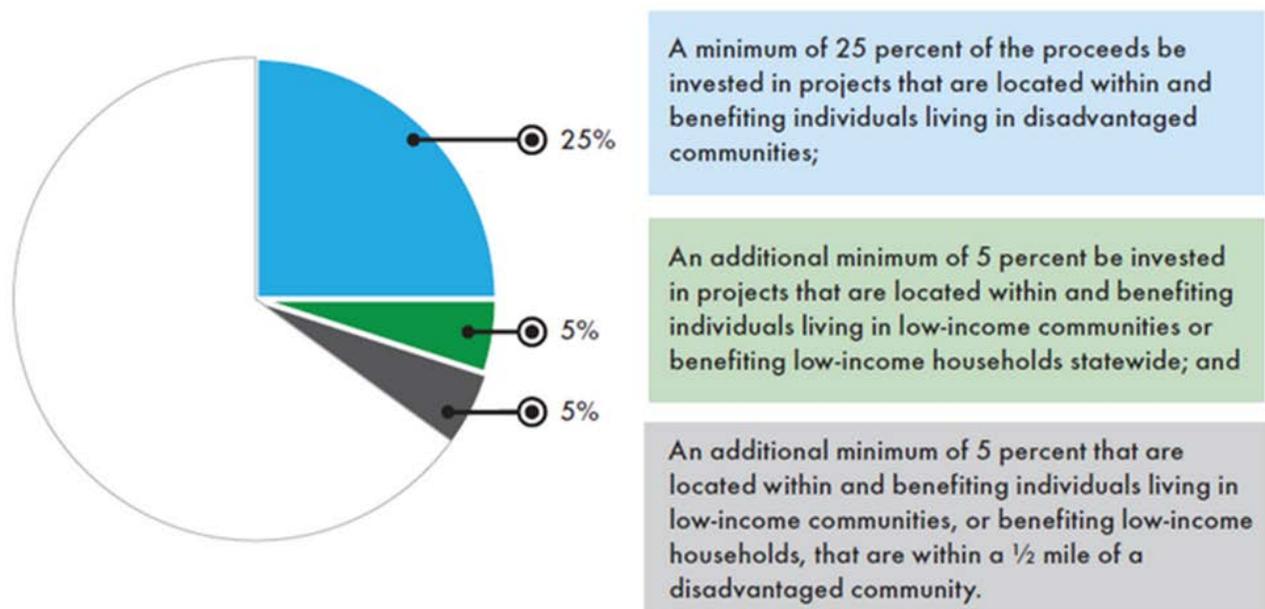
Throughout Volume 2, the term “AB 1550 populations” is used to collectively refer to the three groups defined by AB 1550: disadvantaged communities, low-income communities, and low-income households. The term “AB 1550 communities” is used to collectively refer to disadvantaged communities and low-income communities.

III. Background

SB 535 added statutory requirements for Fund appropriations to benefit disadvantaged communities. SB 535 directs the Secretary for Environmental Protection at the California Environmental Protection Agency (CalEPA) to identify disadvantaged communities, requires CARB to provide administering agencies guidance on maximizing benefits to disadvantaged communities, and specifies investment minimums for disadvantaged communities. Based on these requirements, CARB released an interim guidance document focused on benefits to disadvantaged communities in 2014,⁷ followed by the 2015 Funding Guidelines, and the 2016 Funding Guidelines Supplement.

AB 1550 amends the existing SB 535 disadvantaged community investment minimums, and requires new investment minimums for low-income communities and low-income households (Figure 2-1). Other provisions of SB 535, such as the requirement for CARB to include guidelines for how administering agencies should maximize benefits for disadvantaged communities, remained unchanged. AB 1550 investment minimums apply to the overall appropriations from the GGRF, not the individual agency appropriations.

Figure 2-1 AB 1550 Investment Minimums



⁷ California Air Resources Board, “Cap-and-Trade Auction Proceeds, Interim Guidance to Agencies Administering Greenhouse Gas Reduction Fund Monies: Investments to Benefit Disadvantaged Communities,” November 3, 2014.

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Volume 2: Investments to Benefit AB 1550 Populations

Background

The AB 1550 statutory text regarding requirements for allocating funds to benefit residents of disadvantaged communities, low-income communities, and low-income households reads:

39713. (a) The investment plan developed and submitted to the Legislature pursuant to Section 39716 shall allocate a minimum of 25 percent of the available moneys in the fund to projects located within the boundaries of, and benefiting individuals living in, communities described in Section 39711.

(b) The investment plan shall allocate a minimum of 5 percent of the available moneys in the fund to projects that benefit low-income households or to projects located within the boundaries of, and benefiting individuals living in, low-income communities located anywhere in the state.

(c) The investment plan shall allocate a minimum of 5 percent of the available moneys in the fund either to projects that benefit low-income households that are outside of, but within a 1/2 mile of, communities described in Section 39711, or to projects located within the boundaries of, and benefiting individuals living in, low-income communities that are outside of, but within a 1/2 mile of, communities described in Section 39711.

(d) For purposes of this subdivision, the following definitions shall apply:

(1) "Low-income households" are those with household incomes at or below 80 percent of the statewide median income or with 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.

(2) "Low-income communities" are census tracts with median household incomes at or below 80 percent 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.

(e) Moneys allocated pursuant to one subdivision of this section shall not count toward the minimum requirements of any other subdivision of this section.

Only the subset of investments in projects that meet the criteria in this Volume will be credited toward achieving the statutory investment minimums identified in AB 1550 for disadvantaged communities, low-income communities, and low-income households. However, administering agencies can use their Fund appropriations to fund projects that

Draft Funding Guidelines Volume 2: Investments to Benefit AB 1550 Populations

Background

otherwise meet the statutory requirements for investments, but do not meet the criteria in this Volume.

For the purpose of tracking and determining progress in complying with AB 1550, the investment minimum requirements in AB 1550 apply to the overall appropriation from the GGRF, rather than to each individual agency appropriation. However, to meet the overall AB 1550 investment minimums, each agency will need to target investments to AB 1550 populations that meet the program targets discussed in Section V.C.⁸

Administering agencies must incorporate this guidance and the other provisions in the Funding Guidelines, when designing their programs, developing guidelines and solicitation materials, and selecting and implementing projects.

Administering agencies will track which project investments benefit each of the AB 1550 populations in accordance with requirements in this Volume, and report this information to CARB periodically in accordance with requirements in Volume 3 of these Funding Guidelines. CARB, in turn, compiles the data from all agencies to report on compliance with AB 1550 investment minimums.

As the State Budget adds appropriations for new programs and administering agencies expand the scope of project types, CARB will develop supplemental tables with the criteria to determine benefits to AB 1550 populations for those new project types. Draft versions of the supplemental tables will be posted on CARB's California Climate Investments website (www.arb.ca.gov/auctionproceeds) for public comment, and then staff will finalize and post them for use by administering agencies. The supplemental tables will be included in future updates to these Funding Guidelines.

Volume 2 provides guidance to administering agencies on identifying benefits of the climate investments programs for meeting SB 535 requirements and AB 1550 investment minimums. CARB is in the process of developing metrics for quantifying the array of potential co-benefits of California Climate Investments, and will provide guidance for administering agencies on quantifying co-benefits as methodologies become available. For additional information on co-benefits quantification, see Volume 1, Section IV.F of these Funding Guidelines.

⁸ AB 1550 program targets for each fiscal year will be determined and published after additional detail on that fiscal year budget becomes available.

IV. Identification of AB 1550 Populations: Disadvantaged Communities, Low-income Communities, and Low-income Households

IV.A. Identification of Disadvantaged Communities

State law directs the Secretary for Environmental Protection at CalEPA to identify “disadvantaged communities.” Identification must be based on geographic, socioeconomic, public health, and environmental hazard criteria.⁹ The criteria may include, but are not limited to:

- Areas disproportionately affected by environmental pollution and other hazards that can lead to negative public health effects, exposure, or environmental degradation.
- Areas with concentrations of people that are of low income, high unemployment, low levels of homeownership, high rent burden, sensitive populations, or low levels of educational attainment.

To meet the statutory mandate, CalEPA uses a tool called CalEnviroScreen to help identify disadvantaged communities for the purpose of AB 1550 investments. The Office of Environmental Health Hazard Assessment (OEHHA) developed this screening tool under CalEPA’s guidance to assess areas that are disproportionately affected by multiple types of pollution and areas with vulnerable populations.

CalEnviroScreen includes numerous indicators in two broad categories: “Pollution Burden,” which includes exposures and environmental effects; and “Population Characteristics,” which includes sensitive populations and socioeconomic factors. The indicator scores were combined for each census tract to determine an overall CalEnviroScreen score. The higher the score, the greater the impact.

In January 2017, OEHHA released CalEnviroScreen version 3.0 based on 20 indicators that were evaluated at the census tract scale. In April 2017, using CalEnviroScreen 3.0, CalEPA identified the list of disadvantaged community census tracts for the purpose of AB 1550 investments. The identified disadvantaged communities represent the most impacted 25 percent of census tracts (1,984 census tracts) in the State, plus an additional 22 census tracts that score in the highest 5 percent of CalEnviroScreen’s Pollution Burden, but do not have an overall CalEnviroScreen score because of unreliable socioeconomic or health data.

Please note that CalEnviroScreen is a screening tool that informs the identification of disadvantaged communities based on currently available data. As community

⁹ Statutes of 2012, codified with AB 1532 in Health and Safety Code Section 39711.

Draft Funding Guidelines Volume 2: Investments to Benefit AB 1550 Populations

Identification of AB 1550 Populations

characteristics change over time and the tool is updated, CalEPA will periodically review and update its designation of disadvantaged communities.

IV.B. Identification of Low-income Communities

AB 1550 defines “low-income communities” as those census tracts with: 1) median household incomes at or below 80 percent of the statewide median income, or 2) median household incomes at or below the threshold designated as low-income by Department of Housing and Community Development’s State Income Limits (HCD State Income Limits).¹⁰ CalEPA identified census tracts that satisfy either of these definitions as “low-income” for the purpose of AB 1550 investments.

To identify the low-income census tracts using the statewide median household income, the median household income of each census tract was determined from the 2011-2015 American Community Survey (ACS) and compared against the statewide median household income determined by the same survey, which was \$61,818.¹¹ Any census tract with a median household income at or below 80 percent of \$61,818 (i.e., \$49,454) was identified as low-income.

Additional census tracts were identified based on the threshold designated as low-income by HCD State Income Limits.¹² The HCD State Income Limits vary by household size for each county and provide income thresholds for “Extremely Low,” “Very Low,” “Low,” “Median,” and “Moderate” income categories. AB 1550 refers to the “Low” income thresholds within this dataset.

The county-level “low-income” limit from the HCD dataset was used to define “low-income” at the census tract level using the average household size (rounding to the nearest whole number) for each census tract, using the data from the 2011-2015 ACS. The average household size of each census tract was then used to determine the appropriate “low-income” limit from HCD’s State Income Limits table for the appropriate county. The median household income for each census tract was also determined from the ACS which was then compared to the appropriate HCD low-income limit. If the median household income for a given census tract was equal to or less than the appropriate HCD low-income limit, then the census tract was defined as “low-income” for the purposes of AB 1550. For example, in Sacramento County, any census tract with an average household size of two, and a median income less than \$48,750, is designated as low-income, while for census tracts with an average household size of three the low-income threshold becomes \$54,840.

¹⁰ HCD State Income Limits, adopted pursuant to the Health and Safety Code Section 50093.

¹¹ US Census Bureau, American Community Survey 2015 5-year Estimates (2011-2015).

¹² California Department of Housing and Community Development. “State and Federal Income, Rent, and Loan/Value Limits: Official State Income Limits for 2016.” www.hcd.ca.gov/grants-funding/income-limits/state-and-federal-income-limits.shtml.

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Identification of AB 1550 Populations

IV.C. Identification of Low-income Households

AB 1550 defines “low-income households” as those with: 1) a household income at or below 80 percent of the statewide median income, or 2) a household income at or below the threshold designated as low-income by HCD State Income Limits. The low-income household definition applies to individual households and therefore it is not mapped.

For programs that target investments to benefit low-income households for the purpose of meeting AB 1550 investment minimums, administering agencies will need to determine an approach to assess and verify that households meet the AB 1550 definition of low-income. Examples include:

- Relying on other public assistance programs that pre-qualify applicants (e.g., CalFresh/Supplemental Nutritional Assistance Program, Supplemental Security Income, Temporary Assistance for Needy Families, School Free or Reduced Lunch programs, Medi-Cal), if those programs use an income level consistent with the low-income household definitions in AB 1550;
- Having applicants self-certify that they meet the low-income household definition and the agency verifies a random sample to check income levels; or
- Requiring all applicants to submit income verification.

IV.D. Applicability and Updates of Definitions and Designations

All California Climate Investments projects selected in FY 2017-18 must use CalEPA’s designations for disadvantaged communities based on CalEnviroScreen 3.0 (dated April, 2017), and identification maps and lists of low-income communities and low-income households based on AB 1550 definitions.

For effective administration of California Climate Investments programs, the AB 1550 designations will remain with a given project from the time of selection through implementation, regardless of when the funds are actually expended. As CalEPA updates the list of census tracts identified as disadvantaged communities over time, the low-income communities and the income thresholds for the identification of low-income households will also be updated.¹³ Upon update, CARB will provide guidance on when the revised list of identified disadvantaged communities, low-income communities, and low-income households will apply to future project selections.

¹³ While the two definitions of “low-income” are defined by statute and not subject to change, statewide median household income and county-specific HCD low-income limits will change over time. Hence any update to the identification of low-income communities or households will not be a revision of the low-income definition, but an update with respect to which reference year(s) are used in the identification of low-income communities and households for the purposes of California Climate Investments programs.

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IV.E. Resources for Identifying AB 1550 Populations

Disadvantaged Communities Identification: Information on the identification of disadvantaged communities for the purpose of California Climate Investments is available at: www.calepa.ca.gov/EnvJustice/GHGInvest, including an interactive mapping tool that shows census tract locations and the associated rankings for each indicator. Information on CalEnviroScreen is available at: www.oehha.ca.gov/calenviroscreen.

Disadvantaged Community and Low-income Community Maps: Interactive maps on disadvantaged communities and low-income communities are available at: www.calepa.ca.gov/EnvJustice/GHGInvest and www.arb.ca.gov/auctionproceeds.

Low-income Households: A “look-up” tool and a list of HCD’s “low-income” thresholds by county and household size are available at: www.arb.ca.gov/auctionproceeds.

V. Approach to Evaluate Investments and Meet AB 1550 Investment Minimums

V.A. General Approach

This chapter provides guidance on the approach administering agencies will use to evaluate how investments may be counted toward overall AB 1550 investment minimums, discusses agency program targets for AB 1550 investments, and acknowledges other statutory investment targets that apply to specific administering agencies. It also provides requirements and recommendations related to program design and project selection for meeting and exceeding the AB 1550 investment minimums and maximizing benefits to disadvantaged communities.

To help administering agencies determine which investments can be counted toward the AB 1550 investment minimums, criteria tables for each project type are provided in Appendix 2.A. The evaluation criteria in each table are objective and consistent across programs and project types. To determine which potential projects qualify as providing benefits to AB 1550 populations, a standard was applied that such benefits must be “direct, meaningful, and assured.” Agencies must use the criteria tables in Appendix 2.A to demonstrate meeting the standard of direct, meaningful, and assured benefits.

V.B. AB 1550 Investment Minimums

AB 1550 requires that all projects counting toward AB 1550 investment minimums be both located within an AB 1550 community and benefit individuals living within that community, or directly benefit residents of low-income households anywhere in the State. These Funding Guidelines establish a three-step process to determine whether a specific project qualifies to be counted toward the AB 1550 investment minimums. To qualify, a project must meet all of the following:

Step 1: Determine Project Eligibility for AB 1550 Populations. Be located within a census tract identified as a disadvantaged community or low-income community, or directly benefit residents of a low-income household;

Step 2: Ensure Meaningful Community Need. Meaningfully address an important community or household need for the AB 1550 community or household; and

Step 3: Identify Project Benefits to AB 1550 Population. Identify at least one direct, meaningful, and assured benefit that the project provides to residents of an AB 1550 community or a low-income household.

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V.C. AB 1550 Program Targets

Because the AB 1550 investment minimums apply to the overall Fund appropriations, individual investment targets for each agency program (program targets) will be established to help ensure the overall AB 1550 investment minimums are met. Although no program targets are available at this time, program targets will be determined after additional detail on the FY 2017-18 budget becomes available.

V.D. Other Statutory Investment Targets

In addition to AB 1550 investment minimums, some programs have statutory investment targets for disadvantaged communities required by SB 862¹⁴ and SB 859.¹⁵ Investments that are eligible to be counted toward AB 1550 investment minimums for within and benefiting disadvantaged communities would also count toward meeting the SB 862 and SB 859 program specific investment requirements outlined below. Programs with statutory percentages for benefiting disadvantaged communities include:

- **Transit and Intercity Rail Capital Program:** Allocate at least 25 percent of available funding to benefit disadvantaged communities.
- **Affordable Housing and Sustainable Communities Program:** Allocate at least 50 percent of program expenditure to benefit disadvantaged communities.
- **Low Carbon Transit Operations Program:** This program uses an established formula for distribution of funds to transit operators. 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.
- **Urban Greening Grant Program:** SB 859 provides two definitions of disadvantaged communities for this program including those identified pursuant to Health and Safety Code Section 39711. It requires the program to allocate at least 75 percent of the moneys available to projects that are located in, and provide benefits to, disadvantaged communities. However, only projects that meet the criteria in these Funding Guidelines and provide benefits to disadvantaged communities as identified by Health and Safety Code Section 39711 will count toward the AB 1550 investment minimums.

¹⁴ SB 862, Senate Budget and Fiscal Review Committee, Chapter 36, Statutes of 2014.

¹⁵ SB 859, Secretary of State, Chapter 368, Statutes of 2016.

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V.E. Requirements to Target Funding to Benefit AB 1550 Populations and Maximize Benefits to Disadvantaged Communities

This section includes requirements that apply to all administering agencies to target investments to benefit AB 1550 populations and maximize benefits to disadvantaged communities per SB 535 requirements. This is followed by additional requirements that apply to administering agencies with program targets for benefiting any of the AB 1550 populations, as described in V.C.

V.E.1. Requirements for all administering agencies

Targeting investments to benefit AB 1550 populations:

- a) Assess program structure for potential opportunities to target investments to benefit AB 1550 populations (e.g. set-asides, scoring criteria for competitive solicitations).
- b) Evaluate projects for potential benefits to AB 1550 populations, using the criteria contained in Appendix 2.A.
- c) Target funding, to the extent feasible, for projects that are located within and benefit residents of AB 1550 communities and low-income households.

Maximizing benefits to disadvantaged communities per SB 535:

- d) When selecting projects for a given investment, give priority to those that maximize benefits to disadvantaged communities (e.g., use scoring criteria that favors projects which provide multiple benefits or the most significant benefits, as defined by the administering agency) and provide clarity in how that priority is given.
- e) Provide **direct outreach** to groups of potential project applicants in disadvantaged communities to increase awareness of funding opportunities and the ability of disadvantaged community applicants to seek funding **and benefit from** projects.
 - Conduct outreach in or near disadvantaged communities to **seek input on important community needs from local residents and community-based organizations**.
 - To balance outreach needs with administering agency resources and capacity, each agency should define a subset of locations that offer reasonable access to participants from the disadvantaged communities likely **to benefit from** projects.
 - See Section V.F for other examples of recommended outreach efforts.
- f) **Publicly identify an agency or program point of contact or liaison to provide program-specific information, including funding opportunities, program**

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application requirements, eligibility determinations, and application or technical assistance. The program point of contact or liaison should:

- Provide general outreach and identify opportunities for technical assistance related to their California Climate Investments programs, based on the level of resources available.
- Participate in the inter-agency California Climate Investments Outreach Work Group to engage community-based and environmental justice organizations in disadvantaged communities to strengthen partnerships between administering agencies and local organizations, and expand disadvantaged community access to California Climate Investments programs.
- Coordinate with the Strategic Growth Council on California Climate Investments Outreach & Technical Assistance Program (for as long as funds are available for this program) to identify the nature and scope of technical assistance needs for each program and increase competitiveness of applications from disadvantaged community applicants.
- Coordinate with CARB on California Climate Investments disadvantaged communities outreach activities to increase program awareness, build partnerships, and promote effective engagement and successful participation of disadvantaged communities in the program. CARB has hired a contractor to conduct outreach to disadvantaged communities and facilitate communication between the public and administering agencies.

V.E.2. Requirements for administering agencies targeting AB 1550 populations

- a) Create or modify program guidelines or procedures to meet or exceed AB 1550 program targets.
- b) For administering agencies with additional specific statutory investment targets for disadvantaged community benefits per SB 862 or SB 859 (see Section V.D), ensure the program can meet or exceed both the statutory requirements and AB 1550 program targets.
- c) Design programs and select projects that avoid substantial burdens, including physical or economic displacement of AB 1550 populations or businesses in AB 1550 communities, as well as increased exposure to toxics or other health risks.
- d) Implement outreach efforts that seek to directly engage and involve local community residents and community-based organizations in AB 1550 communities. These actions should begin in the early stages (e.g., during

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development of guidelines and solicitation materials). See Section V.F for other examples of related outreach.

- e) Assess how projects benefiting AB 1550 populations meet a community or household need, as described in Step 2 of the criteria tables in Appendix 2.A.
- To determine community or household needs, CARB recommends that administering agencies and/or applicants directly engage local residents and community-based groups to identify an important need for that community along with steps to meaningfully address that need.
 - Applicants can also use a variety of approaches, including hosting community meetings, workshops, or outreach efforts to get input on important community needs and documenting how the input will be considered in project design or selection; looking at individual factors in CalEnviroScreen that most impact an AB 1550 community; receiving documentation of broad support for a proposed project from local community-based groups and residents; or referring to the list of common needs in Table 2-2 and selecting a need that has documented broad support from local community-based organizations and residents. These approaches should have appropriate documentation reflecting the breadth and meaningfulness of these community needs.
- f) Implement a process to determine AB 1550 benefits that are a direct result of GGRF funding.
- g) Identify an approach to track and report on the benefits of each investment that will be counted toward meeting program targets and AB 1550 investment minimums (e.g., use CARB's benefits criteria tables in Appendix 2.A, use CARB's co-benefit quantification methodologies to determine estimated benefits from funded projects). See Volume 3 for guidance on reporting requirements.
- h) For competitive programs, require applicants to provide a clear description of the expected benefits and include proposed metrics for tracking and reporting on those benefits.

Table 2-2 lists some common needs of disadvantaged communities, as identified by community advocates in discussions with CARB staff and during a day-long workshop convened in Spring 2014 by the University of California Los Angeles Luskin Center for Innovation. In addition, Table 2-2 includes several new examples of common needs based on recent input CARB has received from community advocates in other contexts after the Spring 2014 workshop. At community meetings held in Fresno, Los Angeles, and Oakland as well as by webinar in February 2017, most community advocates expressed that the needs of low-income communities and low-income households are not inherently different than the needs of disadvantaged communities. Most disadvantaged communities are also low-income; likewise, low-income communities also face significant environmental and/or other socio-economic burdens. Table 2-2 is

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not intended to reflect a definitive list of all potential priority needs of AB 1550 communities and low-income households. Rather, it is provided for illustrative purposes to help administering agencies assess whether a project might address common needs and offer specific benefits to AB 1550 populations.

**Table 2-2 Examples of Common Needs of AB 1550 Populations
(as identified by community advocates)**

Public Health and Safety
<ol style="list-style-type: none"> 1. Reduce health harms (e.g., asthma) suffered disproportionately by AB 1550 populations due to air pollutants. 2. Reduce health harms (e.g., obesity) suffered disproportionately by AB 1550 populations due to the built environment (e.g., by providing active transportation opportunities, parks). 3. Increase community safety. 4. Reduce heat-related illnesses and increase thermal comfort (e.g., weatherization and solar energy can provide more efficient and affordable air-conditioning; urban forestry can reduce heat-island effect). 5. Increase access to parks, greenways, open space, and other community assets.
Socio-economic
<ol style="list-style-type: none"> 1. Create quality jobs and increase family income (e.g., targeted hiring for living-wage jobs that provide access to health insurance and retirement benefits with long-term job retention, using project labor agreements with targeted hire commitments, community benefit agreements, community workforce agreements, partnerships with community-based workforce development and job training entities, State-certified community conservation corps). 2. Increase job readiness and career opportunities (e.g., workforce development programs, on-the-job training, industry-recognized certifications). 3. Revitalize local economies (e.g., increased use of local businesses) and support California-based small businesses. 4. Reduce housing costs (e.g., affordable housing). 5. Reduce transportation costs (e.g., free or reduced cost transit passes) and improve access to public transportation (e.g., new services in under-served communities). 6. Reduce energy costs for residents (e.g., weatherization, solar). 7. Improve transit service levels and reliability on systems/routes that have high use by disadvantaged and/or low-income community residents or low-income riders. 8. Bring jobs and housing closer together (e.g., affordable housing in transit-oriented development and in healthy, high-opportunity neighborhoods).

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Table 2-2 Examples of Common Needs of AB 1550 Populations
(continued)

Socio-economic (continued)
9. Preserve community stability and maintain housing affordability for low-income households (e.g., prioritize projects in jurisdictions with anti-displacement policies).
10. Provide educational and community capacity building opportunities through community engagement and leadership.
Environmental
11. Reduce exposure to local environmental contaminants, such as toxic air contaminants, criteria air pollutants, and drinking water contaminants (e.g., provide a buffer between bike/walk paths and corridors with high levels of transportation-related air pollution).
12. Prioritize zero-emission vehicle projects for areas with high diesel air pollution, especially around schools or other sensitive populations with near-roadway exposure.
13. Reduce exposure to pesticides in communities near agricultural operations.
14. Greening communities through restoring local ecosystems and planting of native species, improving aesthetics of the landscape, and/or increasing public access for recreation.

V.F. Recommendations for Targeting Investments to Benefit AB 1550 Populations

This section contains recommendations for all administering agencies in targeting investments to benefit all AB 1550 populations. These recommendations provide additional guidance to administering agencies in designing and implementing their programs to target funding to all AB 1550 populations. These recommendations may not be applicable to all programs, and are intended to provide a number of possible strategies that administering agencies could use to design their programs in ways that help maximize benefits to AB 1550 populations.

V.F.1. Program Design

- a) Set aside a percentage of funding or a dollar amount that will be used only for projects that provide benefits to AB 1550 populations, consistent with the criteria in Appendix 2.A. If suitable for a given program, different set asides could be made for each of the AB 1550 populations.
- b) To the maximum extent feasible, administering agencies should seek opportunities to work together to provide multiple benefits to AB 1550 populations. Multiple agencies could coordinate and leverage their resources to

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combine California Climate Investments funding for a project or to fund multiple related projects in a particular area. This coordination may involve sharing information with applicants about other California Climate Investments programs that offer funding for complementary projects. Potential funding recipients could then submit applications to multiple California Climate Investments programs. For example, there may be funding opportunities that combine transit improvement projects with other projects in the same neighborhood (e.g., zero-emission buses, transit-oriented affordable housing, urban forestry, active transportation).

- c) Offer higher incentive amounts for projects providing benefits to AB 1550 populations, consistent with the criteria in Appendix 2.A.

V.F.2. Competitive Solicitations

- a) Hold competitive solicitations that prioritize or award extra points to projects that meet the criteria in Appendix 2.A and include additional elements to help maximize benefits to AB 1550 populations. Types of projects might include:
- Projects that meaningfully address an important need in an AB 1550 community. Applicants should describe the link between the needs of the community and the benefits that their project will provide to that community, consistent with the criteria in Appendix 2.A.
 - Projects that address multiple common needs as listed in Table 2-2. Applicants should qualitatively describe the benefits associated with the addressed needs.
 - Projects that meet multiple Step 3 benefits criteria on the tables in Appendix 2.A. Applicants should describe how the project will meet all of the criteria from Appendix 2.A.
 - Projects located in a jurisdiction with policies or programs designed to prevent physical or economic displacement of low-income residents and businesses.
- b) When developing eligibility requirements in program guidelines and solicitation materials, establish targets or minimum thresholds for a specific benefit. For example, an agency could identify a certain percentage of total jobs for a project to be held by residents of AB 1550 populations in order to receive a higher priority for funding.

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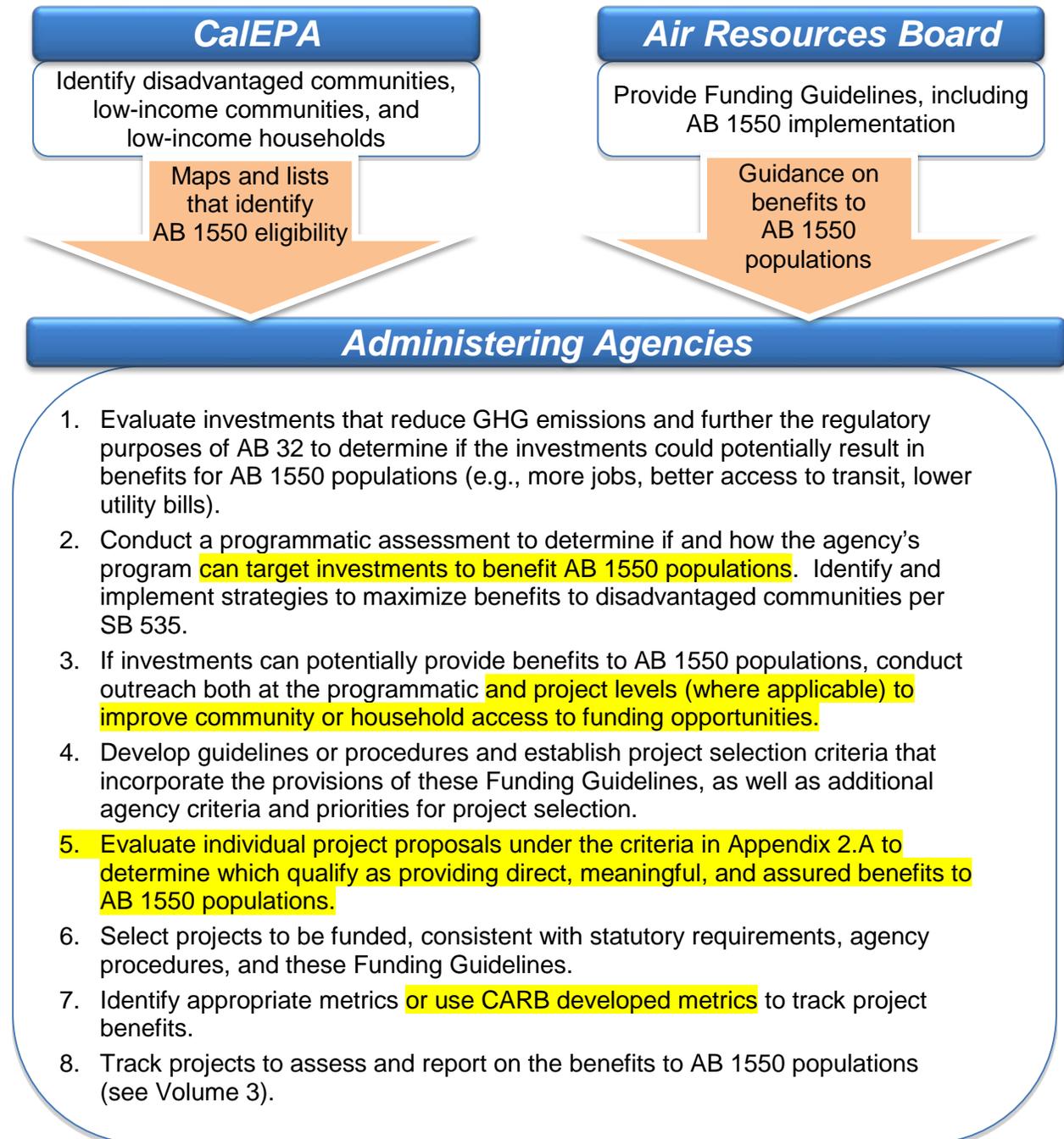
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V.F.3. Outreach

- a) Publicly designate staff for program outreach and partnership development with and between community groups.
- b) Make program staff available to respond to questions from interested project applicants in an AB 1550 community, including questions related to program access, application/technical assistance, and eligibility determinations. CARB will be providing coordinated California Climate Investments program-wide awareness outreach, and directing interested parties to various administering agencies for program specific assistance. Administering agencies could provide program-specific assistance for applicants in those communities, or partner with a third-party entity that can provide technical assistance to potential applicants, especially for competitive funding programs where the agency evaluators must review applications objectively.
- c) Use a variety of outreach efforts to reach a broader audience, such as: public workshops, community meetings, list serves, social media, or host regular workgroups or focus-group meetings with community organizations.
- d) Conduct outreach that improves accessibility for community members. Approaches may include:
 - Coordinating with community leaders and grassroots community-based organizations to determine the appropriate place and time for meetings;
 - Hosting events in places where communities normally gather (e.g., schools, community centers);
 - Hosting meetings during evenings or other times that are convenient to community members;
 - Hosting meetings in locations easily accessible by public transportation;
 - Providing materials in other languages or interpretation services; and/or
 - Designating a staff member who can serve as a primary contact for answering questions or attending meetings in AB 1550 communities.

VI. Summary of AB 1550 Implementation Process

Figure 2-2 Process for AB 1550 Implementation



APPENDIX 2.A

Criteria for Evaluating Benefits to AB 1550 Populations

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Appendix 2.A

I. Introduction

This Appendix contains criteria that administering agencies will use to evaluate whether a project benefits AB 1550 populations and is eligible to be counted toward AB 1550 investment minimums. While all California Climate Investments projects must further the purposes of AB 32 and reduce GHG emissions, this section of the document is focused on the broader benefits that may be realized for AB 1550 populations. Due to the wide variety of administering agencies and programs, there are numerous methods that administering agencies might use to conclude that a particular project benefits residents of an AB 1550 community or a low-income household.

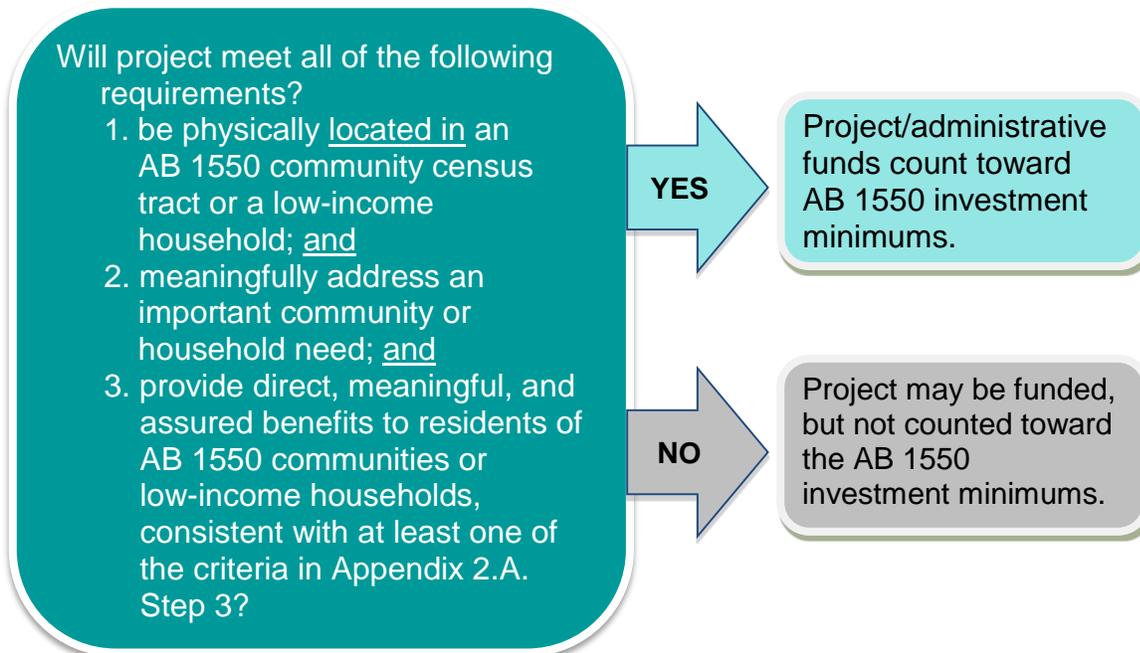
These Funding Guidelines provide consistent criteria for all administering agencies to use to determine whether a project would provide direct, meaningful, and assured benefits to AB 1550 populations and count toward the overall AB 1550 investment minimums. This is expected to help agencies develop guidelines and solicitation materials; enable a more streamlined and consistent approach for reviewing project proposals; and track and report on benefits.

Figure 2.A-1 summarizes the process for administering agencies to evaluate projects for AB 1550 benefits.

Much of the criteria in this Appendix are based on a project being located within the boundaries of an AB 1550 community. To aid in determining geographic eligibility, CARB has developed interactive maps that show: the disadvantaged community census tracts, low-income community census tracts located anywhere in the State, and “portions of” low-income census tracts within ½ mile around a disadvantaged community tract boundary. These maps are available at: www.calepa.ca.gov/EnvJustice/GHGInvest and www.arb.ca.gov/auctionproceeds. A “look-up” tool and a list of HCD’s “low-income” thresholds by county and household size are available at: www.arb.ca.gov/auctionproceeds.

Appendix 2.A

Figure 2.A-1 Summary of Process for Administering Agencies to Evaluate Project Benefits to AB 1550 Populations



II. Criteria for Evaluating Project Benefits to AB 1550 Populations

This appendix contains a table for each project type that includes criteria for administering agencies to use to determine whether potential projects: (1) are located within an AB 1550 community or directly benefit residents of low-income households, (2) meaningfully address an important community or household need, and (3) provide direct, meaningful and assured benefits to AB 1550 populations. In evaluating a project, administering agencies may use the project type table that is applicable to the project being evaluated. The criteria are designed to enable administering agencies to readily make an objective “yes” or “no” decision about whether a particular project provides a benefit to an AB 1550 population.

Step 1 –AB 1550 Populations: First, administering agencies should find the appropriate table for the project type and evaluate the project to see if it meets the qualifying criteria for being located within a disadvantaged community or low-income community, or directly benefiting residents of a low-income household. If the project meets the qualifying Step 1 criteria, proceed to Step 2. If a project does not meet at least one of the qualifying criteria in Step 1, the project does not count toward AB 1550 investment minimums and no further evaluation is needed. During the reporting process, administering agencies should identify all AB 1550 qualifying criteria that a project meets to enable proper accounting of eligible funding across the three AB 1550 investment categories.

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Appendix 2.A

For certain project types that are in a fixed location (e.g., weatherization of buildings, urban forestry), it is relatively straightforward to evaluate whether the project's physical location is within the AB 1550 community boundaries (identified by the census tract) and thereby ascertain eligibility. For low-income households located outside of AB 1550 communities, administering agencies will need to identify an approach to determine income eligibility. For projects in multiple locations (e.g., rail lines and transit bus routes) and for mobile sources (e.g., zero or near-zero emission cars and trucks), the evaluation may require additional analyses.

Step 2 – Addresses an Important Need for a Community or Household: If the project meets at least one of the qualifying criteria in Step 1, administering agencies should move to this second step and evaluate whether the project provides a benefit that meaningfully addresses an important community or household need. If the project does not meet a community or household need, it will not be considered to provide a meaningful benefit to AB 1550 populations and therefore not count toward AB 1550 investment minimums. In this case, no further evaluation is needed. If the project does satisfy the community or household need criteria, proceed to Step 3.

Step 3 – Project Benefits: If the project meets at least one of the criteria in Step 3, it will be considered to provide at least one direct, meaningful, and assured benefit to AB 1550 populations and may be counted toward AB 1550 investment minimums. The criteria in the project type tables identify the project qualities that meet the “direct, meaningful, and assured” principle as used in this document. Each criterion is independent; a project need only meet one criterion to be considered as providing benefits to one or more AB 1550 populations.

If a project satisfies the criteria in Steps 1 through 3, the funding to implement that project will count toward the AB 1550 investment minimums.

Please note that administering agencies can use their Fund appropriations to fund projects that do not meet the criteria in this Appendix; however, only the subset of projects that meet the criteria in this Appendix will be credited toward achieving the AB 1550 investment minimums for projects in disadvantaged communities, low-income communities, and low-income households. It is the administering agencies' responsibility to implement projects that meet these criteria, in accordance with federal and State law.

If a project is defined as a grant that provides funding in several locations (e.g., solar installations throughout California, rebates for zero-emission vehicles), the grantee will need to identify track, and report the amount of funding that is spent in locations with AB 1550 populations. Only the portion of grant funding that is spent to benefit AB 1550 populations in identified locations in Step 1 may be counted toward AB 1550 investment minimums provided criteria in Steps 2 and 3 are also met.

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Appendix 2.A

III. Frequently Asked Questions

Provided below are some “Frequently Asked Questions” related to AB 1550 population benefits:

1. **Q:** *Is there a single criteria table in this Appendix for each administering agency? Is each agency limited to using only one table in this Appendix?*

A: No. To reduce redundancy, the project categories and criteria are deliberately designed to be broad enough to cover similar projects being implemented by different administering agencies and programs. Therefore, multiple agencies and programs may share a common criteria table.

2. **Q:** *Do all projects located in a ZIP code with a disadvantaged community census tract count as benefiting a disadvantaged community?*

A: No. AB 1550 requires that projects be located within an AB 1550 community or low-income households to be eligible to count toward AB 1550 investment minimums. Projects that are at least partially within an AB 1550 community may qualify. Detailed criteria are specified in the tables in this Appendix.

3. **Q:** *Can administering agencies use a criteria table for a different project type?*

A: No. The tables are specific to each project type, and administering agencies can only use the criteria in the table that is applicable to the specific project type being funded by GGRF appropriations. However, for complex projects, there may be more than one applicable criteria table.

4. **Q:** *Do all projects located within disadvantaged community or low-income community census tracts automatically count as benefiting those communities?*

A: No. Simply being located within a census tract may not be sufficient to be considered a benefit. However, a project will count as benefiting a disadvantaged community or low-income community if it meets at least one of the Step 1 location criteria in the applicable table and provides a direct, meaningful, and assured benefit that meaningfully addresses an important community need.

5. **Q:** *Can administering agencies perform a case-by-case analysis for projects that don't meet any of the criteria provided in the applicable table?*

A: No. The criteria in each table provide a standardized, consistent method for all agencies to determine whether projects benefit AB 1550 populations. Therefore, agencies will not be doing case-by-case analyses for projects that do not meet the listed criteria in the relevant table.

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6. **Q:** *Can projects be funded if they are not located in disadvantaged communities, low-income communities, or low-income households, and don't meet any of the AB 1550 criteria in this document?*

A: Yes. Administering agencies can fund projects that are not located in AB 1550 communities or low-income households and do not meet the AB 1550 criteria in this document, if those projects meet the other program requirements. However, those projects will not be considered as benefiting AB 1550 populations and will not count toward program targets or AB 1550 investment minimums.

7. **Q:** *Can a project in a single census tract count toward both the disadvantaged community and low-income community investment minimums?*

A: No. If a single census tract is both a disadvantaged community and a low-income community, moneys going to a project in the census tract may count toward either the disadvantaged community or low-income community investment minimums, but not both.

8. **Q:** *In a single census tract that is both a disadvantaged community and a low-income community, do all projects within that census tract have to be counted toward either a disadvantaged community or a low-income community investment minimum?*

A: No. If a single census tract is both a disadvantaged community and a low-income community, some projects may count toward disadvantaged community and others toward low-income community investment minimums, as long as the funding for a single project is not counted toward both.

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Appendix 2.A

Table 2.A-1 Low Carbon Transportation

Projects will achieve GHG reductions through the use of zero and near-zero emission passenger vehicles, buses, trucks, freight technology, and the replacement of older, higher-emitting vehicles. For this project type, the project location could be determined by where the vehicle or equipment is registered, domiciled, or operated a majority of the time. Potential administering agencies: CARB, CalSTA/CTC, Caltrans, SGC

When selecting projects for a given investment, give priority to those that maximize benefits to AB 1550 populations¹⁶ (e.g., use scoring criteria that favor projects which provide multiple benefits or the most significant benefits).

CRITERIA TO EVALUATE PROJECTS FOR AB 1550 BENEFITS

Agencies can also use criteria in other tables if applicable to the project type being evaluated. Projects must satisfy the applicable criteria through Step 3 to be considered an AB 1550 benefit and count toward AB 1550 investment minimums.

Step 1 – AB 1550 Populations. *Evaluate the project against each of the following criteria for a disadvantaged community, low-income community, or a low-income household. Check all boxes that apply.*

- A. Is the project located within the boundaries of a **disadvantaged community census tract**?
- B. Is the project located within the boundaries of a **low-income community census tract**?
- C. Is the project located outside of a disadvantaged community, but **within ½-mile of a disadvantaged community and within a low-income community census tract**?
- D. For projects that distribute consumer-based incentives (e.g., vouchers, rebates, transit passes), is the direct recipient of the incentive a **resident of a disadvantaged community census tract** (i.e., is the incentive distributed within a disadvantaged community and made available to the residents of that community)?
- E. For projects that distribute consumer-based incentives (e.g., vouchers, rebates, transit passes), is the direct recipient of the incentive a **resident of a low-income community census tract** (i.e., is the incentive distributed within a low-income community and made available to the residents of that community)?
- F. For projects that distribute consumer-based incentives (e.g., vouchers, rebates, transit passes), is the direct recipient of the incentive a **resident of a low-income household**?

¹⁶ AB 1550 populations include residents of: (1) census tracts identified as disadvantaged by CalEPA, (2) census tracts identified as low-income, or (3) a low-income household. For identification of disadvantaged communities and low-income communities, refer to: www.calepa.ca.gov/EnvJustice/GHGInvest. A “look-up” tool and a list of HCD’s “low-income” thresholds by county and household size are available at: www.arb.ca.gov/auctionproceeds. Only areas that are designated on these maps and lists will be considered disadvantaged or low-income for the purposes of California Climate Investments.

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Appendix 2.A

Table 2.A-1 Low Carbon Transportation
<p>Step 1 – AB 1550 Populations (continued). Evaluate the project against each of the following criteria for a disadvantaged community, low-income community, or a low-income household. Check all boxes that apply.</p> <p><input type="checkbox"/> G. Does the project provide jobs or job training to residents of low-income households?</p>
<p><i>If at least one box of the AB 1550 population criteria in Step 1 is checked, go to Step 2 for further evaluation. If no criteria in Step 1 apply, the project will not count toward AB 1550 investment minimums.</i></p>
<p>Step 2 – Addresses an Important Need for a Community or Household. If a project meets the AB 1550 population criteria in Step 1, agencies and/or applicants must identify an important community or household need that the project will address and evaluate the project to confirm that it will address that need. Note: After project implementation, agencies must report on which important needs the project addresses.</p> <p>To identify a need that the project will address, agencies and/or applicants can use a variety of approaches such as:</p> <p><input type="checkbox"/> A. Host community meetings, workshops, outreach efforts, or public meetings as part of planning process to engage local residents and community groups for input on community or household needs, and provide documentation showing how the received input was considered in the selection of projects that address those needs;</p> <p><input type="checkbox"/> B. Look at the individual factors in CalEnviroScreen 3.0 that are most impacting an identified disadvantaged or low-income community (i.e., factors that score above the 75th percentile), and select a project that reduces the impacts of one of those factors;</p> <p><input type="checkbox"/> C. Receive documentation of support from local community-based organizations and/or residents (e.g., letters, emails) and select a project with documented broad community support; or</p> <p><input type="checkbox"/> D. Refer to the list of common needs for disadvantaged communities in CARB’s Funding Guidelines Table 2-2 and select a project that addresses a listed need.</p>
<p><i>If the project addresses a community or household need as described in Step 2, go to Step 3 for further evaluation. If the project does not address a community or household need, it will not count toward AB 1550 investment minimums.</i></p>
<p>Step 3 – Project Benefits. If a project meets criteria in Step 1 and addresses an important need for a community or household in Step 2, evaluate the project against each of the following criteria to determine if it provides direct, meaningful, and assured benefits to residents of an AB 1550 community or low-income household. Check all boxes that apply.</p> <p>Project must meet at least one of the following criteria focused on reducing air pollution for AB 1550 populations:</p> <p><input type="checkbox"/> A. Project provides incentives for vehicles or equipment registered to individuals with a physical address in an AB 1550 community or to residents of a low-income household;</p>

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Appendix 2.A

Table 2.A-1 Low Carbon Transportation

Step 3 – Project Benefits (continued). *If a project meets criteria in Step 1 and addresses an important need for a community or household in Step 2, evaluate the project against each of the following criteria to determine if it provides direct, meaningful, and assured benefits to residents of an AB 1550 community or low-income household. Check all boxes that apply.*

- B. Project provides incentives for vehicles or equipment that will be domiciled in an AB 1550 community;
- C. Project provides incentives for vehicles or equipment that reduce air pollution, such as diesel particulate matter, on fixed routes that are primarily within an AB 1550 community (e.g., locomotives) or vehicles that serve at least one transit station or stop in an AB 1550 community (e.g., zero-emission buses);
- D. Project provides incentives for freight, construction, or agricultural vehicles or equipment that reduce air pollution and will be domiciled in an AB 1550 community;
- E. Project provides incentives for freight, construction, or agricultural vehicles or equipment that reduce air pollution and will operate a majority of the time in an AB 1550 community;
- F. Project provides greater mobility and increased access to clean transportation for residents of an AB 1550 community by placing services in that community, including ride-sharing, car-sharing, or other advanced technology mobility options (e.g., neighborhood electric vehicles, vanpooling, shuttles, smartphone application-based ride-sharing services, bike-sharing services);
- G. Project provides greater mobility and increased access to clean transportation for residents of an AB 1550 community or a low-income household by providing incentives for the retirement or replacement of older, higher-emitting vehicles registered to a physical address in an AB 1550 community or to a low-income household;
- H. Project includes recruitment, agreements, policies or other approaches that are consistent with federal and state law and result in at least 25 percent of project work hours performed by residents of an AB 1550 community, or by residents of low-income households; or
- I. Project includes recruitment, agreements, policies or other approaches that are consistent with federal and state law and result in at least 10 percent of project work hours performed by residents of an AB 1550 community, or by residents of low-income households, participating in job training programs which lead to industry-recognized credentials or certifications.

If the project meets the AB 1550 population criteria in Step 1, addresses a community or household need as described in Step 2, and can demonstrate that it meets at least one of the benefit criteria in Step 3, it will count toward AB 1550 investment minimums.

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Appendix 2.A

Table 2.A-2 Transit

Projects will achieve GHG reductions by reducing passenger vehicle miles travelled through incentives, infrastructure, or operational improvements (e.g., improving bus or rail service, providing better bus connections to intercity rail, improving transit stops, encouraging people to shift from cars to transit, providing transit vouchers, linking active transportation to transit, increasing safety and mobility for transit users).

Potential administering agencies: CalSTA, Caltrans, SGC

When selecting projects for a given investment, give priority to those that maximize benefits to AB 1550 populations¹⁷ (e.g., use scoring criteria that favor projects which provide multiple benefits or the most significant benefits).

CRITERIA TO EVALUATE PROJECTS FOR AB 1550 BENEFITS

Agencies can also use criteria in other tables if applicable to the project type being evaluated. Projects must satisfy the applicable criteria through Step 3 to be considered an AB 1550 benefit and count toward AB 1550 investment minimums.

Step 1 – AB 1550 Populations. Evaluate the project against each of the following criteria for a disadvantaged community, low-income community, or a low-income household. Check all boxes that apply.

- A. Is the project at least partially located **within the boundaries of a disadvantaged community census tract**? For projects that improve transit service or increase transit access along transit lines or corridors, is the project serving at least one stop located within the boundaries of a disadvantaged community census tract?
- B. Is the project at least partially located **within the boundaries of a low-income community census tract**? For projects that improve transit service or increase transit access along transit lines or corridors, is the project serving at least one stop located within the boundaries of a low-income community census tract?
- C. Is the project located outside of a disadvantaged community, but **within ½-mile of a disadvantaged community and within a low-income community census tract**? For projects that improve transit service or increase transit access along transit lines or corridors, is the project serving at least one stop located within ½-mile of a disadvantaged community and within a low-income community census tract?

¹⁷ AB 1550 populations include residents of: (1) census tracts identified as disadvantaged by CalEPA, (2) census tracts identified as low-income, or (3) a low-income household. For identification of disadvantaged communities and low-income communities, refer to: www.calepa.ca.gov/EnvJustice/GHGInvest. A “look-up” tool and a list of HCD’s “low-income” thresholds by county and household size are available at: www.arb.ca.gov/auctionproceeds. Only areas that are designated on these maps and lists will be considered disadvantaged or low-income for the purposes of California Climate Investments.

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Appendix 2.A

Table 2.A-2 Transit

Step 1 – AB 1550 Populations (continued). Evaluate the project against each of the following criteria for a disadvantaged community, low-income community, or a low-income household. Check all boxes that apply.

- D. For projects that provide consumer-based incentives (e.g., vouchers, rebates, transit passes, free-fare days), is the incentive to provide benefits to **a resident of a disadvantaged community census tract** (i.e., is the incentive distributed within a disadvantaged community and made available to the residents of that community)?
- E. For projects that provide consumer-based incentives (e.g., vouchers, rebates, transit passes, free-fare days), is the incentive to provide benefits to **a resident of a low-income community census tract** (i.e., is the incentive distributed within a low-income community and made available to the residents of that community)?
- F. For projects that provide consumer-based incentives (e.g., vouchers, rebates, transit passes, free-fare days), is the incentive to provide benefits to **a resident of a low-income household**?
- G. Does the project provide jobs or job training to **residents of low-income households**?

If at least one box of the AB 1550 population criteria in Step 1 is checked, go to Step 2 for further evaluation. If no criteria in Step 1 apply, the project will not count toward AB 1550 investment minimums.

Step 2 – Addresses an Important Need for a Community or Household. If a project meets the AB 1550 population criteria in Step 1, agencies and/or applicants must identify an important community or household need that the project will address and evaluate the project to confirm that it will address that need. Note: After project implementation, agencies must report on which important needs the project addresses.

To identify a need that the project will address, agencies and/or applicants can use a variety of approaches such as:

- A. Host community meetings, workshops, outreach efforts, or public meetings as part of planning process to engage local residents and community groups for input on community or household needs, and provide documentation showing how the received input was considered in the selection of projects that address those needs;
- B. Look at the individual factors in CalEnviroScreen 3.0 that are most impacting an identified disadvantaged or low-income community (i.e., factors that score above the 75th percentile), and select a project that reduces the impacts of one of those factors;
- C. Receive documentation of support from local community-based organizations and/or residents (e.g., letters or emails) and select a project with documented broad community support; or

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Table 2.A-2 Transit

Step 2 – Addresses an Important Need for a Community or Household (continued). *If a project meets the AB 1550 population criteria in Step 1, agencies and/or applicants must identify an important community or household need that the project will address and evaluate the project to confirm that it will address that need. Note: After project implementation, agencies must report on which important needs the project addresses.*

- D. Refer to the list of common needs for disadvantaged communities in CARB’s Funding Guidelines Table 2-2 and select a project that addresses a listed need.

If the project addresses a community or household need as described in Step 2, go to Step 3 for further evaluation. If the project does not address a community or household need, it will not count toward AB 1550 investment minimums.

Step 3 – Project Benefits. *If a project meets criteria in Step 1 and addresses an important need for a community or household in Step 2, evaluate the project against each of the following criteria to determine if it provides direct, meaningful, and assured benefits to residents of an AB 1550 community or low-income household. Check all boxes that apply.*

Project must meet at least one of the following criteria focused on increasing transit service along transit lines or corridors that have stations or stops within an AB 1550 community, improving transit access to AB 1550 populations, or reducing air pollution in an AB 1550 community:

- A. Project provides improved transit or passenger rail service for stations or stops within an AB 1550 community (e.g., new transit lines, more frequent service, greater capacity on existing lines that are nearing capacity, improved reliability, improved accessibility, bus rapid transit service);
- B. Project provides transit incentives to residents of an AB 1550 community or a low-income household (e.g., transit vouchers, reduced transit fares, transit passes);
- C. Project improves transit connectivity for residents at stations or stops in an AB 1550 community (e.g., network/fare integration, fare-system investments);
- D. Project improves connectivity between travel modes for vehicles or equipment that service stations or stops in an AB 1550 community (e.g., bicycle racks on transit vehicles, better links between transit and active transportation);
- E. Project creates or improves infrastructure or equipment that reduces air pollution at a station, stop or transit facility located in an AB 1550 community (e.g., auxiliary power, charging stations);
- F. Project creates or improves infrastructure or equipment that reduces air pollution on regular scheduled routes that are primarily within an AB 1550 community (e.g., rail electrification, zero-emission bus);

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Table 2.A-2 Transit

Step 3 – Project Benefits (continued). *If a project meets criteria in Step 1 and addresses an important need for a community or household in Step 2, evaluate the project against each of the following criteria to determine if it provides direct, meaningful, and assured benefits to residents of an AB 1550 community or low-income household. Check all boxes that apply.*

- G. Project provides increased access to shared-mobility transportation options for residents of an AB 1550 community by placing services in that community that link to transit, including vanpooling, shuttles, ride-sharing, car-sharing, bike-sharing, or other advanced technology mobility options associated with transit (e.g., smartphone application-based ride-sharing services);
- H. Project improves transit stations or stops within an AB 1550 community to increase safety and comfort (e.g. lights, shelters, benches);
- I. Project includes recruitment, agreements, policies or other approaches that are consistent with federal and state law and result in at least 25 percent of project work hours performed by residents of an AB 1550 community, or by residents of low-income households; or
- J. Project includes recruitment, agreements, policies or other approaches that are consistent with federal and state law and result in at least 10 percent of project work hours performed by residents of an AB 1550 community, or by residents of low-income households, participating in job training programs which lead to industry-recognized credentials or certifications.

If the project meets the AB 1550 population criteria in Step 1, addresses a community or household need as described in Step 2, and can demonstrate that it meets at least one of the benefit criteria in Step 3, it will count toward AB 1550 investment minimums.

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Appendix 2.A

Table 2.A-3 Affordable Housing and Sustainable Communities

Projects will achieve GHG reductions by reducing passenger vehicle miles travelled (e.g., increasing accessibility of housing, employment centers, and key destinations via complete streets, and/or low carbon and active transportation options).

Potential administering agencies: SGC

When selecting projects for a given investment, give priority to those that maximize benefits to AB 1550 populations¹⁸ (e.g., use scoring criteria that favor projects which provide multiple benefits or the most significant benefits).

CRITERIA TO EVALUATE PROJECTS FOR AB 1550 BENEFITS

Agencies can also use criteria in other tables if applicable to the project type being evaluated. Projects must satisfy the applicable criteria through Step 3 to be considered an AB 1550 benefit and count toward AB 1550 investment minimums.

Step 1 – AB 1550 Populations. *Evaluate the project against each of the following criteria for a disadvantaged community, low-income community, or a low-income household. Check all boxes that apply.*

- A. Is a majority of the project located **within the boundaries of a disadvantaged community census tract**?
- B. Is a majority of the project located **within the boundaries of a low-income community census tract**?
- C. Is a majority of the project located outside of a disadvantaged community, but **within ½-mile of a disadvantaged community and within a low-income community census tract**?
- D. Does the project provide jobs or job training to **residents of low-income households**?

*If **at least one box** of the AB 1550 population criteria in Step 1 is checked, go to Step 2 for further evaluation. If no criteria in Step 1 apply, the project will not count toward AB 1550 investment minimums.*

¹⁸ AB 1550 populations include residents of: (1) census tracts identified as disadvantaged by CalEPA, (2) census tracts identified as low-income, or (3) a low-income household. For identification of disadvantaged communities and low-income communities, refer to: www.calepa.ca.gov/EnvJustice/GHGInvest. A “look-up” tool and a list of HCD’s “low-income” thresholds by county and household size are available at: www.arb.ca.gov/auctionproceeds. Only areas that are designated on these maps and lists will be considered disadvantaged or low-income for the purposes of California Climate Investments.

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Table 2.A-3 Affordable Housing and Sustainable Communities

Step 2 – Addresses an Important Need for a Community or Household. *If a project meets the AB 1550 population criteria in Step 1, agencies and/or applicants must identify an important community or household need that the project will address and evaluate the project to confirm that it will address that need. Note: After project implementation, agencies must report on which important needs the project addresses.*

To identify a need that the project will address, agencies and/or applicants can use a variety of approaches such as:

- A. Host community meetings, workshops, outreach efforts, or public meetings as part of planning process to engage local residents and community groups for input on community or household needs, and provide documentation showing how the received input was considered in the selection of projects that address those needs;
- B. Look at the individual factors in CalEnviroScreen 3.0 that are most impacting an identified disadvantaged or low-income community (i.e., factors that score above the 75th percentile), and select a project that reduces the impacts of one of those factors;
- C. Receive documentation of support from local community-based organizations and/or residents (e.g., letters, emails) and select a project with documented broad community support; or
- D. Refer to the list of common needs for disadvantaged communities in CARB’s Funding Guidelines Table 2-2 and select a project that addresses a listed need.

If the project addresses a community or household need as described in Step 2, go to Step 3 for further evaluation. If the project does not address a community or household need, it will not count toward AB 1550 investment minimums.

Step 3 – Project Benefits. *If a project meets criteria in Step 1 and addresses an important need for a community or household in Step 2, evaluate the project against each of the following criteria to determine if it provides direct, meaningful, and assured benefits to residents of an AB 1550 community or low-income household. Check all boxes that apply.*

Project must meet at least one of the following criteria focused on accessibility of affordable housing and reducing passenger vehicle miles travelled by residents of an AB 1550 community or low-income households:

- A. A majority (>50%) of the project is within one or more AB 1550 communities and reduces vehicle miles travelled (e.g., through affordable housing development and improved sustainable transportation infrastructure), and the project is designed to avoid displacement of residents from these communities;
- B. Project preserves the supply of affordable housing that is at-risk of conversion to market rate (e.g., through acquisition and substantial rehabilitation) for residents of AB 1550 communities and low-income households;

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Appendix 2.A

Table 2.A-3 Affordable Housing and Sustainable Communities

Step 3 – Project Benefits (continued). *If a project meets criteria in Step 1 and addresses an important need for a community or household in Step 2, evaluate the project against each of the following criteria to determine if it provides direct, meaningful, and assured benefits to residents of an AB 1550 community or low-income household. Check all boxes that apply.*

- C. Project includes recruitment, agreements, policies or other approaches that are consistent with federal and state law and result in at least 25 percent of project work hours performed by residents of an AB 1550 community, or by residents of low-income households; or
- D. Project includes recruitment, agreements, policies or other approaches that are consistent with federal and state law and result in at least 10 percent of project work hours performed by residents of an AB 1550 community, or by residents of low-income households, participating in job training programs which lead to industry-recognized credentials or certifications.

If the project meets the AB 1550 population criteria in Step 1, addresses a community or household need as described in Step 2, and can demonstrate that it meets at least one of the benefit criteria in Step 3, it will count toward AB 1550 investment minimums.

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Appendix 2.A

Table 2.A-4 Active Transportation

Projects will achieve GHG reductions through reducing vehicle miles travelled with infrastructure enhancements that encourage active transportation (e.g., walking, biking).
 Potential administering agency: Caltrans/CTC, CNRA, SGC

When selecting projects for a given investment, give priority to those that maximize benefits to AB 1550 populations¹⁹ (e.g., use scoring criteria that favor projects which provide multiple benefits or the most significant benefits).

CRITERIA TO EVALUATE PROJECTS FOR AB 1550 BENEFITS

Agencies can also use criteria in other tables if applicable to the project type being evaluated. Projects must satisfy the applicable criteria through Step 3 to be considered an AB 1550 benefit and count toward AB 1550 investment minimums.

Step 1 – AB 1550 Populations. Evaluate the project against each of the following criteria for a disadvantaged community, low-income community, or a low-income household. Check all boxes that apply.

- A. Is the project at least partially located within the boundaries of a disadvantaged community census tract with an access point or points **within the boundaries of the disadvantaged community census tract**?
- B. Is the project at least partially located within the boundaries of a low-income community census tract with an access point or points **within the boundaries of the low-income community census tract**?
- C. Is the project at least partially located outside of a disadvantaged community, but **within ½-mile of a disadvantaged community and within a low-income community census tract** with an access point or points within ½ -mile of a disadvantaged community and within a low-income community census tract?
- D. Does the project provide jobs or job training to **residents of low-income households**?

If at least one box of the AB 1550 population criteria in Step 1 is checked, go to Step 2 for further evaluation. If no criteria in Step 1 apply, the project will not count toward AB 1550 investment minimums.

¹⁹ AB 1550 populations include residents of: (1) census tracts identified as disadvantaged by CalEPA, (2) census tracts identified as low-income, or (3) a low-income household. For identification of disadvantaged communities and low-income communities, refer to: www.calepa.ca.gov/EnvJustice/GHGInvest. A “look-up” tool and a list of HCD’s “low-income” thresholds by county and household size are available at: www.arb.ca.gov/auctionproceeds. Only areas that are designated on these maps and lists will be considered disadvantaged or low-income for the purposes of California Climate Investments.

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Appendix 2.A

Table 2.A-4 Active Transportation

Step 2 – Addresses an Important Need for a Community or Household. *If a project meets the AB 1550 population criteria in Step 1, agencies and/or applicants must identify an important community or household need that the project will address and evaluate the project to confirm that it will address that need. Note: After project implementation, agencies must report on which important needs the project addresses.*

To identify a need that the project will address, agencies and/or applicants can use a variety of approaches such as:

- A. Host community meetings, workshops, outreach efforts, or public meetings as part of planning process to engage local residents and community groups for input on community or household needs, and provide documentation showing how the received input was considered in the selection of projects that address those needs;
- B. Look at the individual factors in CalEnviroScreen 3.0 that are impacting an identified disadvantaged or low-income community (i.e., factors that score above the 75th percentile), and select a project that reduces the impacts of one of those factors;
- C. Receive documentation of support from local community based organizations and/or residents (e.g., letters, emails) and select a project with documented broad community support; or
- D. Refer to the list of common needs for disadvantaged communities in CARB’s Funding Guidelines Table 2-2 and select a project that addresses a listed need.

If the project addresses a community or household need as described in Step 2, go to Step 3 for further evaluation. If the project does not address a community or household need, it will not count toward AB 1550 investment minimums.

Step 3 – Project Benefits. *If a project meets criteria in Step 1 and addresses an important need for a community or household in Step 2, evaluate the project against each of the following criteria to determine if it provides direct, meaningful, and assured benefits to residents of an AB 1550 community or low-income household. Check all boxes that apply.*

Project must meet at least one of the following criteria focused on reducing passenger vehicle miles travelled by residents of an AB 1550 community or within an AB 1550 community:

- A. Project is at least partially located within one or more AB 1550 communities and reduces vehicle miles travelled for residents of those communities through improved connectivity between one or more AB 1550 communities and key destinations;
- B. Project improves connectivity between travel modes for vehicles or equipment that serve stations or stops in an AB 1550 community (e.g., bicycle racks on transit vehicles, better links between transit and active transportation);
- C. Project provides increased access to shared-mobility clean transportation options for residents of an AB 1550 community by placing services in that community that link to transit-modes (e.g. bike-sharing);

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Appendix 2.A

Table 2.A-4 Active Transportation

Step 3 – Project Benefits (continued). *If a project meets criteria in Step 1 and addresses an important need for a community or household in Step 2, evaluate the project against each of the following criteria to determine if it provides direct, meaningful, and assured benefits to residents of an AB 1550 community or low-income household. Check all boxes that apply.*

- D. Project includes recruitment, agreements, policies or other approaches that are consistent with federal and state law and result in at least 25 percent of project work hours performed by residents of an AB 1550 community, or by residents of low-income households; or
- E. Project includes recruitment, agreements, policies or other approaches that are consistent with federal and state law and result in at least 10 percent of project work hours performed by residents of an AB 1550 community, or by residents of low-income households, participating in job training programs which lead to industry-recognized credentials or certifications.

If the project meets the AB 1550 population criteria in Step 1, addresses a community or household need as described in Step 2, and can demonstrate that it meets at least one of the benefit criteria in Step 3, it will count toward AB 1550 investment minimums.

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Appendix 2.A

Table 2.A-5 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, DOC

When selecting projects for a given investment, give priority to those that maximize benefits to AB 1550 populations²⁰ (e.g., use scoring criteria that favor projects which provide multiple benefits or the most significant benefits).

CRITERIA TO EVALUATE PROJECTS FOR AB 1550 BENEFITS

Agencies should use relevant existing criteria tables in these 2017 Funding Guidelines to determine benefits to AB 1550 populations, specific to individual project components. For example, a Transformative Climate Communities project that includes affordable housing and transit components will refer to these 2017 Funding Guidelines, Table 2.A-3 for criteria specific to the housing component and Table 2.A-2 for the transit related project component. Each project component must satisfy the applicable criteria through Step 3 in the existing criteria tables to be considered an AB 1550 benefit and count toward AB 1550 investment minimums.

²⁰AB 1550 populations include residents of: (1) census tracts identified as disadvantaged by CalEPA, (2) census tracts identified as low-income, or (3) a low-income household. For identification of disadvantaged communities and low-income communities, refer to www.calepa.ca.gov/EnvJustice/GHGInvest. A “look-up” tool and a list of HCD’s “low-income” thresholds by county and household size are available at: www.arb.ca.gov/auctionproceeds. Only areas that are designated on these maps and lists will be considered disadvantaged or low-income for the purposes of California Climate Investments.

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Appendix 2.A

Table 2.A-6 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, photovoltaic systems, or community solar 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).

Potential Administering Agencies: CSD, CDFA, SGC

When selecting projects for a given investment, give priority to those that maximize benefits to AB 1550 populations²¹ (e.g., use scoring criteria that favor projects which provide multiple benefits or the most significant benefits).

CRITERIA TO EVALUATE PROJECTS FOR AB 1550 BENEFITS

Agencies can also use criteria in other tables if applicable to the project type being evaluated. Projects must satisfy the applicable criteria through Step 3 to be considered an AB 1550 benefit and count toward AB 1550 investment minimums.

Step 1 – AB 1550 Populations. *Evaluate the project²² against each of the following criteria for a disadvantaged community, low-income community, or a low-income household. Check all boxes that apply.*

- A. Is the entire project located **within the boundaries of a disadvantaged community census tract?**
- B. Is the entire project located **within the boundaries of a low-income community census tract?**
- C. Is the entire project located outside of a disadvantaged community, but **within ½-mile of a disadvantaged community and within a low-income community census tract?**
- D. For projects that distribute consumer-based incentives (e.g., vouchers, rebates, energy bill credits), is the direct recipient of the incentive **a resident of a disadvantaged community census tract?**

²¹ AB 1550 populations include residents of: (1) census tracts identified as disadvantaged by CalEPA, (2) census tracts identified as low-income, or (3) a low-income household. For identification of disadvantaged communities and low-income communities refer to: www.calepa.ca.gov/EnvJustice/GHGInvest. A “look-up” tool and a list of HCD’s “low-income” thresholds by county and household size are available at: www.arb.ca.gov/auctionproceeds. Only areas that are designated on these maps and lists will be considered disadvantaged or low-income for the purposes of California Climate Investments.

²² If a “project” is defined as a grant that provides funding in several locations, the grantee will need to identify and track the amount of funding that is spent in locations with AB 1550 populations. Only the portion of grant funding that is spent in identified AB 1550 locations in Step 1 may be counted toward AB 1550 investment minimums, provided criteria in Steps 2 and 3 are also met. For the purposes of AB 1550 benefits assessment, a project should be evaluated at the location where actions are taken by the end-recipients of GGRF funds to reduce GHG emissions or at the location where a consumer-based incentive is distributed.

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Table 2.A-6 Energy Efficiency and Renewable Energy

Step 1 – AB 1550 Populations (continued). Evaluate the project against each of the following criteria for a disadvantaged community, low-income community, or a low-income household. Check all boxes that apply.

- E. For projects that distribute consumer-based incentives (e.g., vouchers, rebates, energy bill credits), is the direct recipient of the incentive **a resident of a low-income community census tract**?
- F. Is the project located **within a low-income household** (e.g. energy efficiency upgrades such as high-efficiency appliance upgrades)? For multi-family buildings, are the majority of the households low-income?
- G. Is the project located **within a low-income household that is outside of a disadvantaged community, but within ½ -mile of a disadvantaged community**? For multi-family buildings, are the majority of the households low-income?
- H. For projects that distribute consumer-based incentives (e.g., vouchers, rebates, energy bill credits), is the direct recipient of the incentive **a resident of a low-income household**?
- I. Does the project provide jobs or job training to **residents of low-income households**?

If at least one box of the AB 1550 population criteria in Step 1 is checked, go to Step 2 for further evaluation. If no criteria in Step 1 apply, the project will not count toward AB 1550 investment minimums.

Step 2 – Addresses an Important Need for a Community or Household. If a project meets the AB 1550 population criteria in Step 1, agencies and/or applicants must identify an important community or household need that the project will address and evaluate the project to confirm that it will address that need. Note: After project implementation, agencies must report on which important needs the project addresses.

To identify a need that the project will address, agencies and/or applicants can use a variety of approaches such as:

- A. Host community meetings, workshops, outreach efforts, or public meetings as part of planning process to engage local residents and community groups for input on community or household needs, and provide documentation showing how the received input was considered in the selection of projects that address those needs;
- B. Look at the individual factors in CalEnviroScreen 3.0 that are most impacting an identified disadvantaged or low-income community (i.e., factors that score above the 75th percentile), and select a project that reduces the impacts of one of those factors;
- C. Receive documentation of support from local community-based organizations and/or residents (e.g., letters or emails) and select a project with documented broad community support; or

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Table 2.A-6 Energy Efficiency and Renewable Energy

Step 2 – Addresses an Important Need for a Community or Household (continued). *If a project meets the AB 1550 population criteria in Step 1, agencies and/or applicants must identify an important community or household need that the project will address and evaluate the project to confirm that it will address that need. Note: After project implementation, agencies must report on which important needs the project addresses.*

- D. Refer to the list of common needs for disadvantaged communities in CARB’s Funding Guidelines Table 2-2 and select a project that addresses a listed need.

If the project addresses a community or household need as described in Step 2, go to Step 3 for further evaluation. If the project does not address a community or household need, it will not count toward AB 1550 investment minimums.

Step 3 – Project Benefits. *If a project meets criteria in Step 1 and addresses an important need for a community or household in Step 2, evaluate the project against each of the following criteria to determine if it provides direct, meaningful, and assured benefits to residents of an AB 1550 community or low-income household. Check all boxes that apply.*

Project must meet at least one of the following criteria focused on providing energy efficiency improvements, renewable energy generation, and economic benefits to AB 1550 populations:

- A. Project provides energy efficiency upgrades to residents of an AB 1550 community or a low-income household (e.g. single- or multi-family housing units, shelters, college/university campus housing);
- B. Project provides renewable energy and direct energy cost savings to residents of AB 1550 communities or low-income households (e.g. solar photovoltaic systems or community solar);
- C. Project includes recruitment, agreements, policies or other approaches that are consistent with federal and state law and result in at least 25 percent of project work hours performed by residents of an AB 1550 community, or by residents of low-income households; or
- D. Project includes recruitment, agreements, policies or other approaches that are consistent with federal and state law and result in at least 10 percent of project work hours performed by residents of an AB 1550 community, or by residents of low-income households, participating in job training programs which lead to industry-recognized credentials or certifications.

If the project meets the AB 1550 population criteria in Step 1, addresses a community or household need as described in Step 2, and can demonstrate that it meets at least one of the benefit criteria in Step 3, it will count toward AB 1550 investment minimums.

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Table 2.A-7 Water Use and Energy Efficiency

Projects will achieve GHG reductions by reducing both water and energy use (e.g. improving the energy and water efficiency of water supply; installing water and energy saving appliances; increasing water and energy efficiency of agricultural irrigation systems).

Potential Administering Agencies: DWR, CDFA, SGC

When selecting projects for a given investment, give priority to those that maximize benefits to AB 1550 populations²³ (e.g., use scoring criteria that favor projects which provide multiple benefits or the most significant benefits).

CRITERIA TO EVALUATE PROJECTS FOR AB 1550 BENEFITS

Agencies can also use criteria in other tables if applicable to the project type being evaluated. Projects must satisfy the applicable criteria through Step 3 to be considered an AB 1550 benefit and count toward AB 1550 investment minimums.

Step 1 – AB 1550 Populations. Evaluate the project²⁴ against each of the following criteria for a disadvantaged community, low-income community, or a low-income household. Check all boxes that apply.

- A. Is the entire project located **within the boundaries of a disadvantaged community census tract**?
- B. Is the entire project located **within the boundaries of a low-income community census tract**?
- C. Is the entire project located outside of a disadvantaged community, but **within ½-mile of a disadvantaged community and within a low-income community census tract**?
- D. For projects that distribute consumer-based incentives (e.g., vouchers, rebates), is the direct recipient of the incentive a **resident of a disadvantaged community census tract**?
- E. For projects that distribute consumer-based incentives (e.g., vouchers, rebates), is the direct recipient of the incentive a **resident of a low-income community**?
- F. Is the entire project located **within a low-income household** (e.g. upgraded fixtures or appliances that conserve water and save energy)?

²³ AB 1550 populations include residents of: (1) census tracts identified as disadvantaged by CalEPA, (2) census tracts identified as low-income, or (3) a low-income household. For identification of disadvantaged communities and low-income communities, refer to: www.calepa.ca.gov/EnvJustice/GHGInvest. A “look-up” tool and a list of HCD’s “low-income” thresholds by county and household size are available at: www.arb.ca.gov/auctionproceeds. Only areas that are designated on these maps and lists will be considered disadvantaged or low-income for the purposes of California Climate Investments.

²⁴ If a “project” is defined as a grant that provides funding in several locations, the grantee will need to identify and track the amount of funding that is spent in locations with AB 1550 populations. Only the portion of grant funding that is spent in identified AB 1550 locations in Step 1 may be counted toward AB 1550 investment minimums, provided criteria in Steps 2 and 3 are also met. For the purposes of AB 1550 benefits assessment, a project should be evaluated at the location where actions are taken by the end-recipients of GGRF funds to reduce GHG emissions or at the location where a consumer-based incentive is distributed.

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Table 2.A-7 Water Use and Energy Efficiency

Step 1 – AB 1550 Populations (continued). Evaluate the project against each of the following criteria for a disadvantaged community, low-income community, or a low-income household. Check all boxes that apply.

- G. Is the entire project located **within a low-income household** that is outside of a disadvantaged community, but **within ½ -mile of a disadvantaged community**?
- H. For projects that distribute consumer-based incentives (e.g., vouchers, rebates), is the direct recipient of the incentive **a resident of a low-income household**?
- I. Does the project provide jobs or job training to **residents of low-income households**?

*If **at least one box** of the AB 1550 population criteria in Step 1 is checked, go to Step 2 for further evaluation. If no criteria in Step 1 apply, the project will not count toward AB 1550 investment minimums.*

Step 2 – Addresses an Important Need for a Community or Household. If a project meets the AB 1550 population criteria in Step 1, agencies and/or applicants must identify an important community or household need that the project will address and evaluate the project to confirm that it will address that need. Note: After project implementation, agencies must report on which important needs the project addresses.

To identify a need that the project will address, agencies and/or applicants can use a variety of approaches such as:

- A. Host community meetings, workshops, outreach efforts, or public meetings as part of planning process to engage local residents and community groups for input on community or household needs provide documentation showing how the received input was considered in the selection of projects that address those needs;
- B. Look at the individual factors in CalEnviroScreen 3.0 that are most impacting an identified disadvantaged or low-income community (i.e., factors that score above the 75th percentile), and select a project that reduces the impacts of one of those factors;
- C. Receive documentation of support from local community-based organizations and/or residents (e.g., letters or emails) and select a project with documented broad community support; or
- D. Refer to the list of common needs for disadvantaged communities in CARB’s Funding Guidelines Table 2-2 and select a project that addresses a listed need.

If the project addresses a community or household need as described in Step 2, go to Step 3 for further evaluation. If the project does not address a community or household need, it will not count toward AB 1550 investment minimums.

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Table 2.A-7 Water Use and Energy Efficiency

Step 3 – Project Benefits. *If a project meets criteria in Step 1 and addresses an important need for a community or household in Step 2, evaluate the project against each of the following criteria to determine if it provides direct, meaningful, and assured benefits to residents of an AB 1550 community or low-income household. Check all boxes that apply.*

Project must meet at least one of the following criteria focused on providing water and energy use improvements and economic benefits to AB 1550 populations:

- A. Project provides water and energy use efficiency incentives or other services that provide direct water and energy costs savings to residents of an AB 1550 community or a low-income household (e.g. residential, commercial, agricultural);
- B. Project improves, repairs, or replaces water system infrastructure within an AB 1550 community that provides direct water and energy cost savings to residents of an AB 1550 community or a low-income household;
- C. Project reduces criteria air pollutant emissions related to pumping through the reduction of fossil fuel consumption via efficiency improvements or electrification;
- D. Project includes recruitment, agreements, policies or other approaches that are consistent with federal and state law and result in at least 25 percent of project work hours performed by residents of an AB 1550 community, or by residents of low-income households; or
- E. Project includes recruitment, agreements, policies or other approaches that are consistent with federal and state law and result in at least 10 percent of project work hours performed by residents of an AB 1550 community, or by residents of low-income households, participating in job training programs which lead to industry-recognized credentials or certifications.

If the project meets the AB 1550 population criteria in Step 1, addresses a community or household need as described in Step 2, and can demonstrate that it meets at least one of the benefit criteria in Step 3, it will count toward AB 1550 investment minimums.

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Table 2.A-8 Land Conservation

Projects will achieve net GHG reductions by protecting natural and working lands from GHG-intensive development or conversion through acquisition of an agricultural land conservation easement, forest conservation easement or other protective measures such as a change to zoning ordinances.

Potential Administering Agencies: CAL FIRE, SGC, DOC

When selecting projects for a given investment, give priority to those that maximize benefits to AB 1550 populations²⁵ (e.g., use scoring criteria that favor projects which provide multiple benefits or the most significant benefits).

CRITERIA TO EVALUATE PROJECTS FOR AB 1550 BENEFITS

Agencies can also use criteria in other tables if applicable to the project type being evaluated. Projects must satisfy the applicable criteria through Step 3 to be considered an AB 1550 benefit and count toward AB 1550 investment minimums.

Step 1 – AB 1550 Populations. Evaluate the project against each of the following criteria for a disadvantaged community, low-income community, or a low-income household. Check all boxes that apply.

- A. Is a majority of the project land located **within the boundaries of a disadvantaged community census tract**?
- B. Is a majority of project land located **within the boundaries of a low-income community census tract**?
- C. Is a majority of the project land located outside of a disadvantaged community, but **within ½-mile of a disadvantaged community and within a low-income community census tract**?
- D. Does the project provide jobs or job training to residents of low-income households?

*If **at least one box** of the AB 1550 population criteria in Step 1 is checked, go to Step 2 for further evaluation. If no criteria in Step 1 apply, the project will not count toward AB 1550 investment minimums.*

²⁵ AB 1550 populations include residents of: (1) census tracts identified as disadvantaged by CalEPA, (2) census tracts identified as low-income, or (3) a low-income household. For identification of disadvantaged communities and low-income communities, refer to: www.calepa.ca.gov/EnvJustice/GHGInvest/. A “look-up” tool and a list of HCD’s “low-income” thresholds by county and household size are available at: www.arb.ca.gov/auctionproceeds. Only areas that are designated on these maps and lists will be considered disadvantaged or low-income for the purposes of California Climate Investments.

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Table 2.A-8 Land Conservation

Step 2 – Addresses an Important Need for a Community or Household. *If a project meets the AB 1550 population criteria in Step 1, agencies and/or applicants must identify an important community or household need that the project will address and evaluate the project to confirm that it will address that need. Note: After project implementation, agencies must report on which important needs the project addresses.*

To identify a need that the project will address, agencies and/or applicants can use a variety of approaches such as:

- A. Host community meetings, workshops, outreach efforts, or public meetings as part of planning process to engage local residents and community groups for input on community or household needs, and provide documentation showing how the received input was considered in the selection of projects that address those needs;
- B. Look at the individual factors in CalEnviroScreen 3.0 that are most impacting an identified disadvantaged or low-income community (i.e., factors that score above the 75th percentile), and select a project that reduces the impacts of one of those factors;
- C. Receive documentation of support from local community-based organizations and/or residents (e.g., letters or emails) and select a project with documented broad community support; or
- D. Refer to the list of common needs for disadvantaged communities in CARB’s Funding Guidelines Table 2-2 and select a project that addresses a listed need.

If the project addresses a community or household need as described in Step 2, go to Step 3 for further evaluation. If the project does not address a community or household need, it will not count toward AB 1550 investment minimums.

Step 3 – Project Benefits. *If a project meets criteria in Step 1 and addresses an important need for a community or household in Step 2, evaluate the project against each of the following criteria to determine if it provides direct, meaningful, and assured benefits to residents of an AB 1550 community or low-income household. Check all boxes that apply.*

Project must meet at least one of the following criteria focused on providing environmental improvements, economic benefits, or educational opportunities to AB 1550 populations:

- A. Project preserves a site where at least a majority (>50%) of the land is located within an AB 1550 community and that allows public access;
- B. Project significantly reduces flood risk to households within one or more AB 1550 communities;
- C. Project maintains water quality and health of watersheds serving AB 1550 populations through avoiding the conversion and development of forest lands that would have resulted in impacts to nearby water bodies located in the same or a directly adjacent AB 1550 community as the project;

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Table 2.A-8 Land Conservation

Step 3 – Project Benefits (continued). *If a project meets criteria in Step 1 and addresses an important need for a community or household in Step 2, evaluate the project against each of the following criteria to determine if it provides direct, meaningful, and assured benefits to residents of an AB 1550 community or low-income household. Check all boxes that apply.*

- D. Project maintains water quality and health of watersheds serving AB 1550 populations through avoiding the conversion and development of forest lands that would have resulted in impacts to nearby water bodies located in the same or a directly adjacent AB 1550 community as the project;
- E. Project increases food access to AB 1550 community residents through regular farmer’s markets, donations to food banks or distribution centers serving residents of these communities or low-income households; or
- F. Project provides educational opportunities through partnerships with schools or non-profit organizations located in AB 1550 communities and site access to residents of these communities.

If the project meets the AB 1550 population criteria in Step 1, addresses a community or household need as described in Step 2, and can demonstrate that it meets at least one of the benefit criteria in Step 3, it will count toward AB 1550 investment minimums.

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Table 2.A-9 Land Restoration and Forest Health

Projects will achieve net GHG reductions by increasing carbon sequestration and/or storage through restoration of natural lands. Forest health projects may achieve further GHG reductions through utilization of biomass or solid wood materials.

Potential Administering Agencies: CAL FIRE, SGC, DFW

When selecting projects for a given investment, give priority to those that maximize benefits to AB 1550 populations²⁶ (e.g., use scoring criteria that favor projects which provide multiple benefits or the most significant benefits).

CRITERIA TO EVALUATE PROJECTS FOR AB 1550 BENEFITS

Agencies can also use criteria in other tables if applicable to the project type being evaluated. Projects must satisfy the applicable criteria through Step 3 to be considered an AB 1550 benefit and count toward AB 1550 investment minimums.

Step 1 – AB 1550 Populations. *Evaluate the project against each of the following criteria for a disadvantaged community, low-income community, or a low-income household. Check all boxes that apply.*

- A. Is at least a majority of the project located **within the boundaries of a disadvantaged community census tract**?
- B. Is at least a majority of the project located **within the boundaries of a low-income community census tract**?
- C. Is at least a majority the project located outside of a disadvantaged community, but **within ½-mile of a disadvantaged community and within a low-income community census tract**?
- D. Does the project provide jobs or job training to **residents of low-income households**?

If at least one box of the AB 1550 population criteria in Step 1 is checked, go to Step 2 for further evaluation. If no criteria in Step 1 apply, the project will not count toward AB 1550 investment minimums.

²⁶ AB 1550 populations include residents of: (1) census tracts identified as disadvantaged by CalEPA, (2) census tracts identified as low-income, or (3) a low-income household. For identification of disadvantaged communities and low-income communities, refer to: www.calepa.ca.gov/EnvJustice/GHGInvest. A “look-up” tool and a list of HCD’s “low-income” thresholds by county and household size are available at: www.arb.ca.gov/auctionproceeds. Only areas that are designated on these maps and lists will be considered disadvantaged or low-income for the purposes of California Climate Investments.

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Table 2.A-9 Land Restoration and Forest Health

Step 2 – Addresses an Important Need for a Community or Household. *If a project meets the AB 1550 population criteria in Step 1, agencies and/or applicants must identify an important community or household need that the project will address and evaluate the project to confirm that it will address that need. Note: After project implementation, agencies must report on which important needs the project addresses.*

To identify a need that the project will address, agencies and/or applicants can use a variety of approaches such as:

- A. Host community meetings, workshops, outreach efforts, or public meetings as part of planning process to engage local residents and community groups for input on community or household needs, and provide documentation showing how the received input was considered in the selection of projects that address those needs;
- B. Look at the individual factors in CalEnviroScreen 3.0 that are most impacting an identified disadvantaged or low-income community (i.e., factors that score above the 75th percentile), and select a project that reduces the impacts of one of those factors;
- C. Receive documentation of support from local community-based organizations and/or residents (e.g., letters or emails) and select a project with documented broad community support; or
- D. Refer to the list of common needs for disadvantaged communities in CARB’s Funding Guidelines Table 2-2 and select a project that addresses a listed need.

If the project addresses a community or household need as described in Step 2, go to Step 3 for further evaluation. If the project does not address a community or household need, it will not count toward AB 1550 investment minimums.

Step 3 – Project Benefits. *If a project meets criteria in Step 1 and addresses an important need for a community or household in Step 2, evaluate the project against each of the following criteria to determine if it provides direct, meaningful, and assured benefits to residents of an AB 1550 community or low-income household. Check all boxes that apply.*

Project must meet at least one of the following criteria focused on providing environmental improvements, educational or economic opportunities for AB 1550 populations:

- A. Project restores a site where at least a majority (>50%) of the land is located within an AB 1550 community and that allows public access;
- B. Project significantly reduces flood risk to households within one or more AB 1550 communities;
- C. Project significantly reduces fire risk to households within one or more AB 1550 communities;

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Table 2.A-9 Land Restoration and Forest Health

Step 3 – Project Benefits (continued). *If a project meets criteria in Step 1 and addresses an important need for a community or household in Step 2, evaluate the project against each of the following criteria to determine if it provides direct, meaningful, and assured benefits to residents of an AB 1550 community or low-income household. Check all boxes that apply.*

- D. Project provides educational opportunities through partnerships with schools or non-profit organizations located in AB 1550 communities and site access to residents of these communities;
- E. Project includes recruitment, agreements, policies or other approaches that are consistent with federal and state law and result in at least 25 percent of project work hours performed by residents of an AB 1550 community, or by residents of low-income households; or
- F. Project includes recruitment, agreements, policies or other approaches that are consistent with federal and state law and result in at least 10 percent of project work hours performed by residents of an AB 1550 community, or by residents of low-income households, participating in job training programs which lead to industry-recognized credentials or certifications.

If the project meets the AB 1550 population criteria in Step 1, addresses a community or household need as described in Step 2, and can demonstrate that it meets at least one of the benefit criteria in Step 3, it will count toward AB 1550 investment minimums.

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Appendix 2.A

Table 2.A-10 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, and may also reduce energy usage through improving the green canopy and providing shade. Urban greening projects also reduce vehicle miles travelled through new or expanded active transportation routes.

Potential administering agencies: CAL FIRE, CNRA, SGC

When selecting projects for a given investment, give priority to those that maximize benefits to AB 1550 populations²⁷ (e.g., use scoring criteria that favor projects which provide multiple benefits or the most significant benefits).

CRITERIA TO EVALUATE PROJECTS FOR AB 1550 BENEFITS

Agencies can also use criteria in other tables if applicable to the project type being evaluated. Projects must satisfy the applicable criteria through Step 3 to be considered an AB 1550 benefit and count toward AB 1550 investment minimums.

Step 1 – AB 1550 Populations. Evaluate the project against each of the following criteria for a disadvantaged community, low-income community, or a low-income household. Check all boxes that apply.

- A. Is a majority of the project located **within the boundaries of a disadvantaged community census tract**?
- B. Is a majority of the project located **within the boundaries of a low-income community census tract**?
- C. Is a majority of the project located outside of a disadvantaged community, but **within ½-mile of a disadvantaged community and within a low-income community census tract**?
- D. Does the project provide jobs or job training to **residents of low-income households**?

If at least one box of the AB 1550 population criteria in Step 1 is checked, go to Step 2 for further evaluation. If no criteria in Step 1 apply, the project will not count toward AB 1550 investment minimums.

²⁷ AB 1550 populations include residents of: (1) census tracts identified as disadvantaged by CalEPA, (2) census tracts identified as low-income, or (3) a low-income household. For identification of disadvantaged communities and low-income communities, refer to: www.calepa.ca.gov/EnvJustice/GHGInvest. A “look-up” tool and a list of HCD’s “low-income” thresholds by county and household size are available at: www.arb.ca.gov/auctionproceeds. Only areas that are designated on these maps and lists will be considered disadvantaged or low-income for the purposes of California Climate Investments.

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Table 2.A-10 Urban Forestry and Urban Greening

Step 2 – Addresses an Important Need for a Community or Household. *If a project meets the AB 1550 population criteria in Step 1, agencies and/or applicants must identify an important community or household need that the project will address and evaluate the project to confirm that it will address that need. Note: After project implementation, agencies must report on which important needs the project addresses.*

To identify a need that the project will address, agencies and/or applicants can use a variety of approaches such as:

- A. Host community meetings, workshops, outreach efforts, or public meetings as part of planning process to engage local residents and community groups for input on community or household needs, and provide documentation showing how the received input was considered in the selection of projects that address those needs;
- B. Look at the individual factors in CalEnviroScreen 3.0 that are most impacting an identified disadvantaged or low-income community (i.e., factors that score above the 75th percentile), and select a project that reduces the impacts of one of those factors;
- C. Receive documentation of support from local community-based organizations and/or residents (e.g., letters or emails) and select a project with documented broad community support; or
- D. Refer to the list of common needs for disadvantaged communities in CARB’s Funding Guidelines Table 2-2 and select a project that addresses a listed need.

If the project addresses a community or household need as described in Step 2, go to Step 3 for further evaluation. If the project does not address a community or household need, it will not count toward AB 1550 investment minimums.

Step 3 – Project Benefits. *If a project meets criteria in Step 1 and addresses an important need for a community or household in Step 2, evaluate the project against each of the following criteria to determine if it provides direct, meaningful, and assured benefits to residents of an AB 1550 community or low-income household. Check all boxes that apply.*

Project must meet at least one of the following criteria focused on providing environmental improvements, green space or open space, and economic opportunities to AB 1550 populations:

- A. The majority (>50%) of trees planted by the project are located within one or more AB 1550 communities, and the project terms provide for maintenance of the trees and related vegetation;
- B. Project significantly reduces flood risk to households within one or more AB 1550 communities;

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Table 2.A-10 Urban Forestry and Urban Greening

Step 3 – Project Benefits (continued). *If a project meets criteria in Step 1 and addresses an important need for a community or household in Step 2, evaluate the project against each of the following criteria to determine if it provides direct, meaningful, and assured benefits to residents of an AB 1550 community or low-income household. Check all boxes that apply.*

- C. Project expands or improves the usability of existing active transportation routes (e.g., walking or bicycle paths) or creates new active transportation routes that are publicly accessible by walking within one or more AB 1550 communities, or improves open spaces, parks, greenbelts, and recreational areas publicly accessible by walking within one or more AB 1550 communities;
- D. Project includes recruitment, agreements, policies or other approaches that are consistent with federal and state law and result in at least 25 percent of project work hours performed by residents of an AB 1550 community, or by residents of low-income households; or
- E. Project includes recruitment, agreements, policies or other approaches that are consistent with federal and state law and result in at least 10 percent of project work hours performed by residents of an AB 1550 community, or by residents of low-income households, participating in job training programs which lead to industry-recognized credentials or certifications.

If the project meets the AB 1550 population criteria in Step 1, addresses a community or household need as described in Step 2, and can demonstrate that it meets at least one of the benefit criteria in Step 3, it will count toward AB 1550 investment minimums.

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Table 2.A-11 Waste Diversion and Utilization

Projects will achieve GHG reductions by reducing or diverting waste from landfills or agricultural operations to other productive uses (e.g., composting operations, dairy digesters, conversion from lagoon to dry scrape manure management, biomass utilization, anaerobic digestion, and recycling). Projects may further reduce GHG emissions through the generation of renewable energy or fuel.

Potential administering agencies: CalRecycle, CDFA, CAL FIRE, SGC

When selecting projects for a given investment, give priority to those that maximize benefits to AB 1550 populations²⁸ (e.g., use scoring criteria that favor projects which provide multiple benefits or the most significant benefits).

CRITERIA TO EVALUATE PROJECTS FOR AB 1550 BENEFITS

Agencies can also use criteria in other tables if applicable to the project type being evaluated. Projects must satisfy the applicable criteria through Step 3 to be considered an AB 1550 benefit and count toward AB 1550 investment minimums.

Step 1 – AB 1550 Populations. *Evaluate the project against each of the following criteria for a disadvantaged community, low-income community, or a low-income household. Check all boxes that apply.*

- A. Is a majority of the project located **within the boundaries of a disadvantaged community census tract**?
- B. Is a majority of the project located **within the boundaries of a low-income community census tract**?
- C. Is a majority of the project located outside of a disadvantaged community, but **within ½-mile of a disadvantaged community and within a low-income community census tract**?
- D. Does the project directly benefit **residents of low-income households** (e.g. food or textile access)?
- E. Does the project provide jobs or job training to **residents of low-income households**?

If at least one box of the AB 1550 population criteria in Step 1 is checked, go to Step 2 for further evaluation. If no criteria in Step 1 apply, the project will not count toward AB 1550 investment minimums.

²⁸ AB 1550 populations include residents of: (1) census tracts identified as disadvantaged by CalEPA, (2) census tracts identified as low-income, or (3) a low-income household. For identification of disadvantaged communities and low-income communities, refer to: www.calepa.ca.gov/EnvJustice/GHGInvest. A “look-up” tool and a list of HCD’s “low-income” thresholds by county and household size are available at: www.arb.ca.gov/auctionproceeds. Only areas that are designated on these maps and lists will be considered disadvantaged or low-income for the purposes of California Climate Investments.

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Table 2.A-11 Waste Diversion and Utilization

Step 2 – Addresses an Important Need for a Community or Household. *If a project meets the AB 1550 population criteria in Step 1, agencies and/or applicants must identify an important community or household need that the project will address and evaluate the project to confirm that it will address that need. Note: After project implementation, agencies must report on which important needs the project addresses.*

To identify a need that the project will address, agencies and/or applicants can use a variety of approaches such as:

- A. Host community meetings, workshops, outreach efforts, or public meetings as part of planning process to engage local residents and community groups for input on community or household needs, and provide documentation showing how the received input was considered in the selection of projects that address those needs;
- B. Look at the individual factors in CalEnviroScreen 3.0 that are most impacting an identified disadvantaged or low-income community (i.e., factors that score above the 75th percentile), and select a project that reduces the impacts of one of those factors;
- C. Receive documentation of support from local community-based organizations and/or residents (e.g., letters or emails) and select a project with documented broad community support; or
- D. Refer to the list of common needs for disadvantaged communities in CARB’s Funding Guidelines Table 2-2 and select a project that addresses a listed need.

If the project addresses a community or household need as described in Step 2, go to Step 3 for further evaluation. If the project does not address a community or household need, it will not count toward AB 1550 investment minimums.

Step 3 – Project Benefits. *If a project meets criteria in Step 1 and addresses an important need for a community or household in Step 2, evaluate the project against each of the following criteria to determine if it provides direct, meaningful, and assured benefits to residents of an AB 1550 community or low-income household. Check all boxes that apply.*

Project must meet at least one of the following criteria focused on providing environmental improvements, educational or economic opportunities for AB 1550 populations:

- A. The majority (>50%) of waste utilized, recovered or processed by the project is diverted from landfills located in AB 1550 communities;
- B. Project reduces odor causing pollutants (such as H₂S or NH₃) or criteria air pollutant or toxic air contaminant emissions in an AB 1550 community without increasing any other criteria air pollutant or toxic air contaminant emissions;
- C. Food rescue project increases food access to residents of AB 1550 communities or low-income households;

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Table 2.A-11 Waste Diversion and Utilization

Step 3 – Project Benefits (continued). *If a project meets criteria in Step 1 and addresses an important need for a community or household in Step 2, evaluate the project against each of the following criteria to determine if it provides direct, meaningful, and assured benefits to residents of an AB 1550 community or low-income household. Check all boxes that apply.*

- D. Textile rescue and reuse project provides access to textiles in good used condition or better (including but not limited to clothing, linens, and towels) to residents of AB 1550 communities or low-income households;
- E. Project includes recruitment, agreements, policies or other approaches that are consistent with federal and state law and result in at least 25 percent of project work hours performed by residents of an AB 1550 community, or by residents of low-income households; or
- F. Project includes recruitment, agreements, policies or other approaches that are consistent with federal and state law and result in at least 10 percent of project work hours performed by residents of an AB 1550 community, or by residents of low-income households, participating in job training programs which lead to industry-recognized credentials or certifications.

If the project meets the AB 1550 population criteria in Step 1, addresses a community or household need as described in Step 2, and can demonstrate that it meets at least one of the benefit criteria in Step 3, it will count toward AB 1550 investment minimums.

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Table 2.A-12 Woodsmoke Reduction

Projects will achieve GHG reductions by reducing woodsmoke from residential wood stoves through replacement with cleaner, more efficient heating devices and by reducing residential green waste burning through waste diversion.
 Potential administering agency: CARB, SGC

When selecting projects for a given investment, give priority to those that maximize benefits to AB 1550 populations²⁹ (e.g., use scoring criteria that favor projects which provide multiple benefits or the most significant benefits).

CRITERIA TO EVALUATE PROJECTS FOR AB 1550 BENEFITS

Agencies can also use criteria in other tables if applicable to the project type being evaluated. Projects must satisfy the applicable criteria through Step 3 to be considered an AB 1550 benefit and count toward AB 1550 investment minimums.

Step 1 – AB 1550 Populations. Evaluate the project against each of the following criteria for a disadvantaged community, low-income community, or a low-income household. Check all boxes that apply.

- A. Is the project located **within the boundaries of a disadvantaged community census tract?**
- B. Is the project located **within the boundaries of a low-income community census tract?**
- C. Is the project located outside of a disadvantaged community, but **within ½-mile of a disadvantaged community and within a low-income community census tract?**
- D. Is the project located **within a low-income household?**
- E. Is the project located **within a low-income household** that is outside of a disadvantaged community, but **within ½ -mile of a disadvantaged community?**
- F. Does the project provide jobs or job training to **residents of low-income households?**

If at least one box of the AB 1550 population criteria in Step 1 is checked, go to Step 2 for further evaluation. If no criteria in Step 1 apply, the project will not count toward AB 1550 investment minimums.

²⁹ AB 1550 populations include residents of: (1) census tracts identified as disadvantaged by CalEPA, (2) census tracts identified as low-income, or (3) a low-income household. For identification of disadvantaged communities and low-income communities, refer to: www.calepa.ca.gov/EnvJustice/GHGInvest. A “look-up” tool and a list of HCD’s “low-income” thresholds by county and household size are available at: www.arb.ca.gov/auctionproceeds. Only areas that are designated on these maps and lists will be considered disadvantaged or low-income for the purposes of California Climate Investments.

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Table 2.A-12 Woodsmoke Reduction

Step 2 – Addresses an Important Need for a Community or Household. *If a project meets the AB 1550 population criteria in Step 1, agencies and/or applicants must identify an important community or household need that the project will address and evaluate the project to confirm that it will address that need. Note: After project implementation, agencies must report on which important needs the project addresses.*

To identify a need that the project will address, agencies and/or applicants can use a variety of approaches such as:

- A. Host community meetings, workshops, outreach efforts, or public meetings as part of planning process to engage local residents and community groups for input on community or household needs and provide documentation showing how the received input was considered in the selection of projects that address those needs;
- B. Look at the individual factors in CalEnviroScreen 3.0 that are most impacting an identified disadvantaged or low-income community (i.e., factors that score above the 75th percentile), and select a project that reduces the impacts of one of those factors;
- C. Receive documentation of support from local community-based organizations and/or residents (e.g., letters or emails) and select a project with documented broad community support;
- D. Refer to the list of common needs for disadvantaged communities in CARB’s Funding Guidelines Table 2-2 and select a project that addresses a listed need.

If the project addresses a community or household need as described in Step 2, go to Step 3 for further evaluation. If the project does not address a community or household need, it will not count toward AB 1550 investment minimums.

Step 3 – Project Benefits. *If a project meets criteria in Step 1 and addresses an important need for a community or household in Step 2, evaluate the project against each of the following criteria to determine if it provides direct, meaningful, and assured benefits to residents of an AB 1550 community or low-income household. Check all boxes that apply.*

Project must meet at least one of the following criteria focused reducing air pollution and providing economic benefits to AB 1550 populations:

- A. At a physical address in an AB 1550 community or low-income household, 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, and thereby reduces energy costs to residents;
- B. Project provides incentives for residents located within an AB 1550 community or low-income households to avoid burning green waste and use alternative approved disposal practices;

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Table 2.A-12 Woodsmoke Reduction

Step 3 – Project Benefits (continued). *If a project meets criteria in Step 1 and addresses an important need for a community or household in Step 2, evaluate the project against each of the following criteria to determine if it provides direct, meaningful, and assured benefits to residents of an AB 1550 community or low-income household. Check all boxes that apply.*

- C. Project includes recruitment, agreements, policies or other approaches that are consistent with federal and state law and result in at least 25 percent of project work hours performed by residents of an AB 1550 community, or by residents of low-income households; or
- D. Project includes recruitment, agreements, policies or other approaches that are consistent with federal and state law and result in at least 10 percent of project work hours performed by residents of an AB 1550 community, or by residents of low-income households, participating in job training programs which lead to industry-recognized credentials or certifications.

If the project meets the AB 1550 population criteria in Step 1, addresses a community or household need as described in Step 2, and can demonstrate that it meets at least one of the benefit criteria in Step 3, it will count toward AB 1550 investment minimums.

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Table 2.A-13 Healthy Soils

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, SGC

When selecting projects for a given investment, give priority to those that maximize benefits to AB 1550 populations³⁰ (e.g., use scoring criteria that favor projects which provide multiple benefits or the most significant benefits).

CRITERIA TO EVALUATE PROJECTS FOR AB 1550 BENEFITS

Agencies can also use criteria in other tables if applicable to the project type being evaluated. Projects must satisfy the applicable criteria through Step 3 to be considered an AB 1550 benefit and count toward AB 1550 investment minimums.

Step 1 – AB 1550 Populations. *Evaluate the project against each of the following criteria for a disadvantaged community, low-income community, or a low-income household. Check all boxes that apply.*

- A. Is a majority of the project located **within the boundaries of a disadvantaged community census tract**?
- B. Is a majority of the project located **within the boundaries of a low-income community census tract**?
- C. Is a majority of the project located outside of a disadvantaged community, but **within ½-mile of a disadvantaged community and within a low-income community census tract**?
- D. Does the project directly benefit **residents of low-income households** (e.g., food access)?
- E. Does the project provide jobs or job training to **residents of low-income households**?

If at least one box of the AB 1550 population criteria in Step 1 is checked, go to Step 2 for further evaluation. If no criteria in Step 1 apply, the project will not count toward AB 1550 investment minimums.

³⁰ AB 1550 populations include residents of: (1) census tracts identified as disadvantaged by CalEPA, (2) census tracts identified as low-income, or (3) a low-income household. For identification of disadvantaged communities and low-income communities refer to: www.calepa.ca.gov/EnvJustice/GHGInvest. A “look-up” tool and a list of HCD’s “low-income” thresholds by county and household size are available at: www.arb.ca.gov/auctionproceeds. Only areas that are designated on these maps and lists will be considered disadvantaged or low-income for the purposes of California Climate Investments.

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Table 2.A-13 Healthy Soils

Step 2 – Addresses an Important Need for a Community or Household. *If a project meets the AB 1550 population criteria in Step 1, agencies and/or applicants must identify an important community or household need that the project will address and evaluate the project to confirm that it will address that need. Note: After project implementation, agencies must report on which important needs the project addresses.*

To identify a need that the project will address, agencies and/or applicants can use a variety of approaches such as:

- A. Host community meetings, workshops, outreach efforts, or public meetings as part of planning process to engage local residents and community groups for input on community or household needs and provide documentation showing how the received input was considered in the selection of projects that address those needs;
- B. Look at the individual factors in CalEnviroScreen 3.0 that are most impacting an identified disadvantaged or low-income community (i.e., factors that score above the 75th percentile), and select a project that reduces the impacts of one of those factors;
- C. Receive documentation of support from local community-based organizations and/or residents (e.g., letters or emails) and select a project with documented broad community support; or
- D. Refer to the list of common needs for disadvantaged communities in CARB’s Funding Guidelines Table 2-2 and select a project that addresses a listed need.

If the project addresses a community or household need as described in Step 2, go to Step 3 for further evaluation. If the project does not address a community or household need, it will not count toward AB 1550 investment minimums.

Step 3 – Project Benefits. *If a project meets criteria in Step 1 and addresses an important need for a community or household in Step 2, evaluate the project against each of the following criteria to determine if it provides direct, meaningful, and assured benefits to residents of an AB 1550 community or low-income household. Check all boxes that apply.*

Project must meet at least one of the following criteria focused on providing environmental improvements, social benefits, or economic opportunities to AB 1550 populations:

- A. The majority (>50%) of the project (e.g. no till, cover crops) is located within one or more AB 1550 communities and the project significantly reduces exposure to dust and airborne particles to residents, relative to pre-project levels;
- B. Project increases food access to AB 1550 community residents through regular farmers markets, donations to food banks or distribution centers serving residents of these communities or low-income households;
- C. Project provides educational opportunities through partnerships with schools or non-profit organizations located in AB 1550 communities and site access to residents of these communities;

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Table 2.A-13 Healthy Soils

Step 3 – Project Benefits (continued). *If a project meets criteria in Step 1 and addresses an important need for a community or household in Step 2, evaluate the project against each of the following criteria to determine if it provides direct, meaningful, and assured benefits to residents of an AB 1550 community or low-income household. Check all boxes that apply.*

- D. Project includes recruitment, agreements, policies or other approaches that are consistent with federal and state law and result in at least 25 percent of project work hours performed by residents of an AB 1550 community, or by residents of low-income households; or
- E. Project includes recruitment, agreements, policies or other approaches that are consistent with federal and state law and result in at least 10 percent of project work hours performed by residents of an AB 1550 community, or by residents of low-income households, participating in job training programs which lead to industry-recognized credentials or certifications.

If the project meets the AB 1550 population criteria in Step 1, addresses a community or household need as described in Step 2, and can demonstrate that it meets at least one of the benefit criteria in Step 3, it will count toward AB 1550 investment minimums.

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APPENDIX 2.B

Supporting Maps and Lists of AB 1550 Populations

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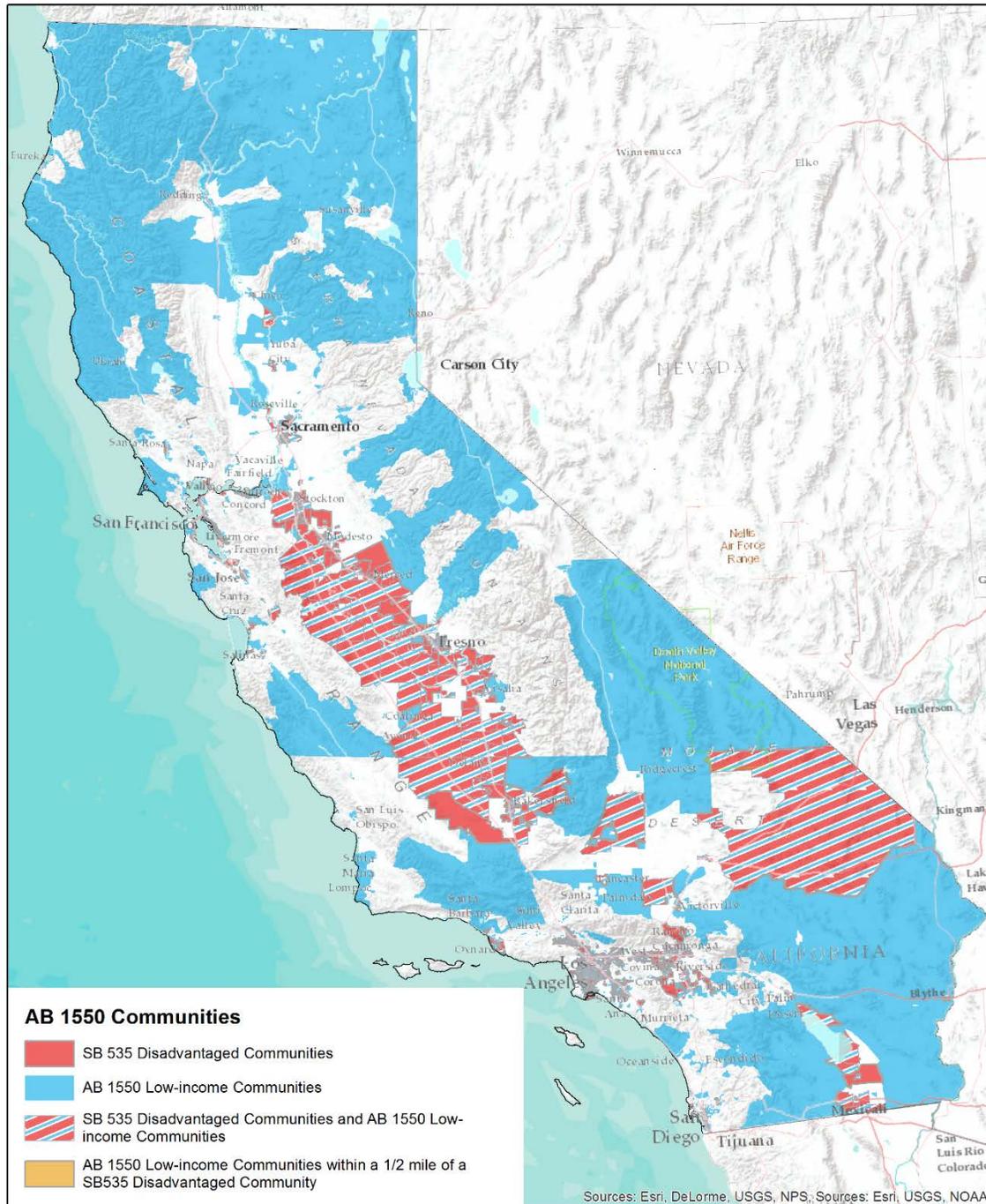
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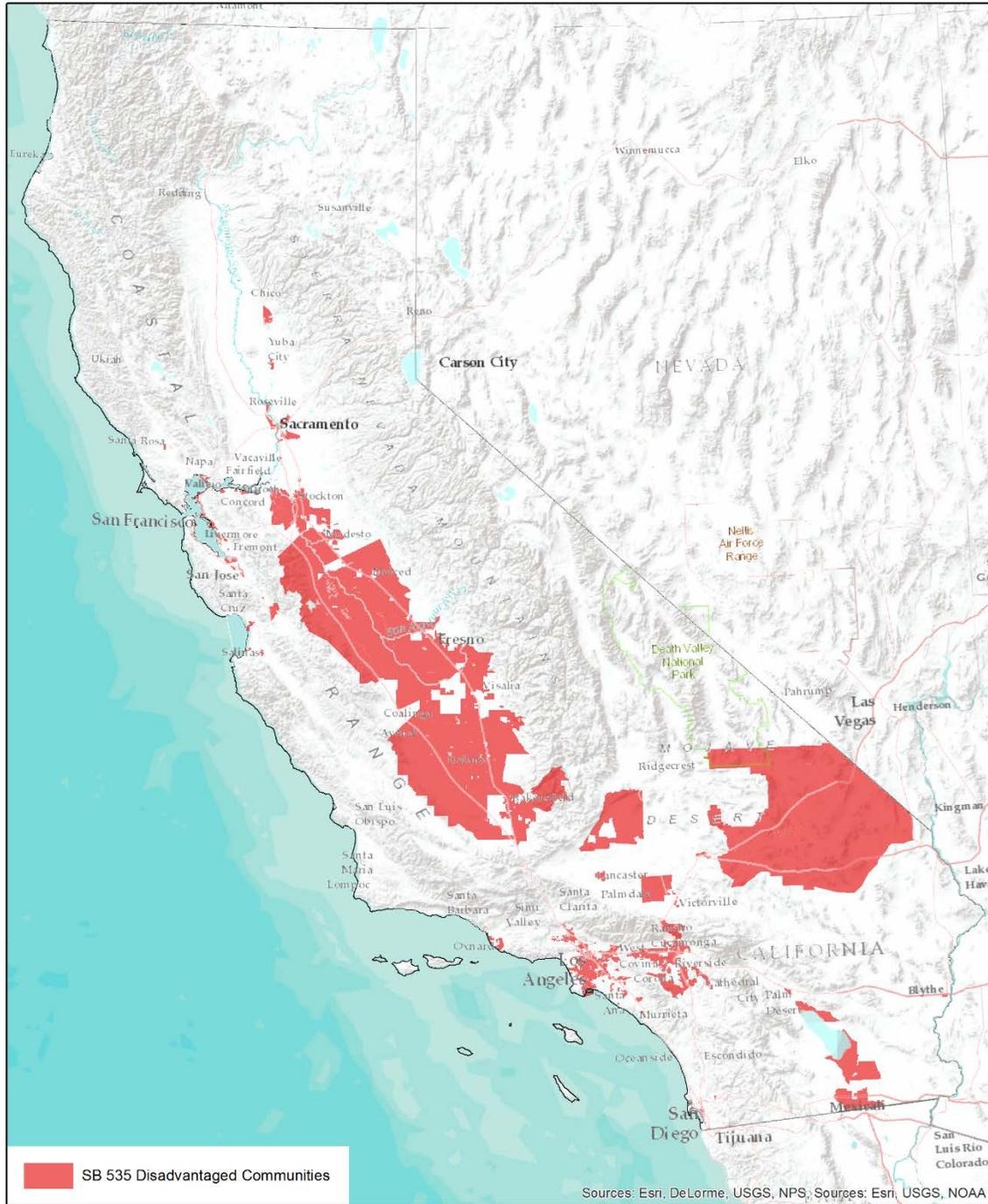
Figure 2.B-1 Statewide Map of AB 1550 communities



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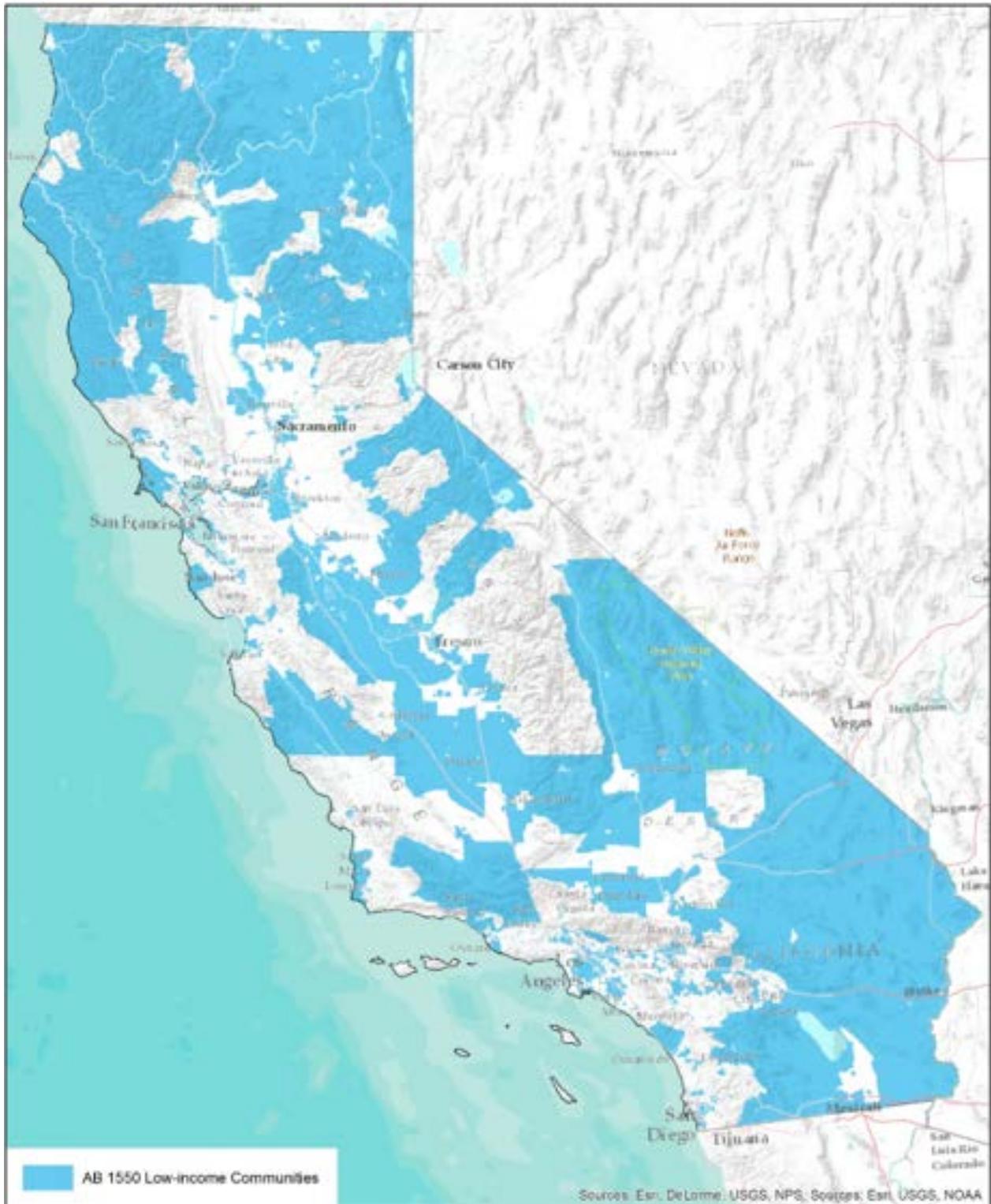
Figure 2.B-2 Statewide Map of Disadvantaged Communities



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Figure 2.B-3 Statewide Map of Low-income Communities



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Appendix 2.B

Table 2.B-1 List of “Low-income” Thresholds by County and Household Size³¹

County	Household Size							
	1	2	3	4	5	6	7	8
Alameda	\$52,650	\$60,150	\$67,650	\$75,150	\$81,200	\$87,200	\$93,200	\$99,200
Alpine	\$46,100	\$52,650	\$59,250	\$65,800	\$71,100	\$76,350	\$81,600	\$86,900
Amador	\$40,500	\$46,300	\$52,100	\$57,850	\$62,500	\$67,150	\$71,750	\$76,400
Butte	\$33,000	\$37,700	\$42,400	\$47,100	\$50,900	\$54,650	\$58,450	\$62,200
Calaveras	\$39,350	\$44,950	\$50,550	\$56,150	\$60,650	\$65,150	\$69,650	\$74,150
Colusa	\$33,000	\$37,700	\$42,400	\$47,100	\$50,900	\$54,650	\$58,450	\$62,200
Contra Costa	\$52,650	\$60,150	\$67,650	\$75,150	\$81,200	\$87,200	\$93,200	\$99,200
Del Norte	\$33,000	\$37,700	\$42,400	\$47,100	\$50,900	\$54,650	\$58,450	\$62,200
El Dorado	\$42,650	\$48,750	\$54,850	\$60,900	\$65,800	\$70,650	\$75,550	\$80,400
Fresno	\$33,000	\$37,700	\$42,400	\$47,100	\$50,900	\$54,650	\$58,450	\$62,200
Glenn	\$33,000	\$37,700	\$42,400	\$47,100	\$50,900	\$54,650	\$58,450	\$62,200
Humboldt	\$33,000	\$37,700	\$42,400	\$47,100	\$50,900	\$54,650	\$58,450	\$62,200
Imperial	\$33,000	\$37,700	\$42,400	\$47,100	\$50,900	\$54,650	\$58,450	\$62,200
Inyo	\$40,350	\$46,100	\$51,850	\$57,600	\$62,250	\$66,850	\$71,450	\$76,050
Kern	\$33,000	\$37,700	\$42,400	\$47,100	\$50,900	\$54,650	\$58,450	\$62,200
Kings	\$33,000	\$37,700	\$42,400	\$47,100	\$50,900	\$54,650	\$58,450	\$62,200
Lake	\$33,000	\$37,700	\$42,400	\$47,100	\$50,900	\$54,650	\$58,450	\$62,200
Lassen	\$38,850	\$44,400	\$49,950	\$55,500	\$59,950	\$64,400	\$68,850	\$73,300
Los Angeles	\$48,650	\$55,600	\$62,550	\$69,450	\$75,050	\$80,600	\$86,150	\$91,700
Madera	\$33,000	\$37,700	\$42,400	\$47,100	\$50,900	\$54,650	\$58,450	\$62,200
Marin	\$68,950	\$78,800	\$88,650	\$98,500	\$106,400	\$114,300	\$122,150	\$130,050
Mariposa	\$35,800	\$40,900	\$46,000	\$51,100	\$55,200	\$59,300	\$63,400	\$67,500
Mendocino	\$34,100	\$39,000	\$43,850	\$48,700	\$52,600	\$56,500	\$60,400	\$64,300
Merced	\$33,000	\$37,700	\$42,400	\$47,100	\$50,900	\$54,650	\$58,450	\$62,200
Modoc	\$33,000	\$37,700	\$42,400	\$47,100	\$50,900	\$54,650	\$58,450	\$62,200
Mono	\$44,750	\$51,150	\$57,550	\$63,900	\$69,050	\$74,150	\$79,250	\$84,350
Monterey	\$42,650	\$48,750	\$54,850	\$60,900	\$65,800	\$70,650	\$75,550	\$80,400
Napa	\$48,950	\$55,950	\$62,950	\$69,900	\$75,500	\$81,100	\$86,700	\$92,300
Nevada	\$42,950	\$49,050	\$55,200	\$61,300	\$66,250	\$71,150	\$76,050	\$80,950
Orange	\$54,600	\$62,400	\$70,200	\$78,000	\$84,250	\$90,500	\$96,750	\$103,000
Placer	\$42,650	\$48,750	\$54,850	\$60,900	\$65,800	\$70,650	\$75,550	\$80,400

³¹ California Department of Housing and Community Development. “State and Federal Income, Rent, and Loan/Value Limits: Official State Income Limits for 2016.” www.hcd.ca.gov/grants-funding/income-limits/state-and-federal-income-limits.shtml

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Appendix 2.B

Table 2.B-1 List of “Low-income” Thresholds by County and Household Size
(continued)

County	Household Size							
	1	2	3	4	5	6	7	8
Plumas	\$34,750	\$39,700	\$44,650	\$49,600	\$53,600	\$57,550	\$61,550	\$65,500
Riverside	\$37,550	\$42,900	\$48,250	\$53,600	\$57,900	\$62,200	\$66,500	\$70,800
Sacramento	\$42,650	\$48,750	\$54,850	\$60,900	\$65,800	\$70,650	\$75,550	\$80,400
San Benito	\$45,100	\$51,550	\$58,000	\$64,400	\$69,600	\$74,750	\$79,900	\$85,050
San Bernardino	\$37,550	\$42,900	\$48,250	\$53,600	\$57,900	\$62,200	\$66,500	\$70,800
San Diego	\$47,600	\$54,400	\$61,200	\$68,000	\$73,450	\$78,900	\$84,350	\$89,800
San Francisco	\$68,950	\$78,800	\$88,650	\$98,500	\$106,400	\$114,300	\$122,150	\$130,050
San Joaquin	\$37,150	\$42,450	\$47,750	\$53,050	\$57,300	\$61,550	\$65,800	\$70,050
San Luis Obispo	\$43,200	\$49,400	\$55,550	\$61,700	\$66,650	\$71,600	\$76,550	\$81,450
San Mateo	\$68,950	\$78,800	\$88,650	\$98,500	\$106,400	\$114,300	\$122,150	\$130,050
Santa Barbara	\$47,150	\$53,900	\$60,650	\$67,350	\$72,750	\$78,150	\$83,550	\$88,950
Santa Clara	\$59,400	\$67,900	\$76,400	\$84,900	\$91,650	\$98,450	\$105,250	\$112,050
Santa Cruz	\$56,500	\$64,550	\$72,600	\$80,650	\$87,150	\$93,600	\$100,050	\$106,500
Shasta	\$33,050	\$37,800	\$42,500	\$47,200	\$51,000	\$54,800	\$58,550	\$62,350
Sierra	\$39,400	\$45,000	\$50,650	\$56,250	\$60,750	\$65,250	\$69,750	\$74,250
Siskiyou	\$33,000	\$37,700	\$42,400	\$47,100	\$50,900	\$54,650	\$58,450	\$62,200
Solano	\$45,500	\$52,000	\$58,500	\$65,000	\$70,200	\$75,400	\$80,600	\$85,800
Sonoma	\$46,150	\$52,750	\$59,350	\$65,900	\$71,200	\$76,450	\$81,750	\$87,000
Stanislaus	\$34,750	\$39,700	\$44,650	\$49,600	\$53,600	\$57,550	\$61,550	\$65,500
Sutter	\$33,250	\$38,000	\$42,750	\$47,500	\$51,300	\$55,100	\$58,900	\$62,700
Tehama	\$33,000	\$37,700	\$42,400	\$47,100	\$50,900	\$54,650	\$58,450	\$62,200
Trinity	\$33,000	\$37,700	\$42,400	\$47,100	\$50,900	\$54,650	\$58,450	\$62,200
Tulare	\$33,000	\$37,700	\$42,400	\$47,100	\$50,900	\$54,650	\$58,450	\$62,200
Tuolumne	\$37,200	\$42,500	\$47,800	\$53,100	\$57,350	\$61,600	\$65,850	\$70,100
Ventura	\$52,300	\$59,800	\$67,250	\$74,700	\$80,700	\$86,700	\$92,650	\$98,650
Yolo	\$43,050	\$49,200	\$55,350	\$61,500	\$66,450	\$71,350	\$76,300	\$81,200
Yuba	\$33,250	\$38,000	\$42,750	\$47,500	\$51,300	\$55,100	\$58,900	\$62,700

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VOLUME 3

REPORTING REQUIREMENTS



California Environmental Protection Agency

 **Air Resources Board**

Draft for Public Comment

Release Date: August 4, 2017

Comments Due: September 15, 2017

Cap-and-Trade Auction Proceeds

Funding Guidelines for Agencies that Administer California Climate Investments

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**Draft Funding Guidelines
Volume 3: Reporting Requirements**

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**Draft Funding Guidelines
Volume 3: Reporting Requirements**

I. Summary of Major Changes

In 2015, the California Air Resources Board (CARB or Board) released a Funding Guidelines document followed by a Supplement document in 2016 to provide direction for agencies that administer California Climate Investments funded by appropriations from the Greenhouse Gas Reduction Fund.¹ These draft Funding Guidelines contain proposed revisions for both the 2015 Funding Guidelines and the 2016 Supplement. After a public hearing in 2017, CARB will release an updated version of the Funding Guidelines.

Table 3-1 Summary of Proposed Major Changes in Volume 3

#	Proposed Change	Reference in Volume 3
1.	Updated reporting guidance to reflect Assembly Bill (AB) 1550 requirements for investments benefiting disadvantaged communities, low-income communities, and low-income households ²	Throughout Volume 3
2.	Revised all reporting tables to be consistent with the design of the new online tracking system that CARB is developing	Appendix 3.A
3.	Revised guidance for project outcome reporting (formerly referred to as “Phase 2” reporting) and added new tables with reporting details	Section V.D, Appendix 3.B
4.	Added guidance for reporting administrative costs	Section V.E
5.	Added guidance for reporting on projects that receive funding from the Greenhouse Gas Reduction Fund (GGRF or Fund) over multiple years (i.e., multi-year projects)	Section V.F
6.	Added guidance for reporting on projects that receive funding from multiple GGRF sources (i.e., multi-source projects)	Section V.G
7.	Added guidance for reporting on revolving loan programs	Section V.H

CARB is seeking input on these Funding Guidelines. **New sections and significant revisions are highlighted in yellow.** Please electronically submit any written comments on this draft document by September 15, 2017, to: [www.arb.ca.gov/lispub/comm2/bcsubform.php?listname=draftguidelines-
ws&comm_period=1](http://www.arb.ca.gov/lispub/comm2/bcsubform.php?listname=draftguidelines-ws&comm_period=1).

¹ California Air Resources Board, “Cap-and-Trade Auction Proceeds, Funding Guidelines for Agencies that Administer California Climate Investments,” release date December 21, 2015; and “Cap-and-Trade Auction Proceeds, Funding Guidelines Supplement for FY 2016-17 Funds,” release date December 30, 2016, are both available at: www.arb.ca.gov/cci-fundingguidelines.

² AB 1550, Gomez, Chapter 369, Statutes of 2016; amending Health and Safety Code Section 39713. Detailed information on AB 1550 requirements is provided in Volume 2 of the Funding Guidelines.

Draft Funding Guidelines Volume 3: Reporting Requirements

II. Purpose

This is Volume 3 of CARB's Funding Guidelines for agencies that administer California Climate Investments funded by appropriations from GGRF (administering agencies). The full Funding Guidelines include:

- Volume 1: General Guidance
- Volume 2: Investments to Benefit AB 1550 Populations
- Volume 3: Reporting Requirements

All administering agencies must track projects and report investment benefits, including benefits to the three groups identified in AB 1550: disadvantaged communities, low-income communities, and low-income households – collectively termed “AB 1550 populations”. This Volume includes reporting requirements for California Climate Investments. Administering agencies must:

- Meet statutory requirements for the Fund;
- Provide data for the Annual Report to the Legislature;
- Document benefits to AB 1550 populations based on the criteria in these Funding Guidelines;³
- Evaluate disadvantaged community benefits based on the previous Senate Bill (SB) 535 criteria and, if feasible, document benefits to AB 1550 populations;⁴
- Document greenhouse gas (GHG) reductions and co-benefits;
- Support fiscal accountability for the Fund;
- Provide transparency so the public can see how administering agencies are using their appropriations from the Fund and the status of projects throughout California; and
- Supply the data needed for responding to information requests from the Governor's Office, Legislature, and the public.

³ Administering agencies need to document benefits to AB 1550 populations based on the criteria in these Funding Guidelines beginning August 4, 2017. For identification of AB 1550 populations, refer to: www.calepa.ca.gov/envjustice/ghginvest for maps and lists. Only areas that are designated on these maps and lists will be considered disadvantaged or low income for the purposes of California Climate Investments.

⁴ SB 535, De León, Chapter 830, Statutes of 2012, codified with AB 1532 in Health and Safety Code Sections 39711-39723.

Draft Funding Guidelines Volume 3: Reporting Requirements

Purpose

Appendix 3.A and Appendix 3.B contain detailed reporting requirements that are specific to each project type or administering agency and cover all stages of reporting. Reporting tables are based on the project types being funded with FY 2013-14 through FY 2016-17 appropriations, but they also apply to FY 2017-18 and future appropriations. Each administering agency is responsible for incorporating these reporting requirements into their program guidelines, solicitation materials, legal agreements, and other program documents as appropriate.

As the State Budget adds appropriations for new programs and administering agencies expand the types of projects funded, CARB will develop supplemental tables with the specific reporting requirements for those new programs and project types. Draft versions of the supplemental tables will be posted for public comment on the CARB website at: www.arb.ca.gov/caclimateinvestments and final versions will be posted for use by administering agencies. The supplemental tables will be reflected in future updates to these Funding Guidelines.

III. Background

III.A. Accountability and Transparency

Accountability and transparency are essential elements for all California Climate Investments. The public needs to know how administering agencies are investing appropriations from the Fund and the benefits achieved from those investments. All administering agencies are required to track project implementation and report the benefits, including GHG emission reductions and benefits to AB 1550 populations or disadvantaged community benefits based on the previous SB 535 criteria. This information will be used to demonstrate how the Administration is achieving or exceeding the statutory objectives for California Climate Investments.

SB 862 requires CARB to develop guidance on reporting and quantification methods for all administering agencies.⁵ AB 1532 also requires an Annual Report to the Legislature.⁶ The reporting requirements in this Volume will facilitate the collection of information necessary to meet these accountability, public transparency, and statutory requirements.

III.B. Requirement for Annual Report to the Legislature

The Department of Finance (Finance) is required to submit the “Annual Report to the Legislature” (Annual Report) which is due in March every year. This report provides the status of California Climate Investments projects and the outcomes of those projects. In addition, the Annual Report describes how administering agencies have met the investment minimums required under AB 1550 and SB 535.

Reported project information is publicly available on the California Climate Investments website at: www.caclimateinvestments.ca.gov. Through an online mapping tool (www.arb.ca.gov/ccimap), the public can access information on project locations, funding amounts, GHG emission reductions, co-benefits, and benefits to AB 1550 populations.

⁵ SB 862, Chapter 36, Statutes of 2014, Health and Safety Code Section 39715.

⁶ AB 1532, Chapter 807, Statutes of 2012, codified with SB 535 in Health and Safety Code Sections 39711-39723.

IV. Roles and Responsibilities

Figure 3-1 Roles and Responsibilities for Tracking and Reporting Requirements on California Climate Investments

DEPARTMENT OF FINANCE

- Submits an Annual Report to the Legislature, in coordination with CARB and administering agencies.
- Coordinates with CARB and administering agencies to obtain fiscal reports needed to manage the Fund.

CALIFORNIA AIR RESOURCES BOARD

- Compiles data from administering agencies and coordinates with Finance to prepare the Annual Report to the Legislature, including program status, estimated GHG emission reductions and other benefits, and total expenditures benefiting AB 1550 populations or SB 535 disadvantaged communities.
- Maintains a public website that provides a central portal for project data reported by all administering agencies.
- Develops Funding Guidelines that contain guidance on tracking and reporting project status and benefits.
- Works with administering agencies as they develop guidelines and solicitation materials to include tracking and reporting requirements for funding recipients.
- As the Fund Administrator (accountant), obtains fiscal reports from administering agencies to manage cash flow from the Fund.

ADMINISTERING AGENCIES

- Develop guidelines, solicitation materials, and grant agreements that contain tracking and reporting requirements for funding recipients, in accordance with these Funding Guidelines.
- For all projects, collect and compile data from funding recipients, including estimated GHG emission reductions and information on benefits to AB 1550 populations or SB 535 disadvantaged communities.
- Maintain records and submit reports to CARB on expenditures and investment benefits.
- For a subset of projects, collect and compile data to support project outcome reporting.
- Provide records and reports, as requested, to support audits and program reviews conducted by State agencies.

Draft Funding Guidelines Volume 3: Reporting Requirements

Roles and Responsibilities

Finance is responsible for submitting an Annual Report to the Legislature. CARB's role is to support this effort by working with the administering agencies to compile the necessary data for the report. CARB also consolidates the data from all administering agencies to assess progress in meeting or exceeding the investment minimums under AB 1550 and SB 535.

To provide public access to reported information, CARB maintains a California Climate Investments website that functions as a central portal with information on all of the administering agencies (www.caclimateinvestments.ca.gov). CARB is also developing an online project tracking system, where administering agencies will be able to enter project information and the public can see funded projects along with the estimated benefits on a more frequent basis.

CARB and Finance are responsible for coordinating on the management of the Fund, to make sure there is adequate cash flow to reimburse administering agency expenditures as needed. This involves working with administering agencies to get regular reports on cash flow projections, expenditures, and other fiscal information. See Appendix 1.A.X for more information on the administrative cash flow process.

Administering agencies are responsible for clearly describing project tracking and reporting requirements when they develop program documents (e.g., guidelines, solicitation materials, grant agreements), consistent with the requirements in these Funding Guidelines. Administering agencies are responsible for collecting project information and submitting reports to CARB. In most cases, administering agencies will need to work with their funding recipients to obtain project-level data. The term "funding recipients" covers a broad group, including but not limited to:

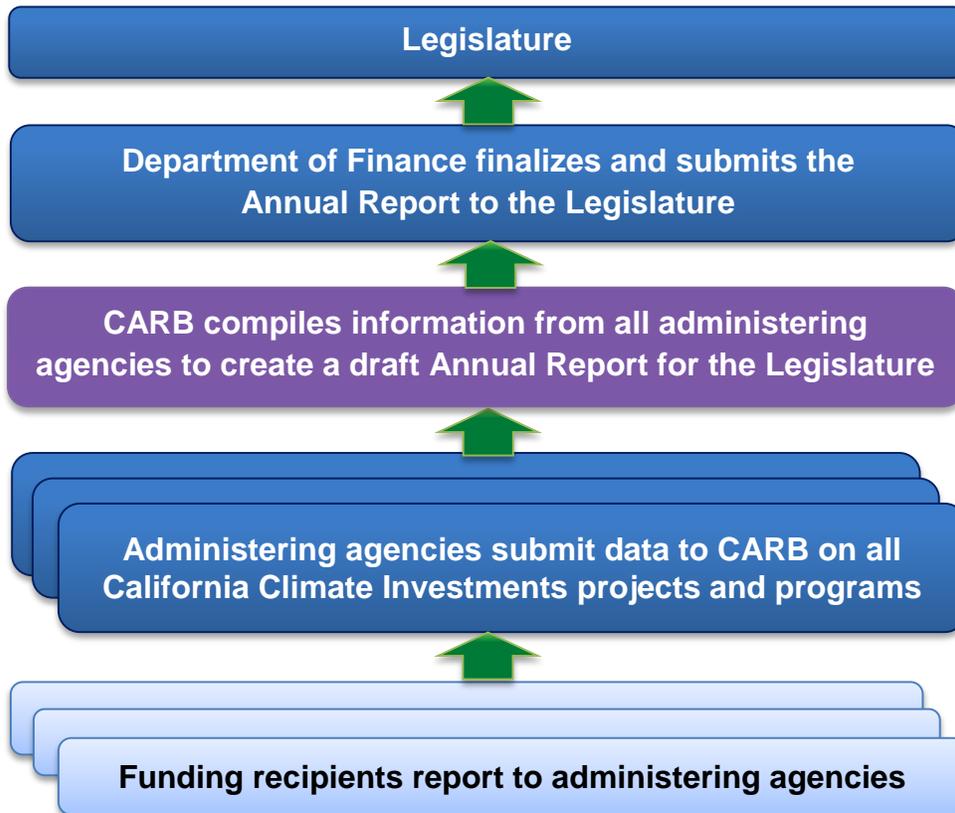
- Other State agencies that receive GGRF Funds or loans from the administering agency or that are directly implementing projects;
- Those that are awarded funding through a competitive solicitation or first-come, first-served process (e.g., businesses, contractors, public agencies, non-profits, colleges / universities, research organizations, individuals) for California Climate Investments programs;
- Transit agencies that receive Fund allocations, based on the State Transit Assistance formula; or
- Program administrators or grantees who provide services or distribute incentives to end users (e.g., local providers that install weatherization / renewable energy upgrades for low-income households).

The specific information that must be tracked and reported is detailed in Appendix 3.A and Appendix 3.B, along with information on how long records must be retained. During audits or program reviews, administering agencies are responsible for supplying the requested information to State oversight agencies and addressing findings that may result from an audit.

V. General Reporting Requirements

The reporting requirements in this Volume are directed at administering agencies; in most cases agencies will need to work with their funding recipients to obtain project-level data. Administering agencies may decide it is more appropriate to perform direct monitoring themselves or obtain data from a source other than the funding recipient (e.g., utility company or researcher). Figure 3-2 illustrates the flow of project-level data through administering agencies and those agencies transmitting data to CARB for consolidation to support the Annual Report to the Legislature and public transparency. Annual Reports are available at: www.caclimateinvestments.ca.gov/annual-report.

Figure 3-2 Reporting to the Legislature on California Climate Investments



**Draft Funding Guidelines
Volume 3: Reporting Requirements**

General Reporting Requirements

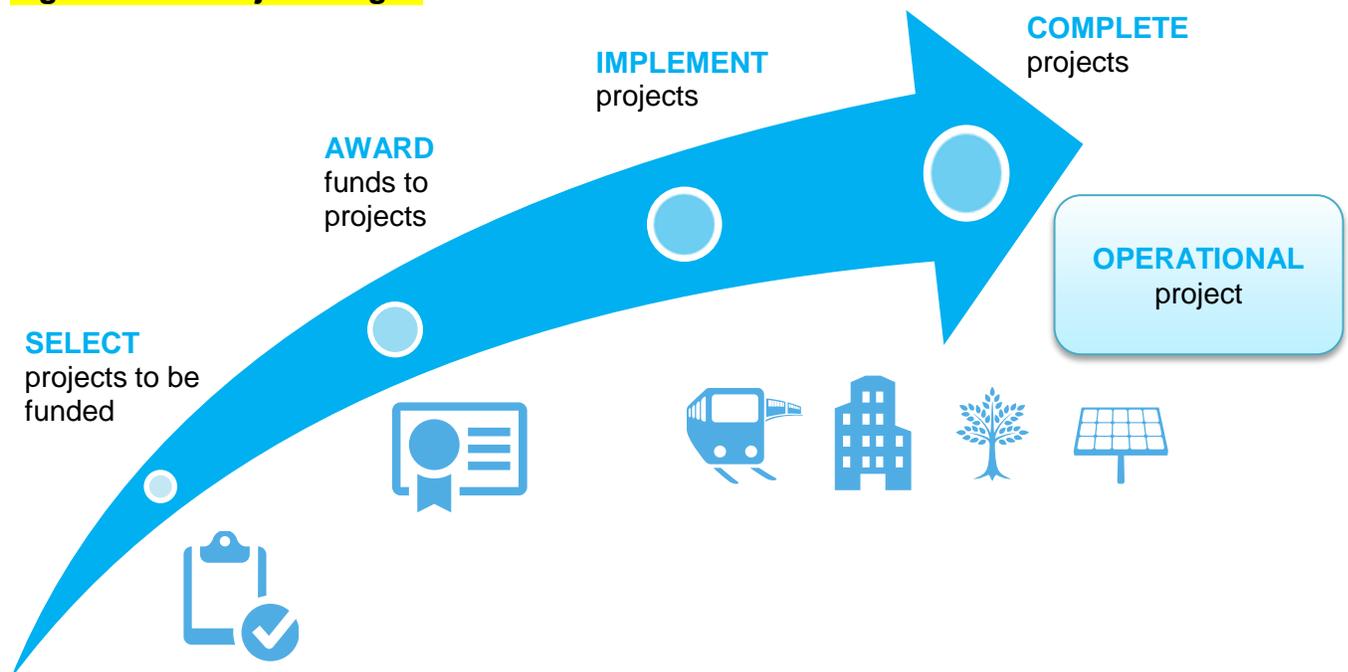
V.A. How Reporting Requirements are Linked to Project Stages

All administering agencies need to document GHG emission reductions and benefits to AB 1550 populations; however, the specific data that need to be reported each quarter depend on the project type and the stage of project implementation at the time of reporting. See Section V.K for more information on reporting cycles.

As a project progresses through the project stages, additional information becomes available (e.g., through an executed grant agreement or via project outcome reporting). Administering agencies must report this additional information for each project at the end of each reporting cycle, if the information is identified in the reporting requirements tables in Appendix 3.A.

For example, if a project has been awarded, the administering agency would need to submit information to CARB on the estimated project outcomes. After that project is completed, the administering agency may need to submit additional information on project outcomes. Figure 3-3 illustrates the project stages that are associated with funding a project and the eventual reporting milestones.

Figure 3-3 Project Stages



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General Reporting Requirements

Each project stage is briefly described below. As a part of the reporting process, CARB provides program-specific data dictionaries that explain how project stages apply to specific reporting requirements.

- **Selected:** Administering agency has announced funding recipients prior to executing grant agreements, but has not yet “awarded” funds. The “selected” stage refers to the administering agency’s intent to fund projects (e.g., a public announcement of funding recipients). Reporting on “selected” projects prior to the award stage is optional.
- **Awarded:** Administering agency has committed funding to a project (e.g., executed a contract with a grantee; transferred funds to another agency or program administrator).
- **Implemented:** The final recipient has received funds and the project has attributable GHG emission reductions and benefits to SB 535 disadvantaged communities or AB 1550 populations. For some programs, “implemented” may occur concurrently with “awarded” (e.g., for wetlands restoration projects, project benefits are known at the “awarded” stage). For other programs, “awarded” and “implemented” may occur at different times (e.g., funds may be “awarded” to a third-party administrator, but the funds are not “implemented” until the administrator distributes vouchers to the final recipient).
- **Operational:** Project has reached a specified milestone (e.g., transit line is in service, energy efficiency equipment is installed and functional, forest restoration is complete) and benefits from the investment are accruing. The “operational” milestone will vary by project type and is specified in the project outcome reporting tables in Appendix 3.B. The “operational” stage triggers the applicability of project outcome reporting for a subset of project types Project outcome reporting is not applicable for some project types (e.g., certain consumer-based incentives and limited-term transit operations) because all relevant information on project outcomes is provided at closeout.
- **Completed:** The contract or grant agreement ends, all incentive funds are expended, or all project activities are complete. “Completed” may occur prior to, or subsequent with, the project’s “operational” milestone.

Table 3-2 summarizes the type of reporting that is required, based on project stages. Sections V.B through V.H provide additional details on reporting requirements and Appendix 3.A and Appendix 3.B contain tables that include reporting requirements for each of the project stages and each project type.

When administering agencies submit reports to CARB, GHG emission reductions and other benefits must be reported in accordance with CARB’s guidance, including quantification methodologies, and agencies must document the applicable version that was used for each project. Volume 1, Section IV.F contains additional information on quantification methodologies, which are available on the CARB website at: www.arb.ca.gov/cci-quantification.

**Draft Funding Guidelines
Volume 3: Reporting Requirements**

General Reporting Requirements

Table 3-2 Summary of Reporting Requirements

Reporting Stages: Administering agencies must report the following items and provide quarterly updates, if needed.*

Selected (Optional) – When an administering agency has announced funding recipients, prior to executing grant agreements or other legally binding documents, submit data with basic project information.

Awarded – When an administering agency executes a contract or grant agreement, submit data with project details and expected benefits.

Implemented – When the final recipient has received funds and the administering agency can estimate the project GHG emission reductions and benefits, submit data on project status. For projects that are implemented over time (e.g., consumer-based incentives), submit data on the dollars implemented during the reporting cycle.

Updates – When a project has been implemented but is not yet “complete” submit data on project activities that have occurred during the reporting cycle.

Project Outcome Reporting – For a subset of projects only. When a project has reached the “operational” milestone, submit data for project outcome reporting.

Closeout – When a project is “complete” submit data for project closeout. A project is considered “complete” when a contract or grant agreement ends or when all GGRF funds are expended.

* See Appendix 3.A and Appendix 3.B for details on the data that administering agencies need to report. In addition, CARB provides reporting templates and data dictionaries for each program that explain the specific data submittal requirements for the reporting stages listed above.

V.B. Program-level Information

All administering agencies must submit broad program-level information to CARB, including, but not limited to:

- Administering agency and program description;
- Program schedule;
- Public meetings (dates, locations, topics);
- Solicitation process;
- Program financial status;
- Benefits to AB 1550 populations and SB 535 disadvantaged communities; and
- How the administering agency designed their program to maximize benefits for SB 535 disadvantaged communities and target investments that benefit AB 1550 populations.

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Volume 3: Reporting Requirements

General Reporting Requirements

V.C. Project-level Information

Administering agencies must submit periodic reports to CARB that include detailed information and benefits by project. Initially, administering agencies must report basic project information and expected benefits. As projects are implemented, administering agencies provide additional information on project status, benefits, and results. When projects are completed, administering agencies submit project closeout reports. CARB works with each administering agency to develop the appropriate reporting templates for data submittal.

The information that administering agencies must report will vary for the different project types and project stages. Appendix 3.A and Appendix 3.B contain detailed reporting tables, tailored by project type, that describe the data needed at each project stage. For example, an administering agency that is funding a large infrastructure project would initially report the physical address of the project and the estimated benefits, followed by periodic reports that provide status updates on the construction progress. Alternatively, if an administering agency is funding a project where locations and benefits are determined over time (e.g., distributing rebates / vouchers, planting trees, installing solar upgrades), the agency would initially report estimated numbers of incentives or upgrades and expected benefits, based on general assumptions. After incentives have been distributed or upgrades installed, the administering agency would report the total number of incentives / upgrades in a given census tract and the cumulative benefits from those incentives / upgrades.

For projects that benefit AB 1550 populations or projects that benefit disadvantaged communities under SB 535, administering agencies must submit information to document those benefits. CARB compiles this information and determines the total percentage of California Climate Investments that were expended on projects providing benefits under AB 1550 or SB 535, as applicable. This expenditure information can then be compared to the statutory investment minimums established in AB 1550, SB 535, and other legislation. In general, administering agencies need to:

- **Identify the specific AB 1550 or SB 535 criteria that the project meets.** Only projects that meet the criteria in the Funding Guidelines will be counted towards the investment minimums established by AB 1550. For projects selected after August 4, 2017, administering agencies need to report based on the AB 1550 requirements and community designations that took effect in 2017. To evaluate each project, agencies must use the criteria in these Funding Guidelines (see Volume 2 and Appendix 2.A for detailed guidance on AB 1550 benefits). If a project benefits multiple AB 1550 populations (e.g., a project benefits residents of a census tract that is both a disadvantaged community and a low-income community), to the extent feasible, administering agencies need to report all applicable AB 1550 population groups.

Draft Funding Guidelines Volume 3: Reporting Requirements

General Reporting Requirements

For projects that were selected for funding before the effective date of these Funding Guidelines, administering agencies need to report whether each project is “located within” or “provides benefits to” a disadvantaged community, based on the SB 535 criteria in the 2015 Funding Guidelines, which is available at: www.arb.ca.gov/cci-fundingguidelines. If feasible, administering agencies should also document benefits to AB 1550 populations.

- **Describe how a project meaningfully addresses an important need.**

Administering agencies also need to report how a project meaningfully addresses an important need of an AB 1550 population or a SB 535 disadvantaged community. Administering agencies or funding recipients can use a variety of approaches to determine important needs. Detailed guidance is provided in Volume 2.

For investments that provide jobs or job training, agencies should also report information on employment benefits, if available and consistent with confidentiality protections (e.g., number of job recipients / trainees, census tract numbers where job recipients / trainees reside, entry-level and median wages, credentials earned by trainees). This type of information may be readily available for projects where funding recipients are already tracking employment data, such as solar installation job training activities. See Appendix 3.A for a table summarizing reporting requirements for projects that include funding for jobs or job training.

V.D. Project Outcome Reporting for a Subset of Operational Projects

V.D.1. Overview of project outcome reporting

Project outcome reporting is the tracking and reporting of outcomes for a subset of California Climate Investments. Administering agencies will select the specific projects for which they will submit project outcome reports. Project outcome data collection and reporting begins when a project reaches a specified milestone and is considered to be “operational.” Information collected at this stage aligns with the key inputs in the quantification methodologies and will substantiate the achievement of GHG emission reductions. Administering agencies may also need to report on other benefits achieved.

Project outcome reporting is necessary to:

- Meet statutory reporting requirements of AB 1532;
- Support accountability and transparency;
- Communicate program success in reducing GHG emissions and achieving other benefits; and
- Inform future design of administering agency programs and quantification methodologies.

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General Reporting Requirements

CARB works with each administering agency to develop program-specific project outcome reporting guidance. The milestones that initiate the start of project outcome reporting, the metrics that administering agencies need to report, and the frequency and duration of project outcome data collection and reporting are tailored to reflect the unique qualities of the different California Climate Investments programs and vary by project type. Appendix 3.B contains tables with project outcome data collection and reporting requirements for each program.

Project outcome reporting is not applicable for some project types that report all relevant information in the project closeout report (e.g., certain consumer-based incentives and limited-term transit operations). These project types are identified in the project outcome reporting tables in Appendix 3.B.

V.D.2. When project outcome data collection and reporting begins

Administering agencies will submit reports to CARB that provide information on the performance of a subset of projects after they reach specified operational milestones. In some cases, project outcome data collection and reporting will begin prior to project closeout due to the project reaching a milestone that enables project outcomes to be reported in advance of project completion.

The project outcome reporting tables in Appendix 3.B provide additional information on when data collection and reporting begin.

V.D.3. Responsibility for project outcome data collection and reporting

Project outcome data may be tracked and collected by administering agencies, funding recipients or other entities. Administering agencies are responsible for compiling, reviewing, and submitting this data to CARB. If the administering agency requires funding recipients to track project outcome data, the agency is responsible for including language regarding project outcome reporting requirements in contracts / agreements with funding recipients.

V.D.4. Collection of project outcome data

Due to the wide variety of programs and project types, there are multiple approaches for collecting project outcome data. Examples of potential data collection approaches include:

- **Obtain data from funding recipient.** Administering agencies could direct funding recipients to provide project outcome data as part of the grant or loan agreement or through a separate agreement. Due to fund liquidation deadlines, administering agencies may need to establish different fiscal and performance periods in their grant or loan agreements to accommodate the length of the

Draft Funding Guidelines Volume 3: Reporting Requirements

General Reporting Requirements

project outcome reporting period. For example, a waste diversion project could have a two-year fiscal grant term and a five-year project performance period of the grant agreement. During the first two years, the project would be constructed, become operational and reach full capacity. During the final three years of the grant term, the funding recipient would collect data on the quantity of waste diverted and renewable energy generated and report that data to the administering agency.

- **Conduct survey.** Administering agencies could use staff or an administrative contract funded with state operations funds to conduct a survey of their projects to collect project outcome data. For example, a survey could be conducted for transit or active transportation projects to determine transit ridership rates or use of bicycle lanes.
- **Conduct direct monitoring of project sites.** Administering agencies could use staff or an administrative contract funded with state operations funds to perform direct monitoring to collect project outcome data through site visits or, if appropriate, review of aerial imagery. For example, administering agency staff could periodically visit and inspect a conservation project site to confirm that land continues to be managed in accordance with the terms of the easement.
- **Obtain data from a third party.** Administering agencies could obtain project outcome data from a third party instead of from the funding recipient. For example, an administering agency could establish an agreement with a utility to obtain energy or water use data for households operating more efficient devices. Such an arrangement may require administering agencies to obtain permission from the household to release utility data for this purpose.

Expenditures incurred by administering agencies and funding recipients to collect and report on project outcomes may be considered administrative costs. See Section V.E for direction on reporting administrative costs that support California Climate Investments.

V.E. Reporting Administrative Costs

Budget appropriations from the Fund may include funding to cover administrative costs for administering agency personnel to administer the program (e.g., State operations costs). All administering agencies need to ensure that funds spent on administration are reasonable and directly tied to the implementation of California Climate Investments. In addition to these costs, administering agencies may provide funding to program administrators or grantees that need to use part of the funding to cover the administrative costs associated with distributing incentives, implementing projects, or tracking and reporting data. The allowable amount of administrative costs is determined by a number of factors that may include: administering agency policies, direction from Finance, and statutory requirements or trailer bill language enacted by the Governor

Draft Funding Guidelines Volume 3: Reporting Requirements

General Reporting Requirements

and Legislature. To support public transparency, administering agencies need to track administrative costs funded by California Climate Investments and report those costs with their quarterly data submittal.

Administering agencies have different approaches for defining administrative costs and agencies will need to document the types of expenses that they classify as administrative. Since administering agency definitions may vary, CARB will work with each agency to describe what needs to be reported for administrative costs. To satisfy the reporting requirements in these Funding Guidelines, administering agencies must include the following when submitting data on administrative costs:

- Costs incurred by the administering agency to administer their California Climate Investments program;
- Costs incurred by partner State agencies that participate in administering California Climate Investments programs; and
- Administrative / overhead costs incurred by an intermediary funding recipient (e.g., grantee, third-party administrator, local agency).

Administering agencies only need to report administrative costs that are funded by California Climate Investments.

V.F. Reporting for Projects Implemented Over Multiple Years

The term “multi-year” refers to individual projects that receive GGRF funding over multiple years, either from a continuous appropriation or from line-item budget appropriations that occur in multiple fiscal years. For example, large infrastructure projects may be constructed in phases that are funded over multiple years. During the phased implementation of the project, guidance on GHG quantification, community benefits, and other items might change as a result of new statutory requirements or other factors.

For multi-year projects, administering agencies need to document project benefits based on the guidance and statutory requirements that were in effect when the agency selected the project (See Section V.A for an explanation of what the term “selected” means for reporting purposes). Please note that the term “multi-year” only applies if the project scope and benefits remain unchanged as additional funding is awarded to the project. If the project scope or benefits change, the administering agency must document and report project benefits based on the most current requirements.

For guidance and statutory requirement changes that occur between project selection and implementation, administering agencies may need to report, to the extent feasible, supplemental information necessary to evaluate benefits based on the up-to-date project information and the requirements in place at time of reporting including: the statutory definitions (e.g., SB 535 or AB 1550); the version of CalEnviroScreen;

Draft Funding Guidelines Volume 3: Reporting Requirements

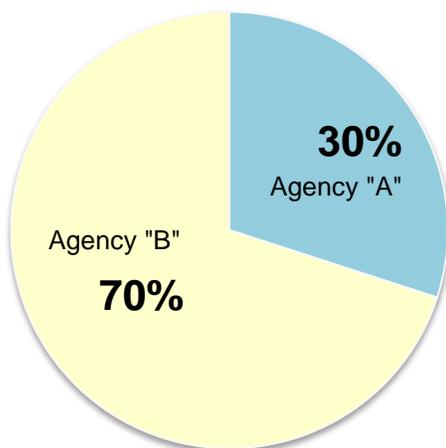
General Reporting Requirements

CalEPA's designations for disadvantaged communities; the designations for low-income communities and low-income households; and criteria in these Funding Guidelines for determining whether a project benefits an individual living in designated community or household.

V.G. Reporting for Multi-source Projects

The term "multi-source" refers to projects that receive GGRF funding from multiple California Climate Investments programs. In some cases, applicants may be encouraged to leverage funds from multiple programs to fund a single project (e.g., a bus rapid transit project may combine funding from CalSTA's Transit and Intercity Rail Capital Program and CARB's Zero-Emission Truck and Bus Pilots). When applying for funding, applicants must clearly identify all potential GGRF funding sources for the project (e.g., in their application and in their quantification methodology calculator). When estimating and reporting benefits from multi-source projects, funding recipients may need to apportion GHG emission reductions and other benefits to prevent double-counting (e.g., prorate reductions based on each administering agency's financial contribution; attribute jobs or other co-benefits to only one GGRF funding source). Figure 3-4 illustrates the approach where the funding recipient prorates benefits based on each administering agency's relative financial contribution.

Figure 3-4 Multi-source Projects - Prorating Benefits Based on Agency Contribution*



Example of Prorating:

- Two administering agencies provide GGRF funding for a single project
- Both administering agencies could potentially claim the same GHG emission reductions
- If administering agency "A" contributes 30% of the total GGRF amount, agency "A" would report 30% of the GHG emission reductions.

** Prorating would only be needed if GHG emission reductions or co-benefits are duplicative for multiple GGRF funding sources.*

V.H. Reporting for Revolving Loan Programs

The reporting requirements contained in this Volume are primarily focused on cases where GGRF dollars are invested once to implement a project(s). However, GGRF dollars can also be used for revolving loan programs, where administering agencies

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manage a special fund and issue loans to invest in projects that reduce GHG emissions. After loan recipients make payments, those dollars are typically re-deposited in the special fund or the Fund to support future projects. For the purposes of the reporting requirements in these Funding Guidelines, administering agencies need to submit data during the term of any loans funded by the GGRF, including loans made with repaid dollars. Each loan would be considered to be a separate project and administering agencies would need to submit data, based on the reporting requirements that are in place at the time that the new project is selected, regardless of the fiscal year when the funds were appropriated.

V.I. Fiscal Reports

As the Fund administrator, CARB actively monitors the cash in the fund and tracks actual and budgetary expenditures.

V.I.1. Fiscal reporting requirements – annual

Because CARB is responsible for assisting Finance in the preparation of the Annual Report to the Legislature, the administering agency must track funding and proceeds at the “program” level, including but not limited to:

- A breakdown of each program by funding source (e.g., how much from their budget will be used for local assistance).

Example:

Local Assistance (reference 101)	<u>FY 2014-15</u>
Passenger ZEV rebates	\$109,483,000
Heavy duty hybrid / ZEV trucks and buses	\$4,931,000
Freight demonstration projects	\$49,317,000
Light duty pilot projects in disadvantaged communities	\$8,877,000
Truck and bus pilot projects in disadvantaged communities	<u>\$24,658,000</u>
Total Local Assistance (reference 101)	\$197,266,000

- A breakdown of administrative costs used beyond state operations (in other words, how much of the state operations budget was used to fund programs versus oversight of GGRF funded programs).

Example:

Administration (reference 001)	<u>FY 2014-15</u>
State Operations	\$2,360,000
Grants: Passenger ZEV rebates	\$1,000,000
Grants: Freight demonstration projects	<u>\$3,000,000</u>
Total State Operations (reference 001)	\$6,360,000

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V.I.2. Fiscal reporting requirements – monthly

To comply with Fund Administrator responsibilities per Budget Letter (BL) 14-04,⁷ CARB requests that administering agencies submit the reports listed below on a monthly basis.

Administering agencies should submit the following reports, CALSTARS or equivalent, to CARB's GGRF Accounting unit at: GGRFFiscal@arb.ca.gov:

- The first of each month:
 - Updated cash projections.
- The middle of each month:
 - G01 (trial balance);
 - Q22 (Plan of Financial Adjustment (PFA) by Program, fiscal year, and appropriation);
 - D07 or D16 (document report by gl 6150, encumbrance balances);
 - B06 (budget report);
 - H00 (history transaction register); and
 - Additional Reports as needed per BL 14-04.

CARB tracks expenditures at the “program function” level; therefore, CARB needs administering agencies to identify the program function for expenditures incurred. CARB would like to work with each administering agencies to understand how it tracks authority and expenditures in its System of Record (e.g., CALSTARS, SAP, FISCAL) so CARB can clearly see the breakdown on the agency’s reports.

V.J. Information for Oversight and Audits

Administering agencies must provide information as requested by the Bureau of State Audits, Finance, and other oversight agencies. If detailed project information is requested, administering agencies will need to coordinate with the appropriate funding recipient(s) to deliver the requested data in a timely fashion. Audits or program reviews may occur at any time during program implementation or after projects are completed. Therefore, it is essential that administering agencies inform their funding recipients of their responsibilities for maintaining project documents. Appendix 3.A contains information on the retention period for project records and reports.

⁷ California Department of Finance, Budget Letter 14-04, “Budgeting and Accounting Relationship, Coordination and Fund Reconciliation”, dated April 3, 2014, www.dof.ca.gov/budgeting/budget_letters/documents/BL14-04.pdf.

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V.K. Reporting Frequency through Online System

CARB is developing an online reporting and tracking system to allow reporting throughout the year with quarterly updates, as needed. Beginning in 2017, administering agencies must submit project and program information through the online system. CARB will provide templates with the appropriate submittal format, based on the reporting requirements contained in Appendix 3.A and Appendix 3.B. Beginning in 2018, Administering agencies will report quarterly using the online system. The goal is to improve public transparency by providing updated program and project data multiple times per year.

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APPENDIX 3.A

Reporting Requirements by Project Type

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Appendix 3.A

I. Reporting Process

Table 3.A-1 summarizes the process for submitting reports to CARB and the remainder of this Appendix contains detailed information on the items that need to be reported for all projects, based on program, project type, and project stage.

Table 3.A-1 Summary of Reporting Process

Who is required to report to CARB?	Administering Agency
How often will administering agencies submit data to CARB?	Administering agencies will submit data quarterly through the online tracking system. The quarterly reporting cycles are: <ul style="list-style-type: none"> • December 1 – February 28 [29] • March 1 – May 31 • June 1 – August 31 • September 1 – November 30
When will administering agencies submit data to CARB?	Administering agencies must submit data within 30 days of the close of the quarterly reporting cycle.
How should reports be submitted to CARB?	Submit to CARB through the online tracking system.
What data needs to be reported to CARB?*	For all projects, refer to Tables 3.A-2.1 through 3.A-21 in this Appendix for a detailed list of items that need to be reported. For the subset of projects required to do project outcome reporting, refer to Appendix 3.B.
What data submittal format should administering agencies use?	Some data will be entered directly to the online tracking and reporting system using a web form. For other data, CARB will provide templates in the appropriate submittal format that will be uploaded into the system.
How long must records be retained by the administering agency?	Three (3) years after the administering agency submits the “Project Closeout” report or 3 years after the final project outcome report, whichever is later.

* If an administering agency’s program covers multiple project types, then there may be more than one table in this Appendix that includes applicable reporting requirements. In those cases, CARB will work with administering agencies to combine the appropriate data elements from each project type.

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Appendix 3.A

For the purposes of these Funding Guidelines, the definition of a “project” and the level of data that must be reported for each project varies by administering agency, program, project type, and project stage. In some cases, administering agencies need to submit data for each grant that funds a project at a single location. In other cases, administering agencies need to submit summarized data for projects that occur at multiple locations. Each reporting table in Appendix 3.A describes the level of data that needs to be submitted for the various project types.

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Appendix 3.A

Reporting Requirements for All Projects Covered by the Following Table

Table 3.A-2.1 LOW CARBON TRANSPORTATION - INCENTIVES

*(CARB: CVRP, HVIP, EFMP Plus-Up, Public Fleet Incentives, and Financing;
SGC Transformative Climate Communities program)*

CARB will work with administering agencies to develop reporting templates for data submittal. Provided below are the primary items that administering agencies need to track and report. Additional information may be required to respond to official data requests.

Administering agencies must report data for each project, as described below:

For each grant to an administrator or air district that implements an incentive program:

- The grantee will need to compile data from individual incentive recipients or individual households and provide that compiled data to the administering agency.
- The administering agency will then submit data to CARB with a summary of distributed incentives, by grantee and by census tract.

Selected (Optional) - Prior to executing a legal agreement with a funding recipient, when the administering agency announces a funding recipient, the agency may choose to report the following data on “selected” projects. Report once at next reporting cycle (only update if needed). “Selected” projects that have been “awarded” will need to be removed from the reported list.

1. Funding Recipient
2. Project Name
3. Project Type
4. Project Description
5. Total GGRF Funding (\$)
6. Estimated Total Project GHG Emission Reductions (MTCO₂e over quantification period)

Awarded - When the administering agency executes a legal agreement with a funding recipient to administer a program and distribute incentives (e.g., a contract, grant agreement, amendment to add new funding), the agency must report the following data on “awarded” projects. Report once at next reporting cycle (only update if needed).

1. Project Identification Number
2. Funding Recipient
3. Project Name
4. Project Type
5. Project Description
6. Date Project Selected
7. Project Completion Date (anticipated or actual)
8. Total GGRF Funding (\$)
9. Fiscal Year(s) for GGRF Appropriation that is Funding the Project
10. Quantification Period as Defined by QM (years)
11. Estimated Total Project GHG Emission Reductions (MTCO₂e over quantification period)
12. Estimated Total Number of Incentives to be Issued
13. Estimated Project Co-Benefits and Indicators:
 - a. Criteria Air Pollution Reductions (tons)
 - b. Fuel Use Reductions (gallons)

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Appendix 3.A

Reporting Requirements for All Projects Covered by the Following Table

Table 3.A-2.1 LOW CARBON TRANSPORTATION - INCENTIVES (continued)

(CARB: CVRP, HVIP, EFMP Plus-Up, Public Fleet Incentives, and Financing; SGC Transformative Climate Communities program)

Awarded (continued)

14. Other Project Benefits or Results

15. Date Operational

16. Date GHG Emission Reductions Begin

17. Version Tracking Date (this date indicates which document versions (e.g., quantification methodology, CalEnviroScreen, Expenditure Record) were applicable when the administering agency selected the project)

Implemented - When incentives have been distributed to consumers, the administering agency must report the following data on “implemented” projects. Report this data each reporting cycle for all incentives that have been distributed since the previous data submittal.

1. Census Tract

2. Total Project Cost (\$) (within census tract, including both GGRF and non-GGRF funds, during this reporting cycle)

3. Total GGRF Funding (\$) (within census tract, during this reporting cycle)

4. Number of Incentives Issued (within census tract, during this reporting cycle)

5. Quantification Period as Defined by QM (years)

6. Estimated Total Project GHG Emission Reductions (MTCO₂e over quantification period) (for incentives issued within census tract during this reporting cycle)

7. If the Project Benefits AB 1550 Populations (disadvantaged communities; low-income communities; low-income households):*

- a. Indicate which AB 1550 criteria table was used to evaluate the project (e.g., Table 2.A-1). Use CARB’s Funding Guidelines, Volume 2, Appendix 2.A to find the appropriate table.
- b. Identify each type of AB 1550 population that the project benefits (e.g., low-income households and low-income community census tracts within ½-mile of a disadvantaged community census tract). Refer to Appendix 2.A, AB 1550 criteria table, Step 1. Maps/lists that identify AB 1550 populations are available at: www.calepa.ca.gov/envjustice/ghqinvest
- c. Describe the approach used to determine that the project meaningfully addresses a community or household need (e.g., hosting community meetings to engage local residents). Refer to Appendix 2.A, AB 1550 criteria table, Step 2.
- d. Describe how the project meaningfully addresses a community or household need (e.g., project will reduce transportation costs).
- e. Indicate one criterion that was used to qualify the project as providing benefits to AB 1550 populations. Refer to Appendix 2.A, AB 1550 criteria table, Step 3.
- f. Provide a qualitative description of how the project benefits AB 1550 populations. Include quantitative metrics if available.
- g. Identify each census tract where the project benefits an AB 1550 population.

* Projects that were selected before the effective date of these Funding Guidelines may still need to report on benefits based on the SB 535 criteria in CARB’s 2015 Funding Guidelines. CARB will work with administering agencies to determine data submittal formats for SB 535 benefits, as needed.

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Appendix 3.A

Reporting Requirements for All Projects Covered by the Following Table

Table 3.A-2.1 LOW CARBON TRANSPORTATION - INCENTIVES (continued)

(CARB: CVRP, HVIP, EFMP Plus-Up, Public Fleet Incentives, and Financing; SGC Transformative Climate Communities program)

Implemented (continued)

- h. For each type of AB 1550 population identified in (b) above, report the total GGRF dollars that benefit that population within each census tract identified in (g) above (e.g., during this reporting cycle, \$X.X million benefited disadvantaged community residents in census tract ##; during this reporting cycle, \$X.X million benefited low-income community residents in census tract ##).
 - i. For each type of AB 1550 population identified in (b) above, report the total number of incentives issued which benefit that population within each census tract identified in (g) above (e.g., during this reporting cycle, 1,500 incentives benefited disadvantaged community residents in census tract ##; during this reporting cycle, 2,000 incentives benefited low-income community residents in census tract ##). This is only required for incentive-based programs.
8. Project Co-Benefits and Indicators (within census tract during this reporting cycle):
- a. Estimated Criteria Air Pollution Reductions (tons)
 - b. Estimated Fuel Use Reductions (gallons)
9. Other Project Benefits or Results (during this reporting cycle)
10. Program-level Information

Project Outcome Reporting - For a subset of projects, as identified by the administering agency, the agency must submit data for project outcome reporting (details are provided in Appendix 3.B) once “operational.”

Closeout – When the project is “complete” (the legal agreement has ended or when all incentive funds associated with that contract are expended, whichever is later) the administering agency must report the following data. Report once at next reporting cycle.

- 1. Status (“completed” or “cancelled”)
- 2. Describe Completed Project or Provide Other Project Details
- 3. Updated Information *(provide the following updates if needed and if applicable)*:
 - a. Estimated Total Project GHG Emission Reductions (MTCO₂e over quantification period)
 - b. Criteria Pollution Reductions (tons)
 - c. Fuel Use Reduction (gallons)

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Appendix 3.A

Reporting Requirements for All Projects Covered by the Following Table

Table 3.A-2.2 LOW CARBON TRANSPORTATION – CAR SHARING AND VANPOOLS

(CARB: Car Sharing and Mobility Options, Agricultural Worker Vanpools)

CARB will work with administering agencies to develop reporting templates for data submittal. Provided below are the primary items that administering agencies need to track and report. Additional information may be required to respond to official data requests.

Administering agencies must report data for each project, as described below:

For each grant to an entity that is implementing a pilot project for car sharing or vanpools, submit data on each grantee’s pilot project. The administering agency will then submit data to CARB with a summary of results, by grantee and by census tract.

Selected (Optional) - Prior to executing a legal agreement with a funding recipient, when the administering agency announces a funding recipient, the agency may choose to report the following data on “selected” projects. Report once at next reporting cycle (only update if needed). “Selected” projects that have been “awarded” will need to be removed from the reported list.

1. Funding Recipient
2. Project Name
3. Project Type
4. Project Description
5. Total GGRF Funding (\$)
6. Estimated Total Project GHG Emission Reductions (MTCO₂e over quantification period)

Awarded/Implemented - When the administering agency executes a legal agreement with a funding recipient (e.g., a contract, grant agreement, amendment to add new funding), the agency must report data on “awarded” projects. At this point, projects are also considered to be “implemented.” Report once at next funding cycle (only update if needed).

1. Project Identification Number
2. Project Name
3. Project Type
4. Project Description
5. Date Project Selected
6. Project Completion Date (anticipated or actual)
7. Total Project Cost (\$) (including both GGRF and non-GGRF funds)
8. Total GGRF Funding (\$)
9. Fiscal Year(s) for GGRF Appropriation that is Funding the Project
10. Quantification Period as Defined by QM (years)
11. Estimated Total Project GHG Emission Reductions (MTCO₂e over quantification period)
12. Project Location (e.g., census tract number, address, geographic coordinates, GIS file)
13. Estimated Project Co-Benefits and Indicators:
 - a. Number of Vehicles in Service
 - b. Criteria Air Pollution Reductions (tons)
 - c. Fuel Use Reductions (gallons)
14. Other Project Benefits or Results

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Appendix 3.A

Reporting Requirements for All Projects Covered by the Following Table

Table 3.A-2.2 LOW CARBON TRANSPORTATION – CAR SHARING AND VANPOOLS (continued) <i>(CARB: Car Sharing and Mobility Options, Agricultural Worker Vanpools)</i>
Awarded/Implemented (continued)
15. Version Tracking Date (this date indicates which document versions (e.g., quantification methodology, CalEnviroScreen, Expenditure Record) were applicable when the administering agency selected the project)
16. If the Project Benefits AB 1550 Populations (disadvantaged communities; low-income communities; low-income households):* <ul style="list-style-type: none"> a. Indicate which AB 1550 criteria table was used to evaluate the project (e.g., Table 2.A-1). Use CARB’s Funding Guidelines, Volume 2, Appendix 2.A to find the appropriate table. b. Identify each type of AB 1550 population that the project benefits (e.g., low-income households and low-income community census tracts within ½-mile of a disadvantaged community census tract). Refer to Appendix 2.A, AB 1550 criteria table, Step 1. Maps/lists that identify AB 1550 populations are available at: www.calepa.ca.gov/envjustice/ghginvest. c. Describe the approach used to determine that the project meaningfully addresses a community or household need (e.g., hosting community meetings to engage local residents). Refer to Appendix 2.A, AB 1550 criteria table, Step 2. d. Describe how the project meaningfully addresses a community or household need (e.g., project will reduce transportation costs). e. Indicate one criterion that was used to qualify the project as providing benefits to AB 1550 populations. Refer to Appendix 2.A, AB 1550 criteria table, Step 3. f. Provide a qualitative description of how the project benefits AB 1550 populations. Include quantitative metrics if available. g. Identify each census tract where the project benefits an AB 1550 population. h. For each type of AB 1550 population identified in (b) above, report the total GGRF dollars that benefit that population within each census tract identified in (g) above (e.g., \$X.X million benefited disadvantaged community residents in census tract ##; \$X.X million benefited low-income community residents in census tract ##). i. For each type of AB 1550 population identified in (b) above, report the total number of incentives issued which benefit that population within each census tract identified in (g) above (e.g., 1,500 incentives benefited disadvantaged community residents in census tract ##; 2,000 incentives benefited low-income community residents in census tract ##). This is only required for incentive-based programs.
17. Date Operational
18. Date GHG Emission Reductions Begin

** Projects that were selected before the effective date of these Funding Guidelines may still need to report on benefits based on the SB 535 criteria in CARB’s 2015 Funding Guidelines. CARB will work with administering agencies to determine data submittal formats for SB 535 benefits, as needed.*

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Appendix 3.A

Reporting Requirements for All Projects Covered by the Following Table

**Table 3.A-2.2 LOW CARBON TRANSPORTATION – CAR SHARING AND VANPOOLS
(continued)**

(CARB: Car Sharing and Mobility Options, Agricultural Worker Vanpools)

Updates - For projects that are not yet “complete” (the pilot project has not ended or the term of the legal agreement has not ended, whichever is later), report the following data, if applicable. Report this data each reporting cycle for all activities that have occurred since the previous data submittal.

1. Project Activities Completed (during this reporting cycle)
2. Project Co-Benefits and Indicators (during this reporting cycle):
 - a. Number of Vehicles in Service
 - b. Criteria Air Pollution Reductions (tons)
 - c. Fuel Use Reductions (gallons)
3. Program-level Information

Project Outcome Reporting - For a subset of projects, as identified by the administering agency, the agency must submit data for project outcome reporting (details are provided in Appendix 3.B) once “operational.”

Closeout - When the project is “complete” (the pilot project has ended or the term of the legal agreement has ended, whichever is later), the administering agency must report the following data. Report once at next reporting cycle.

1. Status (“completed” or “cancelled”)
2. Describe Completed Project or Provide Other Project Details
3. Updated Information (provide the following updates if needed and if applicable):
 - a. Estimated Total Project GHG Emission Reductions (MTCO_{2e} over quantification period)
 - b. Number of Vehicles in Service
 - c. Criteria Air Pollution Reductions (tons)
 - d. Fuel Use Reductions (gallons)

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Appendix 3.A

Reporting Requirements for All Projects Covered by the Following Table

Table 3.A-2.3 LOW CARBON TRANSPORTATION – HEAVY DUTY PILOT PROJECTS

(CARB: Zero-Emission Pilots – Freight, Truck, Bus, Rural School Bus)

CARB will work with administering agencies to develop reporting templates for data submittal. Provided below are the primary items that administering agencies need to track and report. Additional information may be required to respond to official data requests.

Administering agencies must report data for each project, as described below:

For each grant to an entity that is implementing a heavy duty pilot project, submit data on each grantee’s pilot project.

Selected (Optional) - Prior to executing a legal agreement with a funding recipient, when the administering agency announces a funding recipient, the agency may choose to report the following data on “selected” projects. Report once at next reporting cycle (only update if needed). “Selected” projects that have been “awarded” will need to be removed from the reported list.

1. Funding Recipient
2. Project Name
3. Project Type
4. Project Description
5. Total GGRF Funding (\$)
6. Estimated Total Project GHG Emission Reductions (MTCO₂e over quantification period)

Awarded/Implemented - When the administering agency executes a legal agreement with a funding recipient (e.g., a contract, grant agreement, amendment to add new funding), the agency must report data on “awarded” projects. At this point, projects are also considered to be “implemented.” Report once at next funding cycle (only update if needed).

1. Project Identification Number
2. Project Name
3. Project Type
4. Project Description
5. Date Project Awarded
6. Project Completion Date (anticipated or actual)
7. Total Project Cost (\$) (including both GGRF and non-GGRF funds)
8. Total GGRF Funding (\$)
9. Fiscal Year(s) for GGRF Appropriation that is Funding the Project
10. Quantification Period as Defined by QM (years)
11. Estimated Total Project GHG Emission Reductions (MTCO₂e over quantification period)
12. Project Location (e.g., census tract number, address, geographic coordinates, GIS file)
13. Estimated Project Co-Benefits and Indicators:
 - a. Number of Vehicles in Service
 - b. Criteria Air Pollution Reductions (tons)
 - c. Fuel Use Reductions (gallons)

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Appendix 3.A

Reporting Requirements for All Projects Covered by the Following Table

Table 3.A-2.3 LOW CARBON TRANSPORTATION – HEAVY DUTY PILOT PROJECTS (continued)

(CARB: Zero-Emission Pilots – Freight, Truck, Bus, Rural School Bus)

Awarded/Implemented (continued)

14. Other Project Benefits or Results

15. Version Tracking Date (this date indicates which document versions (e.g., quantification methodology, CalEnviroScreen, Expenditure Record) were applicable when the administering agency selected the project)

16. If the project benefits AB 1550 populations (disadvantaged communities; low-income communities; low-income households):*

- a. Indicate which AB 1550 criteria table was used to evaluate the project (e.g., Table 2.A-1). Use CARB’s Funding Guidelines, Volume 2, Appendix 2.A to find the appropriate table.
- b. Identify each type of AB 1550 population that the project benefits (e.g., low-income households and low-income community census tracts within ½-mile of a disadvantaged community census tract). Refer to Appendix 2.A, AB 1550 criteria table, Step 1. Maps/lists that identify AB 1550 populations are available at:
www.calepa.ca.gov/envjustice/ghqinvest.
- c. Describe the approach used to determine that the project meaningfully addresses a community or household need (e.g., hosting community meetings to engage local residents). Refer to Appendix 2.A, AB 1550 criteria table, Step 2.
- d. Describe how the project meaningfully addresses a community or household need (e.g., project will reduce transportation costs).
- e. Indicate one criterion that was used to qualify the project as providing benefits to AB 1550 populations. Refer to Appendix 2.A, AB 1550 criteria table, Step 3.
- f. Provide a qualitative description of how the project benefits AB 1550 populations. Include quantitative metrics if available.
- g. Identify each census tract where the project benefits an AB 1550 population.
- h. For each type of AB 1550 population identified in (b) above, report the total GGRF dollars that benefit that population within each census tract identified in (g) above (e.g., \$X.X million benefited disadvantaged community residents in census tract ##; \$X.X million benefited low-income community residents in census tract ##).
- i. For each type of AB 1550 population identified in (b) above, report the total number of vehicles/equipment which benefit that population within each census tract identified in (g) above (e.g., 25 school buses benefited disadvantaged community residents in census tract ##; 5 tractors benefited low-income community residents in census tract ##).

17. Date Operational

18. Date GHG Emission Reductions Begin

** Projects that were selected before the effective date of these Funding Guidelines may still need to report on benefits based on the SB 535 criteria in CARB’s 2015 Funding Guidelines. CARB will work with administering agencies to determine data submittal formats for SB 535 benefits, as needed.*

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Appendix 3.A

Reporting Requirements for All Projects Covered by the Following Table

Table 3.A-2.3 LOW CARBON TRANSPORTATION – HEAVY DUTY PILOT PROJECTS (continued)

(CARB: Zero-Emission Pilots – Freight, Truck, Bus, Rural School Bus)

Updates - For projects that are not yet “complete” (the pilot project has not ended or the term of the legal agreement has not ended, whichever is later), report the following data, if applicable. Report this data each reporting cycle for all activities that have occurred since the previous data submittal.

1. Project Activities Completed (during this reporting cycle)
2. Project Co-Benefits and Indicators (during this reporting cycle):
 - a. Number of Vehicles in Service
 - b. Criteria Air Pollution Reductions (tons)
 - c. Fuel Use Reductions (gallons)
3. Program-level Information

Project Outcome Reporting - For a subset of projects, as identified by the administering agency, the agency must submit data for project outcome reporting (details are provided in Appendix 3.B) once “operational.”

Closeout - When the project is “complete” (the pilot project has ended or the term of the legal agreement has ended, whichever is later), the administering agency must report the following data. Report once at next reporting cycle.

1. Status (“complete” or “cancelled”)
2. Describe Completed Project or Provide Other Project Details
3. Updated Information (provide the following updates if needed and if applicable):
 - a. Estimated Total Project GHG Emission Reductions (MTCO_{2e} over quantification period)
 - b. Number of Vehicles in Service
 - c. Criteria Air Pollution Reductions (tons)
 - d. Fuel Use Reductions (gallons)

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Appendix 3.A

Reporting Requirements for All Projects Covered by the Following Table

Table 3.A-2.4 LOW CARBON TRANSPORTATION – HEAVY DUTY DEMONSTRATION PROJECTS

(CARB: Advanced Technology Demonstration Projects, On-Road, and Off-Road)

CARB will work with administering agencies to develop reporting templates for data submittal. Provided below are the primary items that administering agencies need to track and report. Additional information may be required to respond to official data requests.

Administering agencies must report data for each project, as described below:

For each grant to an entity that is implementing a heavy duty demonstration project, submit data on each grantee’s demonstration project

Selected (Optional) - Prior to executing a legal agreement with a funding recipient, when the administering agency announces a funding recipient, the agency may choose to report the following data on “selected” projects. Report once at next reporting cycle (only update if needed). “Selected” projects that have been “awarded” will need to be removed from the reported list.

1. Funding Recipient
2. Project Name
3. Project Type
4. Project Description
5. Total GGRF Funding (\$)
6. Estimated Total Project GHG Emission Reductions (MTCO₂e over quantification period)

Awarded/Implemented - When the administering agency executes a legal agreement with a funding recipient (e.g., a contract, grant agreement, amendment to add new funding), the agency must report data on “awarded” projects. At this point, projects are also considered to be “implemented.” Report once at next funding cycle (only update if needed).

1. Project Identification Number
2. Project Name
3. Project Type
4. Project Description
5. Date Project Selected
6. Project Completion Date (anticipated or actual)
7. Total Project Cost (\$) (including both GGRF and non-GGRF funds)
8. Total GGRF Funding (\$)
9. Fiscal Year(s) for GGRF Appropriation that is Funding the Project
10. Quantification period as Defined by QM (years)
11. Estimated Total Project GHG Emission Reductions (MTCO₂e over quantification period)
12. Project Location (e.g., census tract number, address, geographic coordinates, GIS file)
13. Estimated Project Co-Benefits and Indicators:
 - a. Number of Vehicles in Service
 - b. Criteria Air Pollution Reductions (tons)
 - c. Fuel Use Reductions (gallons)

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Appendix 3.A

Reporting Requirements for All Projects Covered by the Following Table

Table 3.A-2.4 LOW CARBON TRANSPORTATION – HEAVY DUTY DEMONSTRATION PROJECTS (continued)

(CARB: Advanced Technology Demonstration Projects, On-Road, and Off-Road)

Awarded/Implemented (continued)

14. Other Project Benefits or Results

15. Version Tracking Date (this date indicates which document versions (e.g., quantification methodology, CalEnviroScreen, Expenditure Record) were applicable when the administering agency selected the project)

16. If the Project Benefits AB 1550 Populations (disadvantaged communities; low-income communities; low-income households):*

- a. Indicate which AB 1550 criteria table was used to evaluate the project (e.g., Table 2.A-1). Use CARB’s Funding Guidelines, Volume 2, Appendix 2.A to find the appropriate table.
- b. Identify each type of AB 1550 population that the project benefits (e.g., low-income households and low-income community census tracts within ½-mile of a disadvantaged community census tract). Refer to Appendix 2.A, AB 1550 criteria table, Step 1. Maps/lists that identify AB 1550 populations are available at: www.calepa.ca.gov/envjustice/ghqinvest.
- c. Describe the approach used to determine that the project meaningfully addresses a community or household need (e.g., hosting community meetings to engage local residents). Refer to Appendix 2.A, AB 1550 criteria table, Step 2.
- d. Describe how the project meaningfully addresses a community or household need (e.g., project will reduce transportation costs).
- e. Indicate one criterion that was used to qualify the project as providing benefits to AB 1550 populations. Refer to Appendix 2.A, AB 1550 criteria table, Step 3.
- f. Provide a qualitative description of how the project benefits AB 1550 populations. Include quantitative metrics if available.
- g. Identify each census tract where the project benefits an AB 1550 population.
- h. For each type of AB 1550 population identified in (b) above, report the total GGRF dollars that benefit that population within each census tract identified in (g) above (e.g., \$X.X million benefited disadvantaged community residents in census tract ##; \$X.X million benefited low-income community residents in census tract ##).
- i. For each type of AB 1550 population identified in (b) above, report the total number of vehicles/equipment which benefit that population within each census tract identified in (g) above (e.g., 25 school buses benefited disadvantaged community residents in census tract ##; 5 tractors benefited low-income community residents in census tract ##).

17. Date Operational

18. Date GHG Emission Reductions Begin

* Projects that were selected before the effective date of these Funding Guidelines may still need to report on benefits based on the SB 535 criteria in CARB’s 2015 Funding Guidelines. CARB will work with administering agencies to determine data submittal formats for SB 535 benefits, as needed.

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Appendix 3.A

Reporting Requirements for All Projects Covered by the Following Table

**Table 3.A-2.4 LOW CARBON TRANSPORTATION – HEAVY DUTY
DEMONSTRATION PROJECTS (continued)**

(CARB: Advanced Technology Demonstration Projects, On-Road, and Off-Road)

Updates - For projects that are not yet “complete” (the pilot project has not ended or the term of the legal agreement has not ended, whichever is later), report the following data, if applicable. Report this data each reporting cycle for all activities that have occurred since the previous data submittal.

1. Project Activities Completed (during this reporting cycle)
2. Project Co-Benefits and Indicators (during this reporting cycle):
 - a. Number of Vehicles in Service
 - b. Criteria Air Pollution Reductions (tons)
 - c. Fuel Use Reductions (gallons)
3. Program-level Information

Project Outcome Reporting - For a subset of projects, as identified by the administering agency, the agency must submit data for project outcome reporting (details are provided in Appendix 3.B) once “operational.”

Closeout - When the project is “complete” (the pilot project has ended or the term of the legal agreement has ended, whichever is later), the administering agency must report the following data. Report once at next reporting cycle.

1. Status (“completed” or “cancelled”)
2. Describe Completed Project or Provide Other Project Details
3. Updated Information (provide the following updates if needed and if applicable):
 - a. Estimated Total Project GHG Emission Reductions (MTCO_{2e} over quantification period)
 - b. Number of Vehicles in Service
 - c. Criteria Air Pollution Reductions (tons)
 - d. Fuel Use Reductions (gallons)

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Appendix 3.A

Reporting Requirements for All Projects Covered by the Following Table

Table 3.A-3 TRANSIT PROJECTS

(Caltrans Low Carbon Transit Operations Program; CalSTA Transit and Intercity Rail Capital Program; SGC Affordable Housing and Sustainable Communities program)

CARB will work with administering agencies to develop reporting templates for data submittal. Provided below are the primary items that administering agencies need to track and report. Additional information may be required to respond to official data requests.

Administering agencies must report data for each project, as described below:

For each transit agency or public agency grantee, submit data on:

- Each project to expand transit service;
- Each active transportation project;
- Each transit enhancement project; and
- Each intercity or commuter rail project.

Selected (Optional) - When the following events occur, the administering agency may choose to report data for “selected” projects from each of the projects described above:

- When the California Transportation Commission approves the list of programmed projects (e.g., TIRCP);
- When the State Controller’s Office determines the funding amount for each transit agency (e.g., LCTOP); or
- When the Strategic Growth Council approves the list of projects (e.g., AHSC).

The administering agency may choose to report the following data on selected projects. Report once at next reporting cycle (only update if needed). “Selected” projects that have been “awarded” will need to be removed from the reported list.

1. Funding Recipient
2. Project Name
3. Project Type
4. Project Description
5. Total GGRF Funding (\$)
6. Estimated Total Project GHG Emission Reductions (MTCO₂e over quantification period)

Awarded - When the following events occur, the administering agency must report data for “awarded” projects:

- When GGRF funds, or a portion of GGRF funds, have been financially obligated through allocation by the California Transportation Commission (e.g., TIRCP);
- When funds are transferred to a transit agency for immediate project use. Note: This does not include funds that are banked by a transit agency for future use (i.e., roll-over funds) (e.g., LCTOP); or
- When the Strategic Growth Council executes a contract or agreement with a grant recipient (e.g., AHSC). AHSC projects are also considered “implemented” at this point and do not need to report again.

The administering agency must report the following data on “awarded” projects. Report once at next reporting cycle (only update if needed).

1. Project Identification Number
2. Project Name
3. Project Type

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Appendix 3.A

Reporting Requirements for All Projects Covered by the Following Table

Table 3.A-3 TRANSIT PROJECTS (continued)

(Caltrans Low Carbon Transit Operations Program; CalSTA Transit and Intercity Rail Capital Program; SGC Affordable Housing and Sustainable Communities program)

Awarded (continued)

4. Project Description
5. Date Project Selected
6. Project Completion Date (anticipated or actual)
7. Total Project Cost (\$) (including both GGRF and non-GGRF funds)
8. Total GGRF Funding Awarded this Reporting Cycle (\$)
9. Does this project receive additional GGRF funds awarded over multiple reporting cycles?
10. Total GGRF Funding to be Awarded to Project (\$)
11. Fiscal Year(s) for GGRF Appropriation that is Funding the Project
12. Quantification Period as Defined by QM (years)
13. Estimated Total Project GHG Emission Reductions (MTCO ₂ e over quantification period)
14. Project Location (e.g., census tract number, address, geographic coordinates, GIS file)
15. Estimated Project Co-Benefits and Indicators: <ul style="list-style-type: none"> a. VMT Reductions (miles) b. Criteria Air Pollution Reductions (tons) c. Fuel Use Reductions (gallons)
16. Other Project Benefits or Results
17. Version Tracking Date (this date indicates which document versions (e.g., quantification methodology, CalEnviroScreen, Expenditure Record) were applicable when the administering agency selected the project)
18. If the Project Benefits AB 1550 Populations (disadvantaged communities; low-income communities; low-income households):* <ul style="list-style-type: none"> a. Indicate which AB 1550 criteria table was used to evaluate the project (e.g., Table 2.A-1). Use CARB's Funding Guidelines, Volume 2, Appendix 2.A to find the appropriate table. b. Identify each type of AB 1550 population that the project benefits (e.g., low-income households and low-income community census tracts within ½-mile of a disadvantaged community census tract). Refer to Appendix 2.A, AB 1550 criteria table, Step 1. Maps/lists that identify AB 1550 populations are available at: www.calepa.ca.gov/envjustice/ghqinvest c. Describe the approach used to determine that the project meaningfully addresses a community or household need (e.g., hosting community meetings to engage local residents). Refer to Appendix 2.A, AB 1550 criteria table, Step 2. d. Describe how the project meaningfully addresses a community or household need (e.g., project will reduce transportation costs). e. Indicate one criterion that was used to qualify the project as providing benefits to AB 1550 populations. Refer to Appendix 2.A, AB 1550 criteria table, Step 3. f. Provide a qualitative description of how the project benefits AB 1550 populations. Include quantitative metrics if available. g. Identify each census tract where the project benefits an AB 1550 population.

** Projects that were selected before the effective date of these Funding Guidelines may still need to report on benefits based on the SB 535 criteria in CARB's 2015 Funding Guidelines. CARB will work with administering agencies to determine data submittal formats for SB 535 benefits, as needed.*

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Appendix 3.A

Reporting Requirements for All Projects Covered by the Following Table

Table 3.A-3 TRANSIT PROJECTS (continued)

(Caltrans Low Carbon Transit Operations Program; CalSTA Transit and Intercity Rail Capital Program; SGC Affordable Housing and Sustainable Communities program)

Awarded (continued)
<p>h. For each type of AB 1550 population identified in (b) above, report the total GGRF dollars that benefit that population (e.g., \$X.X million benefited disadvantaged community residents; \$X.X million benefited community residents).</p> <p>i. For each type of AB 1550 population identified in (b) above, report the total number of incentives issued which benefit that population (e.g., 1,500 incentives benefit disadvantaged communities; 2,000 incentives benefit low-income communities). This is only required for incentive-based programs.</p>
19. Date Operational
20. Date GHG Emission Reductions Begin

Implemented - When the following events occur, the administering agency must report data for “implemented” projects:

- When **all** GGRF funds for a single project have been financially obligated through allocation by the California Transportation Commission (e.g., TIRCP); or
- When funds are transferred to a transit agency for immediate project use. Note: This includes funds that were previously banked by a transit agency for future use (i.e., roll-over funds) (e.g., LCTOP).

The administering agency must report the following data on “awarded” projects. Report once at next reporting cycle (only update if needed).

1. Project Identification Number
2. Project Name
3. Project Type
4. Project Description
5. Date Project Selected
6. Project Completion Date (anticipated or actual)
7. Total Project Cost (\$) (including both GGRF and non-GGRF funds)
8. Total GGRF Funding Awarded to Project (\$)
9. Has this project been awarded GGRF funds over multiple reporting cycles?
10. Fiscal Year(s) for GGRF Appropriation that is Funding the Project
11. Quantification Period as Defined by QM (years)
12. Estimated Total Project GHG Emission Reductions (MTCO ₂ e over quantification period)
13. Project Location (e.g., census tract number, address, geographic coordinates, GIS file)
14. Estimated Project Co-Benefits and Indicators: <ul style="list-style-type: none"> a. VMT Reductions (miles) b. Criteria Air Pollution Reductions (tons)
15. Fuel Use Reductions (gallons)
16. Other Project Benefits or Results
17. Version Tracking Date (this date indicates which document versions (e.g., quantification methodology, CalEnviroScreen, Expenditure Record) were applicable when the administering agency selected the project)

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Appendix 3.A

Reporting Requirements for All Projects Covered by the Following Table

Table 3.A-3 TRANSIT PROJECTS (continued)

(Caltrans Low Carbon Transit Operations Program; CalSTA Transit and Intercity Rail Capital Program; SGC Affordable Housing and Sustainable Communities program)

Awarded (continued)

<p>18. If the Project Benefits AB 1550 Populations (disadvantaged communities; low income communities; low income households):*</p> <ol style="list-style-type: none"> a. Indicate which AB 1550 criteria table was used to evaluate the project (e.g., Table 2.A-1). Use CARB's Funding Guidelines, Volume 2, Appendix 2.A to find the appropriate table. b. Identify each type of AB 1550 population that the project benefits (e.g., low-income households and low-income community census tracts within ½ mile of a disadvantaged community census tract). Refer to Appendix 2.A, AB 1550 criteria table, Step 1. Maps/lists that identify AB 1550 populations are available at: www.calepa.ca.gov/envjustice/ghqinvest c. Describe the approach used to determine that the project meaningfully addresses a community or household need (e.g., hosting community meetings to engage local residents). Refer to Appendix 2.A, AB 1550 criteria table, Step 2. d. Describe how the project meaningfully addresses a community or household need (e.g., project will reduce transportation costs). e. Indicate one criterion that was used to qualify the project as providing benefits to AB 1550 populations. Refer to Appendix 2.A, AB 1550 criteria table, Step 3. f. Provide a qualitative description of how the project benefits AB 1550 populations. Include quantitative metrics if available. g. Identify each census tract where the project benefits an AB 1550 population. h. For each type of AB 1550 population identified in (b) above, report the total GGRF dollars that benefit that population (e.g., \$X.X million benefited disadvantaged community residents; \$X.X million benefited community residents). <p>19. For each type of AB 1550 population identified in (b) above, report the total number of incentives issued which benefit that population (e.g., 1,500 incentives benefit disadvantaged communities; 2,000 incentives benefit low-income communities). This is only required for incentive-based programs.</p>
20. Date Operational
21. Date GHG Emission Reductions Begin

* Projects that were selected before the effective date of these Funding Guidelines may still need to report on benefits based on the SB 535 criteria in CARB's 2015 Funding Guidelines. CARB will work with administering agencies to determine data submittal formats for SB 535 benefits, as needed.

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Appendix 3.A

Reporting Requirements for All Projects Covered by the Following Table

Table 3.A-3 TRANSIT PROJECTS (continued)

(Caltrans Low Carbon Transit Operations Program; CalSTA Transit and Intercity Rail Capital Program; SGC Affordable Housing and Sustainable Communities program)

Updates - For projects that are not yet “complete” (the legal agreement has not ended or project activities are still ongoing), report the following data, if applicable. Report this data each reporting cycle for all activities that have occurred since the previous data submittal.

1. Project Activities Completed (during this reporting cycle)
2. Project Co-Benefits and Indicators (during this reporting cycle):
 - a. VMT Reductions
 - b. Criteria Air Pollution Reductions (tons)
 - c. Fuel Use Reductions (gallons)
3. Program-level Information

Project Outcome Reporting - For a subset of projects, as identified by the administering agency, the agency must submit data for project outcome reporting (details are provided in Appendix 3.B) once “operational.”

Closeout - When the project is “complete” (all project activities are complete, or when service ends for an operational contract or time-limited service), the administering agency must report the following data on “completed” projects. Report once at next reporting cycle.

1. Status (“completed” or “cancelled”)
2. Describe Completed Project or Provide Other Project Details
3. Updated Information (provide the following updates if needed and if applicable):
 - a. Estimated Total Project GHG Emission Reductions (MTCO₂e over quantification period)
 - b. VMT Reductions (miles)
 - c. Criteria Air Pollution Reductions (tons)
 - d. Fuel Use Reductions (gallons)

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Appendix 3.A

Reporting Requirements for All Projects Covered by the Following Table

Table 3.A-4 AFFORDABLE HOUSING AND SUSTAINABLE COMMUNITIES

(SGC: Affordable Housing and Sustainable Communities program, Transformative Climate Communities program)

CARB will work with administering agencies to develop reporting templates for data submittal. Provided below are the primary items that administering agencies need to track and report. Additional information may be required to respond to official data requests.

Administering agencies must report data for each project, as described below:

For each grant and/or loan, submit data on:

- Each housing or housing-related infrastructure component; and
- Each transportation or transit-related infrastructure component.

Selected (Optional) - Prior to executing a legal agreement with a funding recipient, when the Strategic Growth Council approves the list of projects, they may choose to report the following data on “selected” projects. Report once at next reporting cycle (only update if needed). “Selected” projects that have been “awarded” will need to be removed from the reported list.

1. Funding Recipient
2. Project Name
3. Project Type
4. Project Description
5. Total GGRF Funding (\$)
6. Estimated Total Project GHG Emission Reductions (MTCO₂e over quantification period)

Awarded/Implemented - When the administering agency executes a legal agreement with a funding recipient (e.g., a contract, grant agreement, amendment to add new funding), the agency must report data on “awarded” projects. At this point, projects are also considered to be “implemented.” Report once at next funding cycle (only update if needed).

1. Project Identification Number
2. Project Name
3. Project Type
4. Project Description
5. Date Project Selected
6. Project Completion Date (anticipated or actual)
7. Total Project Cost (\$) (including both GGRF and non-GGRF funds)
8. Total GGRF Funding (\$)
9. Fiscal Year(s) for GGRF Appropriation that is Funding the Project
10. Quantification Period as Defined by QM (years)
11. Estimated Total Project GHG Emission Reductions (MTCO₂e over quantification period)
12. Project Location (e.g., census tract number, address, geographic coordinates, GIS file)
13. Estimated Project Co-Benefits and Indicators:
 - a. VMT Reductions (miles)
 - b. Number of Housing Units
 - c. Number of Affordable Housing Units
 - d. Criteria Air Pollution Reductions (tons)
 - e. Fuel Use Reductions (gallons)

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Appendix 3.A

Reporting Requirements for All Projects Covered by the Following Table

Table 3.A-4 AFFORDABLE HOUSING (continued)

(SGC: Affordable Housing and Sustainable Communities program, Transformative Climate Communities program)

Awarded/Implemented (continued)

14. Other Project Benefits or Results

15. Version Tracking Date (this date indicates which document versions (e.g., quantification methodology, CalEnviroScreen, Expenditure Record) were applicable when the administering agency selected the project)

16. If the Project Benefits AB 1550 Populations (disadvantaged communities; low-income communities; low-income households):*

- a. Indicate which AB 1550 criteria table was used to evaluate the project (e.g., Table 2.A-1). Use CARB’s Funding Guidelines, Volume 2, Appendix 2.A to find the appropriate table.
- b. Identify each type of AB 1550 population that the project benefits (e.g., low-income households and low-income community census tracts within ½-mile of a disadvantaged community census tract). Refer to Appendix 2.A, AB 1550 criteria table, Step 1. Maps/lists that identify AB 1550 populations are available at:
www.calepa.ca.gov/envjustice/ghqinvest.
- c. Describe the approach used to determine that the project meaningfully addresses a community or household need (e.g., hosting community meetings to engage local residents). Refer to Appendix 2.A, AB 1550 criteria table, Step 2.
- d. Describe how the project meaningfully addresses a community or household need (e.g., project will reduce transportation costs).
- e. Indicate one criterion that was used to qualify the project as providing benefits to AB 1550 populations. Refer to Appendix 2.A, AB 1550 criteria table, Step 3.
- f. Provide a qualitative description of how the project benefits AB 1550 populations. Include quantitative metrics if available.
- g. Identify each census tract where the project benefits an AB 1550 population.
- h. For each type of AB 1550 population identified in (b) above, report the total GGRF dollars that benefit that population within each census tract identified in (g) above (e.g., \$X.X million benefited disadvantaged community residents in census tract ##; \$X.X million benefited low-income community residents in census tract ##).
- i. For each type of AB 1550 population identified in (b) above, report the total number of incentives issued which benefit that population within each census tract identified in (g) above (e.g., 1,500 incentives benefit disadvantaged communities in census tract ##; 2,000 incentives benefit low-income communities in census tract ##). This is only required for incentive-based programs.

17. Date Operational

18. Date GHG Emission Reductions Begin

* Projects that were selected before the effective date of these Funding Guidelines may still need to report on benefits based on the SB 535 criteria in CARB’s 2015 Funding Guidelines. CARB will work with administering agencies to determine data submittal formats for SB 535 benefits, as needed.

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Appendix 3.A

Reporting Requirements for All Projects Covered by the Following Table

Table 3.A-4 AFFORDABLE HOUSING (continued)

(SGC: Affordable Housing and Sustainable Communities program, Transformative Climate Communities program)

Updates - For projects that are not yet “complete” (the legal agreement has not ended), report the following data, if applicable. Report this data each reporting cycle for all activities that have occurred since the previous data submittal.

1. Project Activities Completed to Date
2. Next Projected Milestone for a Status Update
3. Program-level Information

Project Outcome Reporting - For a subset of projects, as identified by the administering agency, the agency must submit data for project outcome reporting (details are provided in Appendix 3.B) once “operational.”

Closeout - When the project is “complete” (the legal agreement with the funding recipient has ended), the administering agency must report the following data. Report once at next reporting cycle.

1. Status (“completed” or “cancelled”)
2. Describe Completed Project or Provide Other Project Details
3. Updated Information (provide the following updates if needed and if applicable):
 - a. Estimated Total Project GHG Emission Reductions (MTCO₂e over quantification period)
 - b. VMT Reductions (miles)
 - c. Number of Housing Units
 - d. Number of Affordable Housing Units
 - e. Criteria Air Pollution Reductions (tons)
 - f. Fuel Use Reductions (gallons)

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Appendix 3.A

Reporting Requirements for All Projects Covered by the Following Table

Table 3.A-5 HIGH SPEED RAIL

CARB will work with administering agencies to develop reporting templates for data submittal. Provided below are the primary items that administering agencies need to track and report. Additional information may be required to respond to official data requests.

Administering agencies must report data for each project, as described below:

For each appropriation, submit data consistent with the items identified in the Expenditure Record.

Selected (Optional) - When the full High Speed Rail Business Plan is approved, the administering agency may choose to report the following data on “selected” projects. Report once at next reporting cycle (only update if needed). “Selected” projects that have been “awarded” will need to be removed from the reported list.

1. Funding Recipient
2. Project Name
3. Project Type
4. Project Description
5. Total GGRF Funding (\$)
6. Estimated Total Project GHG Emission Reductions (MTCO₂e over quantification period)

Awarded/Implemented - When funds have been appropriated to the administering agency, the agency must report data on “awarded” projects. At this point, projects are also considered to be “implemented.” Report once at next funding cycle (only update if needed).

1. Project Identification Number
2. Project Name
3. Project Type
4. Project Description
5. Date Project Selected
6. Project Completion Date (anticipated or actual)
7. Total Project Cost (\$) (including both GGRF and non-GGRF funds)
8. Total GGRF Funding (\$)
9. Fiscal Year(s) for GGRF Appropriation that is Funding the Project
10. Quantification Period as Defined by QM (years)
11. Estimated Total Project GHG Emission Reductions (MTCO₂e over quantification period)
12. Project Location (e.g., census tract number, address, geographic coordinates, GIS file)
13. Estimated Project Co-Benefits and Indicators:
 - a. VMT Reductions (miles)
 - b. Number of Trees Planted
 - c. Criteria Air Pollution Reductions (tons)
 - d. Fuel Use Reductions (gallons)
14. Other Project Benefits or Results
15. Version Tracking Date (this date indicates which document versions (e.g., quantification methodology, CalEnviroScreen, Expenditure Record) were applicable when the administering agency selected the project)

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Appendix 3.A

Reporting Requirements for All Projects Covered by the Following Table

Table 3.A-5 HIGH SPEED RAIL (continued)

Awarded/Implemented (continued)

<p>16. If the Project Benefits AB 1550 Populations (disadvantaged communities; low-income communities; low-income households):*</p> <ol style="list-style-type: none"> a. Indicate which AB 1550 criteria table was used to evaluate the project (e.g., Table 2.A-1). Use CARB’s Funding Guidelines, Volume 2, Appendix 2.A to find the appropriate table. b. Identify each type of AB 1550 population that the project benefits (e.g., low-income households and low-income community census tracts within ½-mile of a disadvantaged community census tract). Refer to Appendix 2.A, AB 1550 criteria table, Step 1. Maps/lists that identify AB 1550 populations are available at: www.calepa.ca.gov/envjustice/ghginvest. c. Describe the approach used to determine that the project meaningfully addresses a community or household need (e.g., hosting community meetings to engage local residents). Refer to Appendix 2.A, AB 1550 criteria table, Step 2. d. Describe how the project meaningfully addresses a community or household need (e.g., project will reduce transportation costs). e. Indicate one criterion that was used to qualify the project as providing benefits to AB 1550 populations. Refer to Appendix 2.A, AB 1550 criteria table, Step 3. f. Provide a qualitative description of how the project benefits AB 1550 populations. Include quantitative metrics if available. g. Identify each census tract where the project benefits an AB 1550 population. h. For each type of AB 1550 population identified in (b) above, report the total GGRF dollars that benefit that population within each census tract identified in (g) above (e.g., \$X.X million benefited disadvantaged community residents in census tract ##; \$X.X million benefited low-income community residents in census tract ##).
17. Date Operational
18. Date GHG Emission Reductions Begin

** Projects that were selected before the effective date of these Funding Guidelines may still need to report on benefits based on the SB 535 criteria in CARB’s 2015 Funding Guidelines. CARB will work with administering agencies to determine data submittal formats for SB 535 benefits, as needed.*

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Appendix 3.A

Reporting Requirements for All Projects Covered by the Following Table

Table 3.A-5 HIGH SPEED RAIL (continued)

Updates - For projects that are not yet “complete” (all project activities are not complete), report the following data, if applicable. Report this data each reporting cycle for all activities that have occurred since the previous data submittal.

1. Project Activities Completed to Date
2. Project Co-Benefits and Indicators:
 - a. VMT Reductions
 - b. Number of Trees Planted
 - c. Criteria Air Pollution Reductions (tons)
 - d. Fuel Use Reductions (gallons)
3. Program-level Information

Project Outcome Reporting - For a subset of projects, as identified by the administering agency, the agency must submit data for project outcome reporting (details are provided in Appendix 3.B) once “operational.”

Closeout - When the project is “complete” (all project activities are complete), the administering agency must report the following data on “completed” projects. Report once at next reporting cycle.

1. Status (“completed” or “cancelled”)
2. Describe Completed Project or Provide Other Project Details
3. Updated Information (provide the following updates if needed and if applicable):
 - a. Estimated Total Project GHG Emission Reductions (MTCO₂e over quantification period)
 - b. VMT Reductions (miles)
 - c. Number of Trees Planted
 - d. Criteria Air Pollution Reductions (tons)
 - e. Fuel Use Reductions (gallons)

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Appendix 3.A

Reporting Requirements for All Projects Covered by the Following Table

Table 3.A-6 ACTIVE TRANSPORTATION

(SGC Affordable Housing and Sustainable Communities Program; Caltrans Active Transportation Program; CNRA Urban Greening Program)

CARB will work with administering agencies to develop reporting templates for data submittal. Provided below are the primary items that administering agencies need to track and report. Additional information may be required to respond to official data requests.

Administering agencies must report data for each project, as described below:

For each grantee (e.g., transit agency, public agency, school, non-profit, tribal government), submit data on each active transportation project (bike path or pedestrian facility)

Selected (Optional) - When the following events occur, the administering agency may choose to report data for “selected” projects from each of the projects described above:

- When the California Transportation Commission approves the list of programmed projects (e.g., ATP);
- When the Strategic Growth Council approves the list of projects (e.g., AHSC); or
- When CNRA announces a funding recipient, prior to executing a contract or grant agreement (e.g., Urban Greening)

The administering agency may choose to report the following data for “selected” projects. Report once at next reporting cycle (only update if needed). “Selected” projects that have been “awarded” will need to be removed from the reported list.

1. Funding Recipient
2. Project Name
3. Project Type
4. Project Description
5. Total GGRF Funding (\$)
6. Estimated Total Project GHG Emission Reductions (MTCO₂e over quantification period)

Awarded/Implemented - When the following events occur, the administering agency must report data for “awarded” projects:

- When funds have been financially obligated through allocation by the California Transportation Commission (e.g., ATP); or
- When the administering agency executes a legal agreement with a funding recipient (e.g., a contract, grant agreement, amendment to add new funding) (e.g., AHSC, Urban Greening)

The administering agency must report the following data on “awarded” projects. Report once at next reporting cycle (only update if needed).

1. Project Identification Number
2. Funding Recipient
3. Project Name
4. Project Type
5. Project Description
6. Date Project Selected
7. Project Completion Date (anticipated or actual)
8. Total GGRF Funding (\$)

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Appendix 3.A

Reporting Requirements for All Projects Covered by the Following Table

Table 3.A-6 ACTIVE TRANSPORTATION (continued)

(SGC Affordable Housing and Sustainable Communities Program; Caltrans Active Transportation Program; CNRA Urban Greening Program)

Awarded/Implemented (continued)

9. Fiscal Year(s) for GGRF Appropriation that is Funding the Project

10. Quantification Period as Defined by QM (years)

11. Estimated Total Project GHG Emission Reductions (MTCO₂e over quantification period)

12. Estimated Project Co-Benefits and Indicators:

- a. VMT Reductions (miles)
- b. Estimated Number of Trees to be Planted
- c. Criteria Air Pollution Reductions (tons)
- d. Fuel Use Reductions (gallons)

13. Other Project Benefits or Results

14. Date Operational

15. Date GHG Emission Reductions Begin

16. Version Tracking Date (this date indicates which document versions (e.g., quantification methodology, CalEnviroScreen, Expenditure Record) were applicable when the administering agency selected the project)

- a. Indicate which AB 1550 criteria table was used to evaluate the project (e.g., Table 2.A-1). Use CARB's Funding Guidelines, Volume 2, Appendix 2.A to find the appropriate table.
- b. Identify each type of AB 1550 population that the project benefits (e.g., low-income households and low-income community census tracts within ½-mile of a disadvantaged community census tract). Refer to Appendix 2.A, AB 1550 criteria table, Step 1. Maps/lists that identify AB 1550 populations are available at: www.calepa.ca.gov/envjustice/ghginvest.
- c. Describe the approach used to determine that the project meaningfully addresses a community or household need (e.g., hosting community meetings to engage local residents). Refer to Appendix 2.A, AB 1550 criteria table, Step 2.
- d. Describe how the project meaningfully addresses a community or household need (e.g., project will reduce transportation costs).
- e. Indicate one criterion that was used to qualify the project as providing benefits to AB 1550 populations. Refer to Appendix 2.A, AB 1550 criteria table, Step 3.
- f. Provide a qualitative description of how the project benefits AB 1550 populations. Include quantitative metrics if available.
- g. Identify each census tract where the project benefits an AB 1550 population.
- h. For each type of AB 1550 population identified in (b) above, report the total GGRF dollars that benefit that population within each census tract identified in (g) above (e.g., \$X.X million benefited disadvantaged community residents in census tract ##; \$X.X million benefited low-income community residents in census tract ##).

19. Date Operational

20. Date GHG Emission Reductions Begin

** Projects that were selected before the effective date of these Funding Guidelines may still need to report on benefits based on the SB 535 criteria in CARB's 2015 Funding Guidelines. CARB will work with administering agencies to determine data submittal formats for SB 535 benefits, as needed.*

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Appendix 3.A

Reporting Requirements for All Projects Covered by the Following Table

Table 3.A-6 ACTIVE TRANSPORTATION (continued)

(SGC Affordable Housing and Sustainable Communities Program; Caltrans Active Transportation Program; CNRA Urban Greening Program)

Updates - For projects that are not yet “complete” (the legal agreement with the funding recipient has not ended), report the following data, if applicable. Report this data each reporting cycle for all activities that have occurred since the previous data submittal.

1. Project Activities Completed to Date

2. Project Co-Benefits and Indicators:

- a. Energy Generated (kWh)
- b. Energy Saved (kWh and therms)

3. Program-level Information

Project Outcome Reporting - For a subset of projects, as identified by the administering agency, the agency must submit data for project outcome reporting (details are provided in Appendix 3.B) once “operational.”

Closeout - When the project is “complete” (all project activities are complete), the administering agency must report the following data on “completed” projects. Report once at next reporting cycle.

1. Status (“completed” or “cancelled”)

2. Describe Completed Project or Provide Other Project Details

3. Updated Information (provide the following updates if needed and if applicable):

- a. Estimated Total Project GHG Emission Reductions (MTCO₂e over quantification period)
- b. VMT Reductions (miles)
- c. Number of Trees Planted
- d. Criteria Air Pollution Reductions (tons)
- e. Fuel Use Reductions (gallons)

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Appendix 3.A

Reporting Requirements for All Projects Covered by the Following Table

Table 3.A-7 ENERGY EFFICIENCY AND RENEWABLE ENERGY

(CSD Low-Income Weatherization Program; SGC Transformative Climate Communities program)

CARB will work with administering agencies to develop reporting templates for data submittal. Provided below are the primary items that administering agencies need to track and report. Additional information may be required to respond to official data requests.

Administering agencies must report data for each project, as described below:

For each grantee (LIWP Provider, Regional Administrator, or other LIWP funding recipient):

- The grantee will need to compile data from individual households that received upgrades and provide that compiled data to the administering agency.
- The administering agency will then summarize data for each grantee’s weatherization program and each grantee’s renewable energy program, and submit data to CARB with a summary of each grantee’s programs by census tract.

Selected (Optional) - Prior to executing a legal agreement with a funding recipient, when the administering agency announces a new funding recipient or allocates new funds for an existing funding recipient, the agency may choose to report the following data on “selected” projects. Report once at next reporting cycle (only update if needed). “Selected” projects that have been “awarded” will need to be removed from the reported list.

1. Funding Recipient
2. Project Name
3. Project Type
4. Project Description
5. Total GGRF Funding (\$)
6. Estimated Total Project GHG Emission Reductions (MTCO₂e over quantification period)

Awarded - When the administering agency executes a legal agreement with a funding recipient (e.g., a contract, grant agreement, amendment to add new funding), the agency must report data on “awarded” projects. Report once at next funding cycle (only update if needed).

1. Project Identification Number
2. Subprogram
3. Funding Recipient
4. Project Name
5. Project Description
6. Date Project Selected
7. Project Completion Date (anticipated or actual)
8. Total GGRF Funding (\$)
9. Fiscal Year(s) for GGRF Appropriation that is Funding the Project
10. Estimated Number of Dwellings to Receive Upgrades
11. Quantification Period as Defined by QM (years)
12. Estimated Total Project GHG Emission Reductions (MTCO₂e over quantification period)

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Appendix 3.A

Reporting Requirements for All Projects Covered by the Following Table

Table 3.A-7 ENERGY EFFICIENCY AND RENEWABLE ENERGY (continued)

(CSD Low-Income Weatherization Program; SGC Transformative Climate Communities program)

Awarded (continued)
13. Estimated Project Co-Benefits and Indicators: a. Energy Generated (kWh) b. Energy Saved (kWh and therms)
14. Other Project Benefits or Results
15. Date Operational
16. Date GHG Emission Reductions Begin
17. Version Tracking Date (this date indicates which document versions (e.g., quantification methodology, CalEnviroScreen, Expenditure Record) were applicable when the administering agency selected the project)

Implemented - When upgrades/installations are complete and project location is known, the administering agency must report the following data on “implemented” projects. Report this data each reporting cycle for all upgrades/installations that have been completed since the previous data submittal.

1. Census Tract
2. Total Project Cost (\$) (within census tract, including both GGRF and non-GGRF funds, during this reporting cycle)
3. Total GGRF Funding (\$) (within census tract, during this reporting cycle)
4. Number of Dwellings Upgraded (within census tract, during this reporting cycle)
5. Quantification Period as Defined by QM (years)
6. Estimated Total Project GHG Emission Reductions for projects completed or incentives issued within census tract during this reporting cycle (MTCO _{2e} over quantification period)
7. If the Project Benefits AB 1550 Populations (disadvantaged communities; low-income communities; low-income households):* a. Indicate which AB 1550 criteria table was used to evaluate the project (e.g., Table 2.A-1). Use CARB’s Funding Guidelines, Volume 2, Appendix 2.A to find the appropriate table. b. Identify each type of AB 1550 population that the project benefits (e.g., low-income households and low-income community census tracts within ½-mile of a disadvantaged community census tract). Refer to Appendix 2.A, AB 1550 criteria table, Step 1. Maps/lists that identify AB 1550 populations are available at: www.calepa.ca.gov/envjustice/ghginvest . c. Describe the approach used to determine that the project meaningfully addresses a community or household need (e.g., hosting community meetings to engage local residents). Refer to Appendix 2.A, AB 1550 criteria table, Step 2. d. Describe how the project meaningfully addresses a community or household need (e.g., project will reduce transportation costs). e. Indicate one criterion that was used to qualify the project as providing benefits to AB 1550 populations. Refer to Appendix 2.A, AB 1550 criteria table, Step 3.

* Projects that were selected before the effective date of these Funding Guidelines may still need to report on benefits based on the SB 535 criteria in CARB’s 2015 Funding Guidelines. CARB will work with administering agencies to determine data submittal formats for SB 535 benefits, as needed.

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Appendix 3.A

Reporting Requirements for All Projects Covered by the Following Table

Table 3.A-7 ENERGY EFFICIENCY AND RENEWABLE ENERGY (continued)

(CSD Low-Income Weatherization Program; SGC Transformative Climate Communities program)

Implemented (continued)

<ul style="list-style-type: none"> f. Provide a qualitative description of how the project benefits AB 1550 populations. Include quantitative metrics if available. g. Identify each census tract where the project benefits an AB 1550 population. h. For each type of AB 1550 population identified in (b) above, report the total GGRF dollars that benefit that population within each census tract identified in (g) above (e.g., during this reporting cycle \$X.X million benefited disadvantaged community residents in census tract ##; during this reporting cycle \$X.X million benefited low-income community residents in census tract ##). i. For each type of AB 1550 population identified in (b) above, report the total number of dwellings/buildings/locations upgraded which benefit that population within each census tract identified in (g) above (e.g., during this reporting cycle 1,500 dwellings were upgraded for disadvantaged communities in census tract ##; during this reporting cycle 2,000 dwellings were upgraded for low-income communities in census tract ##).
<p>8. Project Co-Benefits and Indicators (within census tract during this reporting cycle):</p> <ul style="list-style-type: none"> a. Energy Generated (kWh) b. Energy Saved (kWh and therms)
<p>9. Other Project Benefits or Results (during this reporting cycle)</p>
<p>10. Program-level Information</p>

Project Outcome Reporting - For a subset of projects, as identified by the administering agency, the agency must submit data for project outcome reporting (details are provided in Appendix 3.B) once “operational.”

Closeout - When the project is “complete” (the legal agreement with the funding recipient has ended or when all funds associated with that contract are expended, whichever is later), the administering agency must report the following data. Report once at next reporting cycle.

<p>1. Status (“completed” or “cancelled”)</p>
<p>2. Describe Completed Project or Provide Other Project Details</p>
<p>3. Updated Information (provide the following updates if needed and if applicable):</p> <ul style="list-style-type: none"> a. Estimated Total Project GHG Emission Reductions (MTCO_{2e} over the quantification period) b. Total Energy Generated (kWh) c. Total Energy Saved (kWh and therms)

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Appendix 3.A

Reporting Requirements for All Projects Covered by the Following Table

Table 3.A-8 ENERGY EFFICIENCY AND RENEWABLE ENERGY IN PUBLIC BUILDINGS

(Energy Efficiency Financing)

CARB will work with administering agencies to develop reporting templates for data submittal. Provided below are the primary items that administering agencies need to track and report. Additional information may be required to respond to official data requests.

Administering agencies must report data for each project, as described below:

For each loan to a public agency, submit data on each energy efficiency measure that the agency installs/upgrades.

Selected (Optional) - Prior to executing a legal agreement with a funding recipient, when the administering agency announces a new funding recipient or allocates new funds for an existing funding recipient, the agency may choose to report the following data on “selected” projects. Report once at next reporting cycle (only update if needed). “Selected” projects that have been “awarded” will need to be removed from the reported list.

1. Funding Recipient
2. Project Name
3. Project Type
4. Project Description
5. Total GGRF Funding (\$)
6. Estimated Total Project GHG Emission Reductions (MTCO₂e over quantification period)

Awarded/Implemented - When the administering agency executes a legal agreement with a funding recipient (e.g., a contract, loan agreement, amendment to add new funding) or when the agency selects a project for direct funding, the agency must report the data. At this point, projects are also considered to be “implemented.” Report once (only update if needed).

1. Project Identification Number
2. Subprogram
3. Funding Recipient
4. Project Name
5. Project Description
6. Date Project Selected
7. Project Completion Date (anticipated or actual)
8. Total GGRF Funding (\$)
9. Fiscal Year(s) for GGRF Appropriation that is Funding the Project
10. Estimated Number of Buildings to Receive Upgrades
11. Quantification Period as Defined by QM (years)
12. Estimated Total Project GHG Emission Reductions (MTCO₂e over quantification period)
13. Estimated Project Co-Benefits and Indicators:
 - a. Energy Generated (kWh)
 - b. Energy Saved (kWh and therms)
14. Other Project Benefits or Results

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Appendix 3.A

Reporting Requirements for All Projects Covered by the Following Table

Table 3.A-8 ENERGY EFFICIENCY AND RENEWABLE ENERGY IN PUBLIC BUILDINGS (continued)

(Energy Efficiency Financing)

Awarded/Implemented (continued)

15. Version Tracking Date (this date indicates which document versions (e.g., quantification methodology, CalEnviroScreen, Expenditure Record) were applicable when the administering agency selected the project)
16. If the Project Benefits AB 1550 Populations (disadvantaged communities; low-income communities; low-income households):* <ul style="list-style-type: none"> a. Indicate which AB 1550 criteria table was used to evaluate the project (e.g., Table 2.A-1). Use CARB’s Funding Guidelines, Volume 2, Appendix 2.A to find the appropriate table. b. Identify each type of AB 1550 population that the project benefits (e.g., low-income households and low-income community census tracts within ½-mile of a disadvantaged community census tract). Refer to Appendix 2.A, AB 1550 criteria table, Step 1. Maps/lists that identify AB 1550 populations are available at: www.calepa.ca.gov/envjustice/ghginvest. c. Describe the approach used to determine that the project meaningfully addresses a community or household need (e.g., hosting community meetings to engage local residents). Refer to Appendix 2.A, AB 1550 criteria table, Step 2. d. Describe how the project meaningfully addresses a community or household need (e.g., project will reduce transportation costs). e. Indicate one criterion that was used to qualify the project as providing benefits to AB 1550 populations. Refer to Appendix 2.A, AB 1550 criteria table, Step 3. f. Provide a qualitative description of how the project benefits AB 1550 populations. Include quantitative metrics if available. g. Identify each census tract where the project benefits an AB 1550 population. h. For each type of AB 1550 population identified in (b) above, report the total GGRF dollars that benefit that population within each census tract identified in (g) above (e.g., \$X.X million benefited disadvantaged community residents in census tract ##; \$X.X million benefited low-income community residents in census tract ##). i. For each type of AB 1550 population identified in (b) above, report the total number of buildings upgraded which benefit that population within each census tract identified in (g) above (e.g., 1 building upgrade benefited disadvantaged community residents in census tract ##; 2 building upgrades benefited low-income community residents in census tract ##).
17. Date Operational
18. Date GHG Emission Reductions Begin

* Projects that were selected before the effective date of these Funding Guidelines may still need to report on benefits based on the SB 535 criteria in CARB’s 2015 Funding Guidelines. CARB will work with administering agencies to determine data submittal formats for SB 535 benefits, as needed.

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Appendix 3.A

Reporting Requirements for All Projects Covered by the Following Table

Table 3.A-8 ENERGY EFFICIENCY AND RENEWABLE ENERGY IN PUBLIC BUILDINGS (continued)

(Energy Efficiency Financing)

Updates - For projects that are not yet “complete” (the legal agreement with the funding recipient has not ended), report the following data, if applicable. Report this data each reporting cycle for all activities that have occurred since the previous data submittal.

4. Project Activities Completed to Date

5. Project Co-Benefits and Indicators:

c. Energy Generated (kWh)

d. Energy Saved (kWh and therms)

6. Program-level Information

Project Outcome Reporting - For a subset of projects, as identified by the administering agency, the agency must submit data for project outcome reporting (details are provided in Appendix 3.B) once “operational.”

Closeout - When the project is “complete” (the legal agreement with the funding recipient has ended), the administering agency must report the following data. Report once at next reporting cycle.

1. Status (“completed” or “cancelled”)

2. Describe Completed Project or Provide Other Project Details

3. Updated Information (provide the following updates if needed and if applicable):

a. Estimated Total Project GHG Emission Reductions (MTCO_{2e} over quantification period)

b. Total Energy Generated (kWh)

c. Total Energy Saved (kWh and therms)

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Appendix 3.A

Reporting Requirements for All Projects Covered by the Following Table

**Table 3.A-9 WATER USE EFFICIENCY / ENERGY EFFICIENCY GRANTS -
AGRICULTURAL**

(CDFA State Water Efficiency and Enhancement Program)

CARB will work with administering agencies to develop reporting templates for data submittal. Provided below are the primary items that administering agencies need to track and report. Additional information may be required to respond to official data requests.

Administering agencies must report data for each project, as described below:

For each grant, submit data on each irrigation upgrade project.

Selected (Optional) - Prior to executing a legal agreement with a funding recipient, when the administering agency announces a new funding recipient or allocates new funds for an existing funding recipient, the agency may choose to report the following data on “selected” projects. Report once at next reporting cycle (only update if needed). “Selected” projects that have been “awarded” will need to be removed from the reported list.

1. Funding Recipient
2. Project Name
3. Project Type
4. Project Description
5. Total GGRF Funding (\$)
6. Estimated Total Project GHG Emission Reductions (MTCO_{2e} over quantification period)

Awarded/Implemented - When the administering agency executes a legal agreement with a funding recipient (e.g., a contract, grant agreement, amendment to add new funding), the agency must report data on “awarded” projects. At this point, projects are also considered to be “implemented.” Report once at next funding cycle (only update if needed).

1. Project Identification Number
2. Project Name
3. Project Type
4. Project Description
5. Date Project Selected
6. Project Completion Date (anticipated or actual)
7. Total Project Cost (\$) (including both GGRF and non-GGRF funds)
8. Total GGRF Funding (\$)
9. Matching Funds (\$)
10. Fiscal Year(s) for GGRF Appropriation that is Funding the Project
11. Quantification Period as Defined by QM (years)
12. Estimated Total Project GHG Emission Reductions (MTCO_{2e} over quantification period)
13. Project Location (e.g., census tract number, address, geographic coordinates, GIS file)

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Appendix 3.A

Reporting Requirements for All Projects Covered by the Following Table

**Table 3.A-9 WATER USE EFFICIENCY / ENERGY EFFICIENCY GRANTS -
AGRICULTURAL (continued)**

(CDFA State Water Efficiency and Enhancement Program)

Awarded/Implemented (continued)

14. Estimated Project Co-Benefits and Indicators:

- a. Water Saved (gallons)
- b. Energy Generated (kWh)
- c. Energy Saved (kWh)
- d. Criteria Air Pollution Reductions (tons)
- e. Fuel Use Reductions (gallons)

15. Other Project Benefits or Results

16. Version Tracking Date (this date indicates which document versions (e.g., quantification methodology, CalEnviroScreen, Expenditure Record) were applicable when the administering agency selected the project)

17. If the Project Benefits AB 1550 Populations (disadvantaged communities; low-income communities; low-income households):*

- a. Indicate which AB 1550 criteria table was used to evaluate the project (e.g., Table 2.A-1). Use CARB's Funding Guidelines, Volume 2, Appendix 2.A to find the appropriate table.
- b. Identify each type of AB 1550 population that the project benefits (e.g., low-income households and low-income community census tracts within ½-mile of a disadvantaged community census tract). Refer to Appendix 2.A, AB 1550 criteria table, Step 1. Maps/lists that identify AB 1550 populations are available at:
www.calepa.ca.gov/envjustice/ghginvest.
- c. Describe the approach used to determine that the project meaningfully addresses a community or household need (e.g., hosting community meetings to engage local residents). Refer to Appendix 2.A, AB 1550 criteria table, Step 2.
- d. Describe how the project meaningfully addresses a community or household need (e.g., project will reduce transportation costs).
- e. Indicate one criterion that was used to qualify the project as providing benefits to AB 1550 populations. Refer to Appendix 2.A, AB 1550 criteria table, Step 3.
- f. Provide a qualitative description of how the project benefits AB 1550 populations. Include quantitative metrics if available.
- g. Identify each census tract where the project benefits an AB 1550 population.
- h. For each type of AB 1550 population identified in (b) above, report the total GGRF dollars that benefit that population within each census tract identified in (g) above (e.g., \$X.X million benefited disadvantaged community residents in census tract ##; \$X.X million benefited low-income community residents in census tract ##).

18. Date Operational

19. Date GHG Emission Reductions Begin

* Projects that were selected before the effective date of these Funding Guidelines may still need to report on benefits based on the SB 535 criteria in CARB's 2015 Funding Guidelines. CARB will work with administering agencies to determine data submittal formats for SB 535 benefits, as needed.

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Appendix 3.A

Reporting Requirements for All Projects Covered by the Following Table

Table 3.A-9 WATER USE EFFICIENCY / ENERGY EFFICIENCY GRANTS - AGRICULTURAL (continued)

(CDFA State Water Efficiency and Enhancement Program)

Updates - For projects that are not yet “complete” (the legal agreement with the funding recipient has not ended), report the following data, if applicable. Report this data each reporting cycle for all activities that have occurred since the previous data submittal.

1. Project Activities Completed to Date

2. Project Co-Benefits and Indicators:
- a. Water Saved (gallons)
 - b. Energy Generated (kWh)
 - c. Energy Saved (kWh)
 - d. Criteria Air Pollution Reductions (tons)
 - e. Fuel Use Reductions (gallons)

3. Program-level Information

Project Outcome Reporting - For a subset of projects, as identified by the administering agency, the agency must submit data for project outcome reporting (details are provided in Appendix 3.B) once “operational.”

Closeout - When the project is “complete” (the legal agreement with the funding recipient has ended), the administering agency must report the following data. Report once at next reporting cycle.

1. Status (“completed” or “cancelled”)

2. Describe Completed Project or Provide Other Project Details

3. Updated Information (provide the following updates if needed and if applicable):
- a. Estimated Total Project GHG Emission Reductions (MTCO₂e over quantification period)
 - b. Water Saved (gallons)
 - c. Energy Generated (kWh)
 - d. Energy Saved (kWh)
 - e. Criteria Air Pollution Reductions (tons)
 - f. Fuel Use Reductions (gallons)

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Appendix 3.A

Reporting Requirements for All Projects Covered by the Following Table

Table 3.A-10 WATER USE EFFICIENCY / ENERGY EFFICIENCY GRANTS

(DWR Water-Energy Grant Program)

CARB will work with administering agencies to develop reporting templates for data submittal. Provided below are the primary items that administering agencies need to track and report. Additional information may be required to respond to official data requests.

Administering agencies must report data for each project, as described below:

For each grant to a water agency or other entity that is implementing a water efficiency rebate/incentive program:

- The grantee will need to compile data from individual recipients of water efficiency rebates/incentives and provide that compiled data to the administering agency.
- The administering agency will then submit data to CARB with a summary of distributed incentives, by grantee and by census tract.

For each grant to a water agency or other entity that is implementing infrastructure upgrades, the administering agency will need to provide data on each infrastructure project.

Selected (Optional) - Prior to executing a legal agreement with a funding recipient, when the administering agency announces a new funding recipient or allocates new funds for an existing funding recipient, the agency may choose to report the following data on “selected” projects. Report once at next reporting cycle (only update if needed). “Selected” projects that have been “awarded” will need to be removed from the reported list.

1. Funding Recipient
2. Project Name
3. Project Type
4. Project Description
5. Total GGRF Funding (\$)
6. Estimated Total Project GHG Emission Reductions (MTCO₂e over quantification period)

Awarded - When the administering agency executes a legal agreement with a funding recipient (e.g., a contract, grant agreement, amendment to add new funding), the agency must report data on “awarded” projects. Report once at next funding cycle (only update if needed).

1. Project Identification Number
2. Subprogram
3. Funding Recipient
4. Project Name
5. Project Description
6. Date Project Selected
7. Project Completion Date (anticipated or actual)
8. Total GGRF Funding (\$)
9. Fiscal Year(s) for GGRF Appropriation that is Funding the Project
10. Estimated Number of Dwellings to Receive Upgrades
11. Quantification Period as Defined by QM (years)
12. Estimated Total Project GHG Emission Reductions (MTCO₂e over quantification period)

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Appendix 3.A

Reporting Requirements for All Projects Covered by the Following Table

**Table 3.A-10 WATER USE EFFICIENCY / ENERGY EFFICIENCY GRANTS
(continued)**

(DWR Water-Energy Grant Program)

Awarded (continued)

13. Estimated Project Co-Benefits and Indicators:

- a. Energy Saved (kWh and therms)
- b. Water Saved (gallons)
- c. Criteria Air Pollution Reductions (tons)
- d. Fuel Use Reductions (gallons)

14. Other Project Benefits or Results

15. Date Operational

16. Date GHG Emission Reductions Begin

17. Version Tracking Date (this date indicates which document versions (e.g., quantification methodology, CalEnviroScreen, Expenditure Record) were applicable when the administering agency selected the project)

Implemented - When rebates/incentives have been distributed or when upgrades/installations are complete, the administering agency must report the following data on “implemented” projects. Report this data each reporting cycle for all incentives that have been distributed or upgrades/installations that have been completed since the previous data submittal.

1. Census Tract

2. Total Project Cost (\$) (within census tract, including both GGRF and non-GGRF funds, during this reporting cycle)

3. Total GGRF Funding (\$) (within census tract, during this reporting cycle)

4. Number of installation locations (e.g., households; commercial or institutional buildings) upgraded within census tract, if applicable during this reporting cycle

5. Quantification Period as Defined by QM (years)

6. Estimated Total Project GHG Emission Reductions (MTCO₂e over quantification period) (for incentives issued within census tract during this reporting cycle)

7. If the Project Benefits AB 1550 Populations (disadvantaged communities; low-income communities; low-income households):*

- a. Indicate which AB 1550 criteria table was used to evaluate the project (e.g., Table 2.A-1). Use CARB’s Funding Guidelines, Volume 2, Appendix 2.A to find the appropriate table.
- b. Identify each type of AB 1550 population that the project benefits (e.g., low-income households and low-income community census tracts within ½-mile of a disadvantaged community census tract). Refer to Appendix 2.A, AB 1550 criteria table, Step 1. Maps/lists that identify AB 1550 populations are available at:
www.calepa.ca.gov/envjustice/ghqinvest.
- c. Describe the approach used to determine that the project meaningfully addresses a community or household need (e.g., hosting community meetings to engage local residents). Refer to Appendix 2.A, AB 1550 criteria table, Step 2.

* Projects that were selected before the effective date of these Funding Guidelines may still need to report on benefits based on the SB 535 criteria in CARB’s 2015 Funding Guidelines. CARB will work with administering agencies to determine data submittal formats for SB 535 benefits, as needed.

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Appendix 3.A

Reporting Requirements for All Projects Covered by the Following Table

Table 3.A-10 WATER USE EFFICIENCY / ENERGY EFFICIENCY GRANTS (continued)

(DWR Water-Energy Grant Program)

Implemented (continued)

<ul style="list-style-type: none"> d. Describe how the project meaningfully addresses a community or household need (e.g., project will reduce transportation costs). e. Indicate one criterion that was used to qualify the project as providing benefits to AB 1550 populations. Refer to Appendix 2.A, AB 1550 criteria table, Step 3. f. Provide a qualitative description of how the project benefits AB 1550 populations. Include quantitative metrics if available. g. Identify each census tract where the project benefits an AB 1550 population. h. For each type of AB 1550 population identified in (b) above, report the total GGRF dollars that benefit that population within each census tract identified in (g) above (e.g., during this reporting cycle, \$X.X million benefited disadvantaged community residents in census tract ##; during this reporting cycle, \$X.X million benefited low-income community residents in census tract ##). i. For each type of AB 1550 population identified in (b) above, report the total number of incentives issued which benefit that population within each census tract identified in (g) above (e.g., during this reporting cycle, 1,500 incentives benefited disadvantaged community residents in census tract ##; during this reporting cycle, 2,000 incentives benefited low-income community residents in census tract ##). This is only required for incentive-based programs.
<p>8. Project Co-Benefits and Indicators (within census tract during this reporting cycle):</p> <ul style="list-style-type: none"> a. Energy Saved (kWh and therms) b. Water Saved (gallons) c. Criteria Air Pollution Reductions (tons) d. Fuel Use Reductions (gallons)
<p>9. Other Project Benefits or Results (during this reporting cycle)</p>
<p>10. Program-level Information</p>

Project Outcome Reporting - For a subset of projects, as identified by the administering agency, the agency must submit data for project outcome reporting (details are provided in Appendix 3.B) once “operational.”

Closeout - When the project is “complete” (the legal agreement has ended or when all incentive funds associated with that contract are expended), the administering agency must report the following data. Report once at next reporting cycle.

<p>1. Status (“completed” or “cancelled”)</p>
<p>2. Describe Completed Project or Provide Other Project Details</p>
<p>3. Updated Information (provide the following updates if needed and if applicable):</p> <ul style="list-style-type: none"> a. Estimated Total Project GHG Emission Reductions (MTCO_{2e} over quantification period) b. Total Energy Saved (kWh and therms) c. Total Water Saved (gallons) d. Criteria Air Pollution Reductions (tons) e. Fuel Use Reductions (gallons)

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Appendix 3.A

Reporting Requirements for All Projects Covered by the Following Table

Table 3.A-11 WATER USE EFFICIENCY / ENERGY EFFICIENCY CAPITAL PROJECTS

(DWR Hydroelectric Turbine Upgrades)

CARB will work with administering agencies to develop reporting templates for data submittal. Provided below are the primary items that administering agencies need to track and report. Additional information may be required to respond to official data requests.

Administering agencies must report data for each project, as described below:

For each project directly funded by an administering agency, submit data on each capital project/equipment upgrade

Selected (Optional) - Prior to expending funds, when the administering agency announces funding intentions or finalizes project plans for upgrades, the agency may choose to report the following data on “selected” projects. Report once at next reporting cycle (only update if needed). “Selected” projects that have been “awarded” will need to be removed from the reported list.

1. Funding Recipient
2. Project Name
3. Project Type
4. Project Description
5. Total GGRF Funding (\$)
6. Estimated Total Project GHG Emission Reductions (MTCO₂e over quantification period)

Awarded/Implemented - When funds are appropriated to the administering agency, the agency must report data on “awarded” projects. At this point, projects are also considered to be “implemented.” Report once at next funding cycle (only update if needed).

1. Project Identification Number
2. Project Name
3. Project Type
4. Project Description
5. Date Project Selected
6. Project Completion Date (anticipated or actual)
7. Total Project Cost (\$) (including both GGRF and non-GGRF funds)
8. Total GGRF Funding (\$)
9. Fiscal Year(s) for GGRF Appropriation that is Funding the Project
10. Quantification Period as Defined by QM (years)
11. Estimated Total Project GHG Emission Reductions (MTCO₂e over quantification period)
12. Project Location (e.g., census tract number, address, geographic coordinates, GIS file)
13. Estimated Project Co-Benefits and Indicators:
 - a. Water Saved (gallons)
 - b. Energy Generated (MWh)
 - c. Criteria Air Pollution Reductions (tons)
 - d. Fuel Use Reductions (gallons)
14. Other Project Benefits or Results

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Appendix 3.A

Reporting Requirements for All Projects Covered by the Following Table

Table 3.A-11 WATER USE EFFICIENCY / ENERGY EFFICIENCY CAPITAL PROJECTS (continued)

(DWR Hydroelectric Turbine Upgrades)

Awarded/Implemented (continued)

16. Version Tracking Date (this date indicates which document versions (e.g., quantification methodology, CalEnviroScreen, Expenditure Record) were applicable when the administering agency selected the project)

17. If the Project Benefits AB 1550 Populations (disadvantaged communities; low-income communities; low-income households):*

- a. Indicate which AB 1550 criteria table was used to evaluate the project (e.g., Table 2.A-1). Use CARB’s Funding Guidelines, Volume 2, Appendix 2.A to find the appropriate table.
- b. Identify each type of AB 1550 population that the project benefits (e.g., low-income households and low-income community census tracts within ½-mile of a disadvantaged community census tract). Refer to Appendix 2.A, AB 1550 criteria table, Step 1. Maps/lists that identify AB 1550 populations are available at: www.calepa.ca.gov/envjustice/ghginvest.
- c. Describe the approach used to determine that the project meaningfully addresses a community or household need (e.g., hosting community meetings to engage local residents). Refer to Appendix 2.A, AB 1550 criteria table, Step 2.
- d. Describe how the project meaningfully addresses a community or household need (e.g., project will reduce transportation costs).
- e. Indicate one criterion that was used to qualify the project as providing benefits to AB 1550 populations. Refer to Appendix 2.A, AB 1550 criteria table, Step 3.
- f. Provide a qualitative description of how the project benefits AB 1550 populations. Include quantitative metrics if available.
- g. Identify each census tract where the project benefits an AB 1550 population.
- h. For each type of AB 1550 population identified in (b) above, report the total GGRF dollars that benefit that population within each census tract identified in (g) above (e.g., \$X.X million benefited disadvantaged community residents in census tract ##; \$X.X million benefited low-income community residents in census tract ##).
- i. For each type of AB 1550 population identified in (b) above, report the total number of incentives issued which benefit that population within each census tract identified in (g) above (e.g., 1,500 incentives benefited disadvantaged community residents in census tract ##; 2,000 incentives benefited low-income community residents in census tract ##). This is only required for incentive-based programs.

18. Date Operational

19. Date GHG Emission Reductions Begin

* Projects that were selected before the effective date of these Funding Guidelines may still need to report on benefits based on the SB 535 criteria in CARB’s 2015 Funding Guidelines. CARB will work with administering agencies to determine data submittal formats for SB 535 benefits, as needed.

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Appendix 3.A

Reporting Requirements for All Projects Covered by the Following Table

Table 3.A-11 WATER USE EFFICIENCY / ENERGY EFFICIENCY CAPITAL PROJECTS (continued)

(DWR Hydroelectric Turbine Upgrades)

Updates - For projects that are not yet “complete” (all project activities are not complete), report the following data, if applicable. Report this data each reporting cycle for all activities that have occurred since the previous data submittal.

1. Project Activities Completed to Date

2. Project Co-Benefits and Indicators:
- a. Water Saved (gallons)
 - b. Energy Generated (MWh)
 - c. Criteria Air Pollution Reductions (tons)
 - d. Fuel Use Reductions (gallons)

3. Program-level Information

Project Outcome Reporting - For a subset of projects, as identified by the administering agency, the agency must submit data for project outcome reporting (details are provided in Appendix 3.B) once “operational.”

Closeout - When the project is “complete” (all project activities are complete), the administering agency must report the following data. Report once at next reporting cycle.

1. Status (“completed” or “cancelled”)

2. Describe Completed Project or Provide Other Project Details

3. Updated Information (provide the following updates if needed and if applicable):
- a. Estimated Total Project GHG Emission Reductions (MTCO_{2e} over quantification period)
 - b. Water Saved (gallons)
 - c. Energy Generated (MWh)
 - d. Criteria Air Pollution Reductions (tons)
 - e. Fuel Use Reductions (gallons)

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Appendix 3.A

Reporting Requirements for All Projects Covered by the Following Table

Table 3.A-12 LAND CONSERVATION

(SGC Sustainable Agricultural Lands Conservation Program; CAL FIRE Forest Legacy Program)

CARB will work with administering agencies to develop reporting templates for data submittal. Provided below are the primary items that administering agencies need to track and report. Additional information may be required to respond to official data requests.

Administering agencies must report data for each project, as described below:

For each grant, submit data on:

- Each forest conservation easement;
- Each agricultural conservation easement; and
- Each agricultural land conservation outcome.

Selected (Optional) - Prior to executing a legal agreement with a funding recipient, when the administering agency announces a new funding recipient or allocates new funds for an existing funding recipient, the agency may choose to report the following data on “selected” projects. Report once at next reporting cycle (only update if needed). “Selected” projects that have been “awarded” will need to be removed from the reported list.

1. Funding Recipient
2. Project Name
3. Project Type
4. Project Description
5. Total GGRF Funding (\$)
6. Estimated Total Project GHG Emission Reductions (MTCO₂e over quantification period)

Awarded/Implemented - When the administering agency executes a legal agreement with a funding recipient (e.g., a contract, grant agreement, amendment to add new funding), the agency must report data on “awarded” projects. At this point, projects are also considered to be “implemented.” Report once at next funding cycle (only update if needed).

1. Project Identification Number
2. Project Name
3. Project Type
4. Project Description
5. Date Project Selected
6. Project Completion Date (anticipated or actual)
7. Total Project Cost (\$) (including both GGRF and non-GGRF funds)
8. Total GGRF Funding (\$)
9. Fiscal Year(s) for GGRF Appropriation that is Funding the Project
10. Quantification Period as Defined by QM (years)
11. Estimated Total Project GHG Emission Reductions (MTCO₂e over quantification period)
12. Project Location (e.g., census tract number, address, geographic coordinates, GIS file)
13. Estimated Project Co-Benefits and Indicators:
 - a. Acres Preserved
 - b. VMT Reductions (miles)
 - c. Criteria Air Pollution Reductions (tons)
 - d. Fuel Use Reductions (gallons)

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Appendix 3.A

Reporting Requirements for All Projects Covered by the Following Table

Table 3.A-12 LAND CONSERVATION (continued)

(SGC Sustainable Agricultural Lands Conservation Program; CAL FIRE Forest Legacy Program)

Awarded/Implemented (continued)

14. Other Project Benefits or Results

15. Version Tracking Date (this date indicates which document versions (e.g., quantification methodology, CalEnviroScreen, Expenditure Record) were applicable when the administering agency selected the project)

16. If the Project Benefits AB 1550 Populations (disadvantaged communities; low-income communities; low-income households):*

- a. Indicate which AB 1550 criteria table was used to evaluate the project (e.g., Table 2.A-1). Use CARB’s Funding Guidelines, Volume 2, Appendix 2.A to find the appropriate table.
- b. Identify each type of AB 1550 population that the project benefits (e.g., low-income households and low-income community census tracts within ½-mile of a disadvantaged community census tract). Refer to Appendix 2.A, AB 1550 criteria table, Step 1. Maps/lists that identify AB 1550 populations are available at:
www.calepa.ca.gov/envjustice/ghginvest.
- c. Describe the approach used to determine that the project meaningfully addresses a community or household need (e.g., hosting community meetings to engage local residents). Refer to Appendix 2.A, AB 1550 criteria table, Step 2.
- d. Describe how the project meaningfully addresses a community or household need (e.g., project will reduce transportation costs).
- e. Indicate one criterion that was used to qualify the project as providing benefits to AB 1550 populations. Refer to Appendix 2.A, AB 1550 criteria table, Step 3.
- f. Provide a qualitative description of how the project benefits AB 1550 populations. Include quantitative metrics if available.
- g. Identify each census tract where the project benefits an AB 1550 population.
- h. For each type of AB 1550 population identified in (b) above, report the total GGRF dollars that benefit that population within each census tract identified in (g) above (e.g., \$X.X million benefited disadvantaged community residents in census tract ##; \$X.X million benefited low-income community residents in census tract ##).

17. Date Operational

18. Date GHG Emission Reductions Begin

* Projects that were selected before the effective date of these Funding Guidelines may still need to report on benefits based on the SB 535 criteria in CARB’s 2015 Funding Guidelines. CARB will work with administering agencies to determine data submittal formats for SB 535 benefits, as needed.

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Appendix 3.A

Reporting Requirements for All Projects Covered by the Following Table

Table 3.A-12 LAND CONSERVATION (continued)

(SGC Sustainable Agricultural Lands Conservation Program; CALFIRE Forest Legacy Program)

Updates - For projects that are not yet “complete” (the legal agreement with the funding recipient has not ended), report the following data, if applicable. Report this data each reporting cycle for all activities that have occurred since the previous data submittal.

1. Project Activities Completed to Date

2. Project Co-Benefits and Indicators:
- a. Acres Preserved
 - b. VMT Reductions (miles)
 - c. Criteria Air Pollution Reductions (tons)
 - d. Fuel Use Reductions (gallons)

3. Program-level Information

Project Outcome Reporting - For a subset of projects, as identified by the administering agency, the agency must submit data for project outcome reporting (details are provided in Appendix 3.B) once “operational.”

Closeout - When the project is “complete” (the legal agreement with the funding recipient has ended), the administering agency must report the following data. Report once at next reporting cycle.

1. Status (“completed” or “cancelled”)

2. Describe Completed Project or Provide Other Project Details

3. Updated Information (provide the following updates if needed and if applicable):
- a. Estimated Total Project GHG Emission Reductions (MTCO_{2e} over quantification period)
 - b. Acres Preserved
 - c. VMT Reductions (miles)
 - d. Criteria Air Pollution Reductions (tons)
 - e. Fuel Use Reductions (gallons)

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Appendix 3.A

Reporting Requirements for All Projects Covered by the Following Table

Table 3.A-13 WETLANDS RESTORATION

(DFW Wetlands Restoration for Greenhouse Gas Reduction Program)

CARB will work with administering agencies to develop reporting templates for data submittal. Provided below are the primary items that administering agencies need to track and report. Additional information may be required to respond to official data requests.

Administering agencies must report data for each project, as described below:

For each grant, submit data on:

- Each coastal wetland;
- Each delta wetland; and
- Each mountain meadows wetland.

Selected (Optional) - Prior to executing a legal agreement with a funding recipient, when the administering agency announces a new funding recipient or allocates new funds for an existing funding recipient, the agency may choose to report the following data on “selected” projects. Report once at next reporting cycle (only update if needed). “Selected” projects that have been “awarded” will need to be removed from the reported list.

1. Funding Recipient
2. Project Name
3. Project Type
4. Project Description
5. Total GGRF Funding (\$)
6. Estimated Total Project GHG Emission Reductions (MTCO₂e over quantification period)

Awarded/Implemented - When the administering agency executes a legal agreement with a funding recipient (e.g., a contract, grant agreement, amendment to add new funding), the agency must report data on “awarded” projects. At this point, projects are also considered to be “implemented.” Report once at next funding cycle (only update if needed).

1. Project Identification Number
2. Project Name
3. Project Type
4. Project Description
5. Date Project Selected
6. Project Completion Date (anticipated or actual)
7. Total Project Cost (\$) (including both GGRF and non-GGRF funds)
8. Total GGRF Funding (\$)
9. Fiscal Year(s) for GGRF Appropriation that is Funding the Project
10. Quantification Period as Defined by QM (years)
11. Estimated Total Project GHG Emission Reductions (MTCO₂e over quantification period)
12. Project Location (e.g., census tract number, address, geographic coordinates, GIS file)

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Appendix 3.A

Reporting Requirements for All Projects Covered by the Following Table

Table 3.A-13 WETLANDS RESTORATION (continued)

(DFW Wetlands Restoration for Greenhouse Gas Reduction Program)

Awarded/Implemented (continued)

13. Estimated Project Co-Benefits and Indicators:

- a. Acres Preserved or Restored
- b. Criteria Air Pollution Reductions (tons)

14. Other Project Benefits or Results

15. Version Tracking Date (this date indicates which document versions (e.g., quantification methodology, CalEnviroScreen, Expenditure Record) were applicable when the administering agency selected the project)

16. If the Project Benefits AB 1550 Populations (disadvantaged communities; low-income communities; low-income households):*

- a. Indicate which AB 1550 criteria table was used to evaluate the project (e.g., Table 2.A-1). Use CARB's Funding Guidelines, Volume 2, Appendix 2.A to find the appropriate table.
- b. Identify each type of AB 1550 population that the project benefits (e.g., low-income households and low-income community census tracts within ½-mile of a disadvantaged community census tract). Refer to Appendix 2.A, AB 1550 criteria table, Step 1. Maps/lists that identify AB 1550 populations are available at: www.calepa.ca.gov/envjustice/ghginvest.
- c. Describe the approach used to determine that the project meaningfully addresses a community or household need (e.g., hosting community meetings to engage local residents). Refer to Appendix 2.A, AB 1550 criteria table, Step 2.
- d. Describe how the project meaningfully addresses a community or household need (e.g., project will reduce transportation costs).
- e. Indicate one criterion that was used to qualify the project as providing benefits to AB 1550 populations. Refer to Appendix 2.A, AB 1550 criteria table, Step 3.
- f. Provide a qualitative description of how the project benefits AB 1550 populations. Include quantitative metrics if available.
- g. Identify each census tract where the project benefits AB 1550 populations.
- h. For each type of AB 1550 population identified in (b) above, report the total GGRF dollars that benefit that population within each census tract identified in (g) above (e.g., \$X.X million benefited disadvantaged community residents in census tract ##; \$X.X million benefited low-income community residents in census tract ##).

17. Date Operational

18. Date GHG Emission Reductions Begin

* Projects that were selected before the effective date of these Funding Guidelines may still need to report on benefits based on the SB 535 criteria in CARB's 2015 Funding Guidelines. CARB will work with administering agencies to determine data submittal formats for SB 535 benefits, as needed.

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Appendix 3.A

Reporting Requirements for All Projects Covered by the Following Table

Table 3.A-13 WETLANDS RESTORATION (continued)

(DFW Wetlands Restoration for Greenhouse Gas Reduction Program)

Updates - For projects that are not yet “complete” (the legal agreement with the funding recipient has not ended), report the following data, if applicable. Report this data each reporting cycle for all activities that have occurred since the previous data submittal.

1. Project Activities Completed to Date

2. Project Co-Benefits and Indicators:

a. Acres Preserved or Restored

b. Criteria Air Pollution Reductions (tons)

3. Program-level Information

Project Outcome Reporting - For a subset of projects, as identified by the administering agency, the agency must submit data for project outcome reporting (details are provided in Appendix 3.B) once “operational.”

Closeout - When the project is “complete” (the legal agreement with the funding recipient has ended), the administering agency must report the following data. Report once at next reporting cycle.

1. Status (“completed” or “cancelled”)

2. Describe Completed Project or Provide Other Project Details

3. Updated Information (provide the following updates if needed and if applicable):

a. Estimated Total Project GHG Emission Reductions (MTCO₂e over quantification period)

b. Acres Preserved or Restored

c. Criteria Air Pollution Reductions (tons)

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Appendix 3.A

Reporting Requirements for All Projects Covered by the Following Table

Table 3.A-14 URBAN FORESTRY AND URBAN GREENING

(CAL FIRE urban forestry programs; CNRA urban greening program; SGC Transformative Climate Communities program)

CARB will work with administering agencies to develop reporting templates for data submittal. Provided below are the primary items that administering agencies need to track and report. Additional information may be required to respond to official data requests.

Administering agencies must report data for each project, as described below:

For each grant, submit data on:

- Each urban tree/vegetation planting site; and
- Each urban forest management project.

Selected (Optional) - Prior to executing a legal agreement with a funding recipient, when the administering agency announces a new funding recipient or allocates new funds for an existing funding recipient, the agency may choose to report the following data on “selected” projects. Report once at next reporting cycle (only update if needed). “Selected” projects that have been “awarded” will need to be removed from the reported list.

1. Funding Recipient
2. Project Name
3. Project Type
4. Project Description
5. Total GGRF Funding (\$)
6. Estimated Total Project GHG Emission Reductions (MTCO₂e over quantification period)

Awarded - When the administering agency executes a legal agreement with a funding recipient (e.g., a contract, grant agreement, amendment to add new funding), the agency must report data on “awarded” projects. Report once at next funding cycle (only update if needed).

1. Project Identification Number
2. Funding Recipient
3. Project Name
4. Project Type
5. Project Description
6. Date Project Selected
7. Project Completion Date (anticipated or actual)
8. Total GGRF Funding (\$)
9. Fiscal Year(s) for GGRF Appropriation that is Funding the Project
10. Estimated Number of Trees to be Planted
11. Quantification Period as Defined by QM (years)
12. Estimated Total Project GHG Emission Reductions (MTCO₂e over quantification period)

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Appendix 3.A

Reporting Requirements for All Projects Covered by the Following Table

Table 3.A-14 URBAN FORESTRY AND URBAN GREENING (continued)

(CAL FIRE urban forestry programs; CNRA urban greening program; SGC Transformative Climate Communities program)

Awarded (continued)
13. Estimated Project Co-Benefits and Indicators: <ul style="list-style-type: none"> a. Energy Generated from Biomass (kWh) b. Number of Trees Planted c. Energy Savings from Shade (kWh) d. VMT Reductions (miles) e. Criteria Air Pollution Reductions (tons) f. Fuel Use Reductions (gallons)
14. Other Project Benefits or Results
15. Date Operational
16. Date GHG Emission Reductions Begin
17. Version Tracking Date (this date indicates which document versions (e.g., quantification methodology, CalEnviroScreen, Expenditure Record) were applicable when the administering agency selected the project)

Implemented - When trees/vegetation are planted and project locations are known, the administering agency must report the following data on “implemented” projects. Report this data each reporting cycle for all trees/vegetation that have been planted since the previous data submittal.

1. Project Type
2. Project Location (e.g., address, geographic coordinates, GIS file)
3. Total Project Cost (\$) (within census tract, including both GGRF and non-GGRF funds, during this reporting cycle)
4. Total GGRF Funding (\$) (within census tract, during this reporting cycle)
5. Number of Trees Planted (during this reporting cycle)
6. Quantification Period as Defined by QM (years)
7. Estimated Total Project GHG Emission Reductions (MTCO ₂ e over quantification period) (for trees planted during this reporting cycle)
8. If the project benefits AB 1550 populations, (disadvantaged communities; low-income communities; low-income households), report the following:* <ul style="list-style-type: none"> a. Indicate which AB 1550 criteria table was used to evaluate the project (e.g., Table 2.A-1). Use CARB’s Funding Guidelines, Volume 2, Appendix 2.A to find the appropriate table. b. Identify each type of AB 1550 population that the project benefits (e.g., low-income households and low-income community census tracts within ½-mile of a disadvantaged community census tract). Refer to Appendix 2.A, AB 1550 criteria table, Step 1. Maps/lists that identify AB 1550 populations are available at: www.calepa.ca.gov/envjustice/ghqinvest c. Describe the approach used to determine that the project meaningfully addresses a community or household need (e.g., hosting community meetings to engage local residents). Refer to Appendix 2.A, AB 1550 criteria table, Step 2.

* Projects that were selected before the effective date of these Funding Guidelines may still need to report on benefits based on the SB 535 criteria in CARB’s 2015 Funding Guidelines. CARB will work with administering agencies to determine data submittal formats for SB 535 benefits, as needed.

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Appendix 3.A

Reporting Requirements for All Projects Covered by the Following Table

Table 3.A-14 URBAN FORESTRY AND URBAN GREENING (continued)

(CAL FIRE urban forestry programs; CNRA urban greening program; SGC Transformative Climate Communities program)

Implemented (continued)
<ul style="list-style-type: none"> d. Describe how the project meaningfully addresses a community or household need (e.g., project will reduce transportation costs). e. Indicate one criterion that was used to qualify the project as providing benefits to AB 1550 populations. Refer to Appendix 2.A, AB 1550 criteria table, Step 3. f. Provide a qualitative description of how the project benefits AB 1550 populations. Include quantitative metrics if available. g. Identify each census tract where the project benefits an AB 1550 population. h. For each type of AB 1550 population identified in (b) above, report the total GGRF dollars that benefit that population within each census tract identified in (g) above (e.g., during this reporting cycle \$X.X million benefited disadvantaged community residents in census tract ##; during this reporting cycle \$X.X million benefited low-income community residents in census tract ##). i. For each type of AB 1550 population identified in (b) above, report the total number of trees planted which benefit that population within each census tract identified in (g) above (e.g., during this reporting cycle 1,500 trees benefited disadvantaged community residents in census tract ##; during this reporting cycle 2,000 trees benefited low-income community residents in census tract ##).
<p>9. Project Co-Benefits and Indicators (within census tract during this reporting cycle):</p> <ul style="list-style-type: none"> a. Energy Generated from Biomass (kWh) b. Number of Trees Planted c. Energy Savings from Shade (kWh) d. VMT Reductions (miles) e. Criteria Air Pollution Reductions (tons) f. Fuel Use Reductions (gallons)
10. Other Project Benefits or Results (during this reporting cycle)
11. Program-level Information

Project Outcome Reporting - For a subset of projects, as identified by the administering agency, the agency must submit data for project outcome reporting (details are provided in Appendix 3.B) once “operational.”

Closeout - When the project is “complete” (the legal agreement has ended or all planting activities are completed, whichever is later), the administering agency must report the following data. Report once at next reporting cycle.

1. Status (“completed” or “cancelled”)
2. Describe Completed Project or Provide Other Project Details
<p>3. Updated Information (provide the following updates if needed and if applicable):</p> <ul style="list-style-type: none"> a. Estimated Total Project GHG Emission Reductions (MTCO_{2e} over quantification period) b. Energy Generated from Biomass (kWh) c. Number of Trees Planted d. Energy Savings from Shade (kWh) e. VMT Reductions (miles) f. Criteria Air Pollution Reductions (tons) g. Fuel Use Reductions (gallons)

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Appendix 3.A

Reporting Requirements for All Projects Covered by the Following Table

Table 3.A-15 FOREST HEALTH

(CAL FIRE Forest Health, Fuels Reduction, Forest Pest Control, and Land Conservation programs)

CARB will work with administering agencies to develop reporting templates for data submittal. Provided below are the primary items that administering agencies need to track and report. Additional information may be required to respond to official data requests.

Administering agencies must report data for each project, as described below:

For each grant, submit data on:

- Each tree/vegetation removal area;
- Each pest control area;
- Each reforestation area; and
- Each forest research project.

Selected (Optional) - Prior to executing a legal agreement with a funding recipient, when the administering agency announces a new funding recipient or allocates new funds for an existing funding recipient, the agency may choose to report the following data on “selected” projects. Report once at next reporting cycle (only update if needed). “Selected” projects that have been “awarded” will need to be removed from the reported list.

1. Funding Recipient
2. Project Name
3. Project Type
4. Project Description
5. Total GGRF Funding (\$)
6. Estimated Total Project GHG Emission Reductions (MTCO₂e over quantification period)

Awarded/Implemented - When the administering agency executes a legal agreement with a funding recipient (e.g., a contract, grant agreement, amendment to add new funding), the agency must report data on “awarded” projects. At this point, projects are also considered to be “implemented.” Report once at next funding cycle (only update if needed).

1. Project Identification Number
2. Project Name
3. Project Type
4. Project Description
5. Date Project Selected
6. Project Completion Date (anticipated or actual)
7. Total Project Cost (\$) (including both GGRF and non-GGRF funds)
8. Total GGRF Funding (\$)
9. Fiscal Year(s) for GGRF Appropriation that is Funding the Project
10. Quantification Period as Defined by QM (years)
11. Estimated Total Project GHG Emission Reductions (MTCO₂e over quantification period)
12. Project Location (e.g., census tract number, address, geographic coordinates, GIS file)

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Appendix 3.A

Reporting Requirements for All Projects Covered by the Following Table

Table 3.A-15 FOREST HEALTH (continued) <i>(CAL FIRE Forest Health, Fuels Reduction, Forest Pest Control, and Land Conservation programs)</i>
Awarded/Implemented (continued)
13. Estimated Project Co-Benefits and Indicators: <ul style="list-style-type: none"> a. Acres Preserved b. Acres Treated c. Energy Generated from Biomass (kWh) d. Number of Trees Planted e. Criteria Air Pollution Reductions (tons)
14. Other Project Benefits or Results
15. Version Tracking Date (this date indicates which document versions (e.g., quantification methodology, CalEnviroScreen, Expenditure Record) were applicable when the administering agency selected the project)
16. If the Project Benefits AB 1550 Populations (disadvantaged communities; low-income communities; low-income households):* <ul style="list-style-type: none"> a. Indicate which AB 1550 criteria table was used to evaluate the project (e.g., Table 2.A-1). Use CARB’s Funding Guidelines, Volume 2, Appendix 2.A to find the appropriate table. b. Identify each type of AB 1550 population that the project benefits (e.g., low-income households and low-income community census tracts within ½-mile of a disadvantaged community census tract). Refer to Appendix 2.A, AB 1550 criteria table, Step 1. Maps/lists that identify AB 1550 populations are available at: www.calepa.ca.gov/envjustice/ghqinvest. c. Describe the approach used to determine that the project meaningfully addresses a community or household need (e.g., hosting community meetings to engage local residents). Refer to Appendix 2.A, AB 1550 criteria table, Step 2. d. Describe how the project meaningfully addresses a community or household need (e.g., project will reduce transportation costs). e. Indicate one criterion that was used to qualify the project as providing benefits to AB 1550 populations. Refer to Appendix 2.A, AB 1550 criteria table, Step 3. f. Provide a qualitative description of how the project benefits AB 1550 populations. Include quantitative metrics if available. g. Identify each census tract where the project benefits an AB 1550 population. h. For each type of AB 1550 population identified in (b) above, report the total GGRF dollars that benefit that population within each census tract identified in (g) above (e.g., \$X.X million benefited disadvantaged community residents in census tract ##; \$X.X million benefited low-income community residents in census tract ##). i. For each type of AB 1550 population identified in (b) above, report the total number of trees planted which benefit that population within each census tract identified in (g) above (e.g., 1,500 trees benefited disadvantaged community residents in census tract ##; 2,000 trees benefited low-income community residents in census tract ##).
17. Date Operational
18. Date GHG Emission Reductions Begin

** Projects that were selected before the effective date of these Funding Guidelines may still need to report on benefits based on the SB 535 criteria in CARB’s 2015 Funding Guidelines. CARB will work with administering agencies to determine data submittal formats for SB 535 benefits, as needed.*

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Appendix 3.A

Reporting Requirements for All Projects Covered by the Following Table

Table 3.A-15 FOREST HEALTH (continued)

(CAL FIRE Forest Health, Fuels Reduction, Forest Pest Control, and Land Conservation programs)

Updates - For projects that are not yet “complete” (the legal agreement with the funding recipient has not ended), report the following data, if applicable. Report this data each reporting cycle for all activities that have occurred since the previous data submittal.

1. Project Activities Completed to Date

2. Project Co-Benefits and Indicators:

- a. Acres Preserved
- b. Acres Treated
- c. Energy Generated from Biomass (kWh)
- d. Number of Trees Planted
- e. Criteria Air Pollution Reductions (tons)

3. Program-level Information

Project Outcome Reporting - For a subset of projects, as identified by the administering agency, the agency must submit data for project outcome reporting (details are provided in Appendix 3.B) once “operational.”

Closeout - When the project is “complete” (the legal agreement with the funding recipient has ended; or all activities are completed, i.e., treatments, plantings, or delivery of biomass are complete), the administering agency must report the following data. Report once at next reporting cycle.

1. Status (“completed” or “cancelled”)

2. Describe Completed Project or Provide Other Project Details

3. Updated Information (provide the following updates if needed and if applicable):

- a. Estimated Total Project GHG Emission Reductions (MTCO_{2e} over quantification period)
- b. Acres Preserved
- c. Acres Treated
- d. Energy Generated from Biomass (kWh)
- e. Number of Trees Planted
- f. Criteria Air Pollution Reductions (tons)

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Appendix 3.A

Reporting Requirements for All Projects Covered by the Following Table

Table 3.A-16 WASTE DIVERSION

(CalRecycle: Organics Grant Program; Greenhouse Gas Reduction Loan Program; Recycled Fiber, Plastic and Glass Grant Program; Recycled Fiber, Plastic and Glass Loan Program; Food Waste Prevention and Rescue Grant Program)

CARB will work with administering agencies to develop reporting templates for data submittal. Provided below are the primary items that administering agencies need to track and report. Additional information may be required to respond to official data requests.

Administering agencies must report data for each project, as described below:

For each grant or loan, submit data on:

- Each recycling facility;
- Each composting facility;
- Each facility using recycled materials as feedstock; and
- Each food rescue project.

Selected (Optional) - Prior to executing a legal agreement with a funding recipient, when the administering agency announces a new funding recipient or allocates new funds for an existing funding recipient, the agency may choose to report the following data on “selected” projects. Report once at next reporting cycle (only update if needed). “Selected” projects that have been “awarded” will need to be removed from the reported list.

1. Funding Recipient
2. Project Name
3. Project Type
4. Project Description
5. Total GGRF Funding (\$)
6. Estimated Total Project GHG Emission Reductions (MTCO₂e over quantification period)

Awarded/Implemented - When the administering agency executes a legal agreement with a funding recipient (e.g., a contract, grant agreement, loan agreement, amendment to add new funding), the agency must report data on “awarded” projects. At this point, projects are also considered to be “implemented.” Report once at next funding cycle (only update if needed).

1. Project Identification Number
2. Project Name
3. Project Type
4. Project Description
5. Date Project Selected
6. Project Completion Date (anticipated or actual)
7. Total Project Cost (\$) (including both GGRF and non-GGRF funds)
8. Total GGRF Funding (\$)
9. Fiscal Year(s) for GGRF Appropriation that is Funding the Project
10. Quantification Period as Defined by QM (years)
11. Estimated Total Project GHG Emission Reductions (MTCO₂e over quantification period)
12. Project Location (e.g., census tract number, address, geographic coordinates, GIS file)

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Appendix 3.A

Reporting Requirements for All Projects Covered by the Following Table

Table 3.A-16 WASTE DIVERSION (continued)

(CalRecycle: Organics Grant Program; Greenhouse Gas Reduction Loan Program; Recycled Fiber, Plastic and Glass Grant Program; Recycled Fiber, Plastic and Glass Loan Program; Food Waste Prevention and Rescue Grant Program)

Awarded/Implemented (continued)

13. Estimated Project Co-Benefits and Indicators:

- a. Energy Generated (kWh)
- b. Rescued Food (tons)
- c. Material Diverted from Landfills (tons)
- d. Criteria Air Pollution Reductions (tons)

14. Other Project Benefits or Results

15. Version Tracking Date (this date indicates which document versions (e.g., quantification methodology, CalEnviroScreen, Expenditure Record) were applicable when the administering agency selected the project)

16. If the Project Benefits AB 1550 Populations (disadvantaged communities; low-income communities; low-income households):*

- a. Indicate which AB 1550 criteria table was used to evaluate the project (e.g., Table 2.A-1). Use CARB's Funding Guidelines, Volume 2, Appendix 2.A to find the appropriate table.
- b. Identify each type of AB 1550 population that the project benefits (e.g., low-income households and low-income community census tracts within ½-mile of a disadvantaged community census tract). Refer to Appendix 2.A, AB 1550 criteria table, Step 1. Maps/lists that identify AB 1550 populations are available at: www.calepa.ca.gov/envjustice/ghqinvest.
- c. Describe the approach used to determine that the project meaningfully addresses a community or household need (e.g., hosting community meetings to engage local residents). Refer to Appendix 2.A, AB 1550 criteria table, Step 2.
- d. Describe how the project meaningfully addresses a community or household need (e.g., project will reduce transportation costs).
- e. Indicate one criterion that was used to qualify the project as providing benefits to AB 1550 populations. Refer to Appendix 2.A, AB 1550 criteria table, Step 3.
- f. Provide a qualitative description of how the project benefits AB 1550 populations. Include quantitative metrics if available.
- g. Identify each census tract where the project benefits an AB 1550 population.
- h. For each type of AB 1550 population identified in (b) above, report the total GGRF dollars that benefit that population within each census tract identified in (g) above (e.g., \$X.X million benefited disadvantaged community residents in census tract ##; \$X.X million benefited low-income community residents in census tract ##).
- i. For each type of AB 1550 population identified in (b) above, report the total number of incentives issued which benefit that population within each census tract identified in (g) above (e.g., 1,500 incentives benefited disadvantaged community residents in census tract ##; 2,000 incentives benefited low-income community residents in census tract ##). This is only required for incentive-based programs.

* Projects that were selected before the effective date of these Funding Guidelines may still need to report on benefits based on the SB 535 criteria in CARB's 2015 Funding Guidelines. CARB will work with administering agencies to determine data submittal formats for SB 535 benefits, as needed.

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Appendix 3.A

Reporting Requirements for All Projects Covered by the Following Table

Table 3.A-16 WASTE DIVERSION (continued)

(CalRecycle: Organics Grant Program; Greenhouse Gas Reduction Loan Program; Recycled Fiber, Plastic and Glass Grant Program; Recycled Fiber, Plastic and Glass Loan Program; Food Waste Prevention and Rescue Grant Program)

Awarded (continued)

17. Date Operational

18. Date GHG Emission Reductions Begin

Updates - For projects that are not yet “complete” (the legal agreement with the funding recipient has not ended), report the following data, if applicable. Report this data each reporting cycle for all activities that have occurred since the previous data submittal.

1. Project Activities Completed to Date

2. Project Co-Benefits and Indicators:
- a. Energy Generated (kWh)
 - b. Rescued Food (tons)
 - c. Material Diverted from Landfills (tons)
 - d. Criteria Air Pollution Reductions (tons)

3. Program-level Information

Project Outcome Reporting - For a subset of projects, as identified by the administering agency, the agency must submit data for project outcome reporting (details are provided in Appendix 3.B) once “operational.”

Closeout - When the project is “complete” (the legal agreement with the funding recipient has ended), the administering agency must report the following data. Report once at next reporting cycle.

1. Status (“completed” or “cancelled”)

2. Describe Completed Project or Provide Other Project Details

3. Updated Information (provide the following updates if needed and if applicable):
- a. Estimated Total Project GHG Emission Reductions (MTCO₂e over quantification period)
 - b. Energy Generated (kWh)
 - c. Rescued Food (tons)
 - d. Material Diverted from Landfills (tons)
 - e. Criteria Air Pollution Reductions (tons)

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Appendix 3.A

Reporting Requirements for All Projects Covered by the Following Table

Table 3.A-17 DIGESTER PROJECTS

(CDFA Dairy Digester Research and Development Program; CalRecycle Organics Grant Program, Greenhouse Gas Reduction Loan Program)

CARB will work with administering agencies to develop reporting templates for data submittal. Provided below are the primary items that administering agencies need to track and report. Additional information may be required to respond to official data requests.

Administering agencies must report data for each project, as described below:

For each grant, submit data on:

- Each digester project;
- Each digester research project; and
- Each food rescue project.

Selected (Optional) - Prior to executing a legal agreement with a funding recipient, when the administering agency announces a new funding recipient or allocates new funds for an existing funding recipient, the agency may choose to report the following data on “selected” projects. Report once at next reporting cycle (only update if needed). “Selected” projects that have been “awarded” will need to be removed from the reported list.

1. Funding Recipient
2. Project Name
3. Project Type
4. Project Description
5. Total GGRF Funding (\$)
6. Estimated Total Project GHG Emission Reductions (MTCO₂e over quantification period)

Awarded/Implemented - When the administering agency executes a legal agreement with a funding recipient (e.g., a contract, grant agreement, amendment to add new funding), the agency must report data on “awarded” projects. At this point, projects are also considered to be “implemented.” Report once at next funding cycle (only update if needed).

1. Project Identification Number
2. Project Name
3. Project Type
4. Project Description
5. Date Project Selected
6. Project Completion Date (anticipated or actual)
7. Total Project Cost (\$) (including both GGRF and non-GGRF funds)
8. Total GGRF Funding (\$)
9. Fiscal Year(s) for GGRF Appropriation that is Funding the Project
10. Quantification Period as Defined by QM (years)
11. Estimated Total Project GHG Emission Reductions (MTCO₂e over quantification period)
12. Project Location (e.g., census tract number, address, geographic coordinates, GIS file)

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Appendix 3.A

Reporting Requirements for All Projects Covered by the Following Table

Table 3.A-17 DIGESTER PROJECTS (continued) <i>(CDFA Dairy Digester Research and Development Program; CalRecycle Organics Grant Program, Greenhouse Gas Reduction Loan Program)</i>
Awarded/Implemented (continued)
13. Estimated Project Co-Benefits and Indicators: <ul style="list-style-type: none"> a. Waste Digested (tons) b. Energy Generated (kWh) c. Rescued Food (tons), if applicable d. Criteria Air Pollution Reductions (tons)
14. Other Project Benefits or Results
15. Version Tracking Date (this date indicates which document versions (e.g., quantification methodology, CalEnviroScreen, Expenditure Record) were applicable when the administering agency selected the project)
16. If the Project Benefits AB 1550 Populations (disadvantaged communities; low-income communities; low-income households):* <ul style="list-style-type: none"> a. Indicate which AB 1550 criteria table was used to evaluate the project (e.g., Table 2.A-1). Use CARB’s Funding Guidelines, Volume 2, Appendix 2.A to find the appropriate table. b. Identify each type of AB 1550 population that the project benefits (e.g., low-income households and low-income community census tracts within ½-mile of a disadvantaged community census tract). Refer to Appendix 2.A, AB 1550 criteria table, Step 1. Maps/lists that identify AB 1550 populations are available at: www.calepa.ca.gov/envjustice/ghqinvest. c. Describe the approach used to determine that the project meaningfully addresses a community or household need (e.g., hosting community meetings to engage local residents). Refer to Appendix 2.A, AB 1550 criteria table, Step 2. d. Describe how the project meaningfully addresses a community or household need (e.g., project will reduce transportation costs). e. Indicate one criterion that was used to qualify the project as providing benefits to AB 1550 populations. Refer to Appendix 2.A, AB 1550 criteria table, Step 3. f. Provide a qualitative description of how the project benefits AB 1550 populations. Include quantitative metrics if available. g. Identify each census tract where the project benefits an AB 1550 population. h. For each type of AB 1550 population identified in (b) above, report the total GGRF dollars that benefit that population within each census tract identified in (g) above (e.g., \$X.X million benefited disadvantaged community residents in census tract ##; \$X.X million benefited low-income community residents in census tract ##). i. For each type of AB 1550 population identified in (b) above, report the total number of incentives issued which benefit that population within each census tract identified in (g) above (e.g., 50 incentives benefited disadvantaged community residents in census tract ##; 20 incentives benefited low-income community residents in census tract ##). This is only required for incentive-based programs.

* Projects that were selected before the effective date of these Funding Guidelines may still need to report on benefits based on the SB 535 criteria in CARB’s 2015 Funding Guidelines. CARB will work with administering agencies to determine data submittal formats for SB 535 benefits, as needed.

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Appendix 3.A

Reporting Requirements for All Projects Covered by the Following Table

Table 3.A-17 DIGESTER PROJECTS (continued)

(CDFA Dairy Digester Research and Development Program; CalRecycle Organics Grant Program, Greenhouse Gas Reduction Loan Program)

Awarded/Implemented (continued)
17. Date Operational
18. Date GHG Emission Reductions Begin

Updates - For projects that are not yet “complete” (the legal agreement with the funding recipient has not ended), report the following data, if applicable. Report this data each reporting cycle for all activities that have occurred since the previous data submittal.

1. Project Activities Completed to Date
2. Project Co-Benefits and Indicators: <ul style="list-style-type: none"> a. Waste Digested (tons) b. Energy Generated (kWh) c. Rescued Food (tons) , if applicable d. Criteria Air Pollution Reductions (tons)
3. Program-level Information

Project Outcome Reporting - For a subset of projects, as identified by the administering agency, the agency must submit data for project outcome reporting (details are provided in Appendix 3.B) once “operational.”

Closeout - When the project is “complete” (the legal agreement with the funding recipient has ended), the administering agency must report the following data. Report once at next reporting cycle.

1. Status (“completed” or “cancelled”)
2. Describe Completed Project or Provide Other Project Details
3. Updated Information (provide the following updates if needed and if applicable): <ul style="list-style-type: none"> a. Estimated Total Project GHG Emission Reductions (MTCO_{2e} over quantification period) b. Waste Digested (tons) c. Energy Generated (kWh) d. Rescued Food (tons), if applicable e. Criteria Air Pollution Reductions (tons)

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Appendix 3.A

Reporting Requirements for All Projects Covered by the Following Table

Table 3.A-18 ALTERNATIVE MANURE MANAGEMENT

(CDFA Alternative Manure Management Program)

CARB will work with administering agencies to develop reporting templates for data submittal. Provided below are the primary items that administering agencies need to track and report. Additional information may be required to respond to official data requests.

Administering agencies must report data for each project, as described below:

For each grant, submit data on each alternative manure management project.

Selected (Optional) - Prior to executing a legal agreement with a funding recipient, when the administering agency announces a new funding recipient or allocates new funds for an existing funding recipient, the agency may choose to report the following data on “selected” projects. Report once at next reporting cycle (only update if needed). “Selected” projects that have been “awarded” will need to be removed from the reported list.

1. Funding Recipient
2. Project Name
3. Project Type
4. Project Description
5. Total GGRF Funding (\$)
6. Estimated Total Project GHG Emission Reductions (MTCO₂e over quantification period)

Awarded/Implemented - When the administering agency executes a legal agreement with a funding recipient (e.g., a contract, grant agreement, amendment to add new funding), the agency must report data on “awarded” projects. At this point, projects are also considered to be “implemented.” Report once at next funding cycle (only update if needed).

1. Project Identification Number
2. Project Name
3. Project Type
4. Project Description
5. Date Project Selected
6. Project Completion Date (anticipated or actual)
7. Total Project Cost (\$) (including both GGRF and non-GGRF funds)
8. Total GGRF Funding (\$)
9. Fiscal Year(s) for GGRF Appropriation that is Funding the Project
10. Quantification Period as Defined by QM (years)
11. Estimated Total Project GHG Emission Reductions (MTCO₂e over quantification period)
12. Project Location (e.g., census tract number, address, geographic coordinates, GIS file)
13. Estimated Project Co-Benefits and Indicators:
 - a. Criteria Air Pollution Reductions (tons)
 - b. Fuel Use Reductions (gallons)
14. Other Project Benefits or Results
15. Version Tracking Date (this date indicates which document versions (e.g., quantification methodology, CalEnviroScreen, Expenditure Record) were applicable when the administering agency selected the project)

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Appendix 3.A

Reporting Requirements for All Projects Covered by the Following Table

Table 3.A-18 ALTERNATIVE MANURE MANAGEMENT (continued) <i>(CDFA Alternative Manure Management Program)</i>
Awarded/Implemented (continued)
<p>16. If the Project Benefits AB 1550 Populations (disadvantaged communities; low-income communities; low-income households):*</p> <ol style="list-style-type: none"> a. Indicate which AB 1550 criteria table was used to evaluate the project (e.g., Table 2.A-1). Use CARB’s Funding Guidelines, Volume 2, Appendix 2.A to find the appropriate table. b. Identify each type of AB 1550 population that the project benefits (e.g., low-income households and low-income community census tracts within ½-mile of a disadvantaged community census tract). Refer to Appendix 2.A, AB 1550 criteria table, Step 1. Maps/lists that identify AB 1550 populations are available at: www.calepa.ca.gov/envjustice/ghqinvest. c. Describe the approach used to determine that the project meaningfully addresses a community or household need (e.g., hosting community meetings to engage local residents). Refer to Appendix 2.A, AB 1550 criteria table, Step 2. d. Describe how the project meaningfully addresses a community or household need (e.g., project will reduce transportation costs). e. Indicate one criterion that was used to qualify the project as providing benefits to AB 1550 populations. Refer to Appendix 2.A, AB 1550 criteria table, Step 3. f. Provide a qualitative description of how the project benefits AB 1550 populations. Include quantitative metrics if available. g. Identify each census tract where the project benefits an AB 1550 population. h. For each type of AB 1550 population identified in (b) above, report the total GGRF dollars that benefit that population within each census tract identified in (g) above (e.g., \$X.X million benefited disadvantaged community residents in census tract ##; \$X.X million benefited low-income community residents in census tract ##). i. For each type of AB 1550 population identified in (b) above, report the total number of incentives issued which benefit that population within each census tract identified in (g) above (e.g., 50 incentives benefited disadvantaged community residents in census tract ##; 20 incentives benefited low-income community residents in census tract ##). This is only required for incentive-based programs.
17. Date Operational
18. Date GHG Emission Reductions Begin

** Projects that were selected before the effective date of these Funding Guidelines may still need to report on benefits based on the SB 535 criteria in CARB’s 2015 Funding Guidelines. CARB will work with administering agencies to determine data submittal formats for SB 535 benefits, as needed.*

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Appendix 3.A

Reporting Requirements for All Projects Covered by the Following Table

Table 3.A-18 ALTERNATIVE MANURE MANAGEMENT (continued)

(CDFA Alternative Manure Management Program)

Updates - For projects that are not yet “complete” (the legal agreement with the funding recipient has not ended), report the following data, if applicable. Report this data each reporting cycle for all activities that have occurred since the previous data submittal.

1. Project Activities Completed to Date

2. Project Co-Benefits and Indicators:
 a. Criteria Air Pollution Reductions (tons)
 b. Fuel Use Reductions (gallons)

3. Program-level Information

Project Outcome Reporting - For a subset of projects, as identified by the administering agency, the agency must submit data for project outcome reporting (details are provided in Appendix 3.B) once “operational.”

Closeout - When the project is “complete” (the legal agreement with the funding recipient has ended), the administering agency must report the following data. Report once at next reporting cycle.

1. Status (“completed” or “cancelled”)

2. Describe Completed Project or Provide Other Project Details

3. Updated Information (provide the following updates if needed and if applicable):
 a. Estimated Total Project GHG Emission Reductions (MTCO₂e over quantification period)
 b. Criteria Air Pollution Reductions (tons)

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Appendix 3.A

Reporting Requirements for All Projects Covered by the Following Table

Table 3.A-19 WOODSMOKE REDUCTION

(CARB Woodsmoke Program)

CARB will work with administering agencies to develop reporting templates for data submittal. Provided below are the primary items that administering agencies need to track and report. Additional information may be required to respond to official data requests.

Administering agencies must report data for each project, as described below:

For each grant to an administrator or air district that implements an incentive program:

- The grantee will need to compile data from individual incentive recipients or individual households and provide that compiled data to the administering agency.
- The administering agency will then submit data to CARB with a summary of distributed incentives, by grantee and by census tract.

Selected (Optional) - Prior to executing a legal agreement with a funding recipient, when the administering agency announces a new funding recipient or allocates new funds for an existing funding recipient, the agency may choose to report the following data on “selected” projects. Report once at next reporting cycle (only update if needed). “Selected” projects that have been “awarded” will need to be removed from the reported list.

1. Funding Recipient
2. Project Name
3. Project Type
4. Project Description
5. Total GGRF Funding (\$)
6. Estimated Total Project GHG Emission Reductions (MTCO₂e over quantification period)

Awarded - When the administering agency executes a legal agreement with a funding recipient to administer a program and distribute incentives (e.g., a contract, grant agreement, amendment to add new funding), the agency must report data on “awarded” projects. Report once at next funding cycle (only update if needed).

1. Project Identification Number
2. Subprogram
3. Funding Recipient
4. Project Name
5. Project Description
6. Date Project Selected
7. Project Completion Date (anticipated or actual)
8. Total GGRF Funding (\$)
9. Fiscal Year(s) for GGRF Appropriation that is Funding the Project
10. Estimated Number of Dwellings to Receive Upgrades
11. Quantification Period as Defined by QM (years)
12. Estimated Total Project GHG Emission Reductions (MTCO₂e over quantification period)

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Appendix 3.A

Reporting Requirements for All Projects Covered by the Following Table

Table 3.A-19 WOODSMOKE REDUCTION (continued)

(CARB Woodsmoke Program)

Awarded (continued)
13. Estimated Project Co-Benefits and Indicators: <ul style="list-style-type: none"> a. Number of woodstoves replaced b. Wood Burning Reductions (cords) c. Criteria Air Pollution Reductions (tons) d. Green Waste Diverted from Burning (tons)
14. Other Project Benefits or Results
15. Date Operational
16. Date GHG Emission Reductions Begin
17. Version Tracking Date (this date indicates which document versions (e.g., quantification methodology, CalEnviroScreen, Expenditure Record) were applicable when the administering agency selected the project)

Implemented - When incentives have been distributed to consumers or when installations are complete and project locations are known, the administering agency must report the following data on “implemented” projects. Report this data each reporting cycle for all incentives/upgrades that have been distributed/installed since the previous data submittal.

1. Census Tract
2. Total Project Cost (\$) (within census tract, including both GGRF and non-GGRF funds, during this reporting cycle)
3. Total GGRF Funding (\$) (within census tract, during this reporting cycle)
4. Number of Dwellings Upgraded (within census tract, during this reporting cycle)
5. Quantification Period as Defined by QM (years)
6. Estimated Total Project GHG Emission Reductions (MTCO ₂ e over quantification period) (for incentives issued within census tract during this reporting cycle)
7. If the Project Benefits AB 1550 Populations (disadvantaged communities; low-income communities; low-income households):* <ul style="list-style-type: none"> a. Indicate which AB 1550 criteria table was used to evaluate the project (e.g., Table 2.A-1). Use CARB’s Funding Guidelines, Volume 2, Appendix 2.A to find the appropriate table. b. Identify each type of AB 1550 population that the project benefits (e.g., low-income households and low-income community census tracts within ½-mile of a disadvantaged community census tract). Refer to Appendix 2.A, AB 1550 criteria table, Step 1. Maps/lists that identify AB 1550 populations are available at: www.calepa.ca.gov/envjustice/ghginvest. c. Describe the approach used to determine that the project meaningfully addresses a community or household need (e.g., hosting community meetings to engage local residents). Refer to Appendix 2.A, AB 1550 criteria table, Step 2. d. Describe how the project meaningfully addresses a community or household need (e.g., project will reduce transportation costs).

* Projects that were selected before the effective date of these Funding Guidelines may still need to report on benefits based on the SB 535 criteria in CARB’s 2015 Funding Guidelines. CARB will work with administering agencies to determine data submittal formats for SB 535 benefits, as needed.

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Appendix 3.A

Reporting Requirements for All Projects Covered by the Following Table

Table 3.A-19 WOODSMOKE REDUCTION (continued)

(CARB Woodsmoke Program)

Implemented (continued)

<ul style="list-style-type: none"> e. Indicate one criterion that was used to qualify the project as providing benefits to AB 1550 populations. Refer to Appendix 2.A, AB 1550 criteria table, Step 3. f. Provide a qualitative description of how the project benefits AB 1550 populations. Include quantitative metrics if available. g. Identify each census tract where the project benefits an AB 1550 population. h. For each type of AB 1550 population identified in (b) above, report the total GGRF dollars that benefit that population within each census tract identified in (g) above (e.g., during this reporting cycle \$X.X million benefited disadvantaged community residents in census tract ##; during this reporting cycle \$X.X million benefited low-income community residents in census tract ##). i. For each type of AB 1550 population identified in (b) above, report the total number of dwellings upgraded which benefit that population within each census tract identified in (g) above (e.g., during this reporting cycle 1,500 dwellings were upgraded for disadvantaged communities in census tract ##; during this reporting cycle 2,000 dwellings were upgraded for low-income communities in census tract ##).
<p>8. Project Co-Benefits and Indicators (within census tract during this reporting cycle):</p> <ul style="list-style-type: none"> a. Number of woodstoves replaced b. Wood Burning Reductions (cords) c. Criteria Air Pollution Reductions (tons) d. Green Waste Diverted from Burning (tons)
<p>9. Other Project Benefits or Results (during this reporting cycle)</p>
<p>10. Program-level Information</p>

Project Outcome Reporting - For a subset of projects, as identified by the administering agency, the agency must submit data for project outcome reporting (details are provided in Appendix 3.B) once “operational.”

Closeout - When the project is “complete” (the legal agreement with the funding recipient has ended or when all funds associated with that contract are expended, whichever is later), the administering agency must report the following data. Report once at next reporting cycle.

<p>1. Status (“completed” or “cancelled”)</p>
<p>2. Describe Completed Project or Provide Other Project Details</p>
<p>3. Updated Information (provide the following updates if needed and if applicable):</p> <ul style="list-style-type: none"> a. Estimated Total Project GHG Emission Reductions (MTCO_{2e} over quantification period) b. Number of woodstoves replaced c. Wood Burning Reductions (cords) d. Criteria Air Pollution Reductions (tons) e. Green Waste Diverted from Burning (tons)

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Appendix 3.A

Reporting Requirements for All Projects Covered by the Following Table

Table 3.A-20 HEALTHY SOILS – AGRICULTURAL PRACTICES

(CDFA Climate Smart Agriculture; CalRecycle Organics Grant Program; SGC Sustainable Agricultural Lands Conservation Program)

CARB will work with administering agencies to develop reporting templates for data submittal. Provided below are the primary items that administering agencies need to track and report. Additional information may be required to respond to official data requests.

Administering agencies must report data for each project, as described below:

For each grant, submit data on each soils management project.

Selected (Optional) - Prior to executing a legal agreement with a funding recipient, when the administering agency announces a new funding recipient or allocates new funds for an existing funding recipient, the agency may choose to report the following data on “selected” projects. Report once at next reporting cycle (only update if needed). “Selected” projects that have been “awarded” will need to be removed from the reported list.

1. Funding Recipient
2. Project Name
3. Project Type
4. Project Description
5. Total GGRF Funding (\$)
6. Estimated Total Project GHG Emission Reductions (MTCO₂e over quantification period)

Awarded/Implemented - When the administering agency executes a legal agreement with a funding recipient (e.g., a contract, grant agreement, amendment to add new funding), the agency must report data on “awarded” projects. At this point, projects are also considered to be “implemented.” Report once at next funding cycle (only update if needed).

1. Project Identification Number
2. Project Name
3. Project Type
4. Project Description
5. Date Project Selected
6. Project Completion Date (anticipated or actual)
7. Total Project Cost (\$) (including both GGRF and non-GGRF funds)
8. Total GGRF Funding (\$)
9. Fiscal Year(s) for GGRF Appropriation that is Funding the Project
10. Quantification Period as Defined by QM (years)
11. Estimated Total Project GHG Emission Reductions (MTCO₂e over quantification period)
12. Project Location (e.g., census tract number, address, geographic coordinates, GIS file)
13. Estimated Project Co-Benefits and Indicators:
 - a. Acres Managed with Healthy Soils Practices
 - b. Criteria Air Pollution Reductions (tons)
14. Other Project Benefits or Results

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Appendix 3.A

Reporting Requirements for All Projects Covered by the Following Table

Table 3.A-20 HEALTHY SOILS – AGRICULTURAL PRACTICES (continued)

(CDFA Climate Smart Agriculture; CalRecycle Organics Grant Program; SGC Sustainable Agricultural Lands Conservation Program)

Awarded/Implemented (continued)

16. Version Tracking Date (this date indicates which document versions (e.g., quantification methodology, CalEnviroScreen, Expenditure Record) were applicable when the administering agency selected the project)
17. If the Project Benefits AB 1550 Populations (disadvantaged communities; low-income communities; low-income households):* <ul style="list-style-type: none"> a. Indicate which AB 1550 criteria table was used to evaluate the project (e.g., Table 2.A-1). Use CARB’s Funding Guidelines, Volume 2, Appendix 2.A to find the appropriate table. b. Identify each type of AB 1550 population that the project benefits (e.g., low-income households and low-income community census tracts within ½-mile of a disadvantaged community census tract). Refer to Appendix 2.A, AB 1550 criteria table, Step 1. Maps/lists that identify AB 1550 populations are available at: www.calepa.ca.gov/envjustice/ghqinvest. c. Describe the approach used to determine that the project meaningfully addresses a community or household need (e.g., hosting community meetings to engage local residents). Refer to Appendix 2.A, AB 1550 criteria table, Step 2. d. Describe how the project meaningfully addresses a community or household need (e.g., project will reduce transportation costs). e. Indicate one criterion that was used to qualify the project as providing benefits to AB 1550 populations. Refer to Appendix 2.A, AB 1550 criteria table, Step 3. f. Provide a qualitative description of how the project benefits AB 1550 populations. Include quantitative metrics if available. g. Identify each census tract where the project benefits an AB 1550 population. h. For each type of AB 1550 population identified in (b) above, report the total GGRF dollars that benefit that population within each census tract identified in (g) above (e.g., \$X.X million benefited disadvantaged community residents in census tract ##; \$X.X million benefited low-income community residents in census tract ##). i. For each type of AB 1550 population identified in (b) above, report the total number of incentives issued which benefit that population within each census tract identified in (g) above (e.g., 50 incentives benefited disadvantaged community residents in census tract ##; 20 incentives benefited low-income community residents in census tract ##). This is only required for incentive-based programs.
18. Date Operational
19. Date GHG Emission Reductions Begin

* Projects that were selected before the effective date of these Funding Guidelines may still need to report on benefits based on the SB 535 criteria in CARB’s 2015 Funding Guidelines. CARB will work with administering agencies to determine data submittal formats for SB 535 benefits, as needed.

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Appendix 3.A

Reporting Requirements for All Projects Covered by the Following Table

Table 3.A-20 HEALTHY SOILS – AGRICULTURAL PRACTICES (continued)

(CDFA Climate Smart Agriculture; CalRecycle Organics Grant Program; SGC Sustainable Agricultural Lands Conservation Program)

Updates - For projects that are not yet “complete” (the legal agreement with the funding recipient has not ended), report the following data, if applicable. Report this data each reporting cycle for all activities that have occurred since the previous data submittal.

1. Project Activities Completed to Date
2. Project Co-Benefits and Indicators:
 - a. Acres Managed with Healthy Soils Practices
 - b. Criteria Air Pollution Reductions (tons)
3. Program-level Information

Project Outcome Reporting - For a subset of projects, as identified by the administering agency, the agency must submit data for project outcome reporting (details are provided in Appendix 3.B) once “operational.”

Closeout - When the project is “complete” (the legal agreement with the funding recipient has ended), the administering agency must report the following data. Report once at next reporting cycle.

1. Status (“completed” or “cancelled”)
2. Describe Completed Project or Provide Other Project Details
3. Updated Information (provide the following updates if needed and if applicable):
 - a. Estimated Total Project GHG Emission Reductions (MTCO₂e over quantification period)
 - b. Acres Managed with Healthy Soils Practices
 - c. Criteria Air Pollution Reductions (tons)

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Appendix 3.A

Table 3.A-21 JOBS AND JOB TRAINING

*Administering agencies must submit this data if they are reporting AB 1550 benefits for a project, solely on the basis of jobs/job training criteria.
Other administering agencies may also submit this data if their California Climate Investments resulted in jobs or job training as a component of funded projects.**

CARB will work with administering agencies to develop reporting templates for data submittal. Provided below are the primary items that administering agencies need to track and report. Additional information may be required to respond to official data requests.

Provide the following summaries for jobs or job training that resulted from a project funded by the GGRF.

1. Project Identification Number
2. Description of Job Classifications or Trades
3. Description of Job Training Credentials Earned from Job Training
4. Total Number of Jobs Provided
5. Number of Jobs Provided to AB 1550 Populations
6. Total Project Work Hours for Jobs Provided (in hours)
7. Project Work Hours for Jobs Provided to AB 1550 Populations (in hours)
8. Average Hourly Wage for Total Jobs Provided (\$)
9. Average Hourly Wage for Jobs Provided to AB 1550 Populations (\$)
10. Total Number of Workers that Completed Job Training Funded by the GGRF
11. Number of Workers in AB 1550 Populations that Completed Job Training Funded by the GGRF

** CARB is currently working with the University of California, Berkeley on developing approaches to document benefits for jobs and job training. After standardized approaches are developed, through a public process, all administering agencies would be required to document these benefits in the online tracking system.*

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Appendix 3.A

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APPENDIX 3.B

Project Outcome Reporting Requirements for a Subset of Projects

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Appendix 3.B

I. Project Outcome Reporting Requirements

Project outcome reporting is the tracking and reporting of outcomes for a subset of California Climate Investments projects once they become “operational.” CARB worked with each administering agency to develop program-specific project outcome reporting guidance. The program-specific tables in this Appendix contain information on the milestones that initiate the start of project outcome reporting, the metrics that administering agencies need to report, and the frequency and duration of project outcome data collection and reporting are tailored to reflect the unique qualities of the different California Climate Investments programs and vary by project type. The tables also describe cases where project outcome reporting is not applicable, because all relevant information on project outcomes is provided in the project closeout report (e.g., certain consumer-based incentives and limited-term transit operations). CARB will continue working with administering agencies to develop the appropriate reporting templates for data submittal and to create new project outcome tables for new programs, as needed.

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Appendix 3.B

Project Outcome Reporting Requirements for a Subset of Projects

Table 3.B-1 CARB – Low Carbon Transportation		
Subset of Projects: Project outcome reporting is only required for a subset of projects. The administering agency will report on project outcomes for at least 10 percent* of Low Carbon Transportation projects.		
Project Outcome Reporting is Not Applicable for: Consumer based incentive programs (e.g., clean vehicle rebates, public fleet incentives, car scrap and replace programs, financing assistance, low NOx engine incentives with renewable fuel, hybrid and zero-emission truck and bus vouchers, rural school buses).		
Project Milestone that Initiates the Start of Project Outcome Tracking: Project outcome tracking begins when vehicle(s) or equipment is operational.		
Frequency and Duration of Project Outcome Tracking and Data Collection: Project outcome tracking ends 36 months after the start of tracking. Collection of project outcome data ends after the administering agency has collected data for the full project outcome tracking period. At a minimum, the administering agency needs to collect data annually but may establish more frequent data collection requirements.		
Frequency and Duration of Project Outcome Reporting: The administering agency will compile and submit project outcome reporting data to CARB once a year. Reporting on project outcomes ends after the agency has submitted reports to CARB which cover the full project outcome tracking period.		
Metrics to be Tracked and Reported and Methods for Data Collection: Data to be tracked and reported depends on the project type. The administering agency will report on the following metrics, as applicable to each project. The agency will report on quantitative metrics during the grant term and, when available, after the grant term. The agency will provide qualitative assessment of project outcomes after the end of grant term.		
Metric	Unit	Method
Tracking dates of data submission	mm/dd/yyyy	n/a
Change in fuel consumption compared to baseline	Gallons/year by fuel type	Evaluation of fueling or operating records
Change in energy use compared to baseline	kWh/year	Evaluation of utility bills or records
Change in vehicle miles traveled compared to baseline	Vehicle miles traveled/year	Evaluation of mileage or operating records
Change in GHG emissions compared to baseline	MTCO ₂ e/year	Evaluation of monitored emissions from portable emission monitoring systems as appropriate
Change in emissions of criteria air pollutants compared to baseline	Short tons/year	Evaluation of fueling or operating records
Cost savings compared to baseline	\$/year	Evaluation of fueling or operating records
Qualitative assessment of advancement of technology (e.g., continued use by funding recipient, increase in market share, potential commercialization of technology)	n/a	Survey of funding recipients and/or manufacturer

* For a project with a fleet of vehicles and/or equipment, data may be collected from a representative sample of the fleet.

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Appendix 3.B

Project Outcome Reporting Requirements for a Subset of Projects

Table 3.B-2 Caltrans – Active Transportation Program

Subset of Projects:

Project outcome reporting is only required for a subset of projects. The administering agency will report on project outcomes for at least 25 percent of Active Transportation Program projects.

Project Milestone that Initiates the Start of Project Outcome Tracking:*

Project outcome tracking begins when construction is complete and new path or lane is open for use.

Frequency and Duration of Project Outcome Tracking and Data Collection:

Project outcome tracking ends 36 months after the start of tracking. Collection of project outcome data ends after the administering agency has collected data for the full project outcome tracking period. At a minimum, the administering agency needs to collect data annually but may establish more frequent data collection requirements.

Frequency and Duration of Project Outcome Reporting:

The administering agency will compile and submit project outcome reporting data to CARB once a year. Reporting on project outcomes ends after the administering agency has submitted reports to CARB which cover the full project outcome data tracking period.

Metrics to be Tracked and Reported and Methods for Data Collection:

Metric	Unit	Method
Tracking dates of data submission	mm/dd/yyyy	n/a
Average traffic of bicycle and pedestrian facilities	Users/day	Usage survey conducted by city, county, district/authority, metropolitan planning organization, non-profit, or academia

** A project may be comprised of multiple components (e.g., a project that includes a new bicycle lane and a new pedestrian path). The beginning and end of project outcome data collection and reporting may vary by project component if components become operational at different times (e.g., begin reporting on a newly opened pedestrian path while a bicycle path is still under construction).*

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Appendix 3.B

Project Outcome Reporting Requirements for a Subset of Projects

Table 3.B-3 Caltrans – Low Carbon Transit Operations Program

Subset of Projects:

Project outcome reporting is only required for a subset of projects. The administering agency will report on project outcomes for at least 50 percent of Low Carbon Transit Operations Program projects that receive \$250,000 or more from the GGRF.*

Project Outcome Reporting is not applicable for:

- Limited-term operations of new and expanded transit service;
- Connectivity improvements; and
- Transit passes, vouchers, or reduced fares.

Project Milestone that Initiates the Start of Project Outcome Tracking:**

Project outcome tracking begins when:

- Construction is complete and transit service is operational; or
- Vehicle(s) or equipment is operational.

Frequency and Duration of Project Outcome Tracking and Data Collection:

Project outcome tracking ends 36 months after the start of tracking. Collection of project outcome data ends after the administering agency has collected data for the full project outcome tracking period. At a minimum, the administering agency needs to collect data annually but may establish more frequent data collection requirements.

Frequency and Duration of Project Outcome Reporting:

The administering agency will compile and submit project outcome reporting data to CARB once a year. Reporting on project outcomes ends after the administering agency has submitted reports to CARB which cover the full project outcome tracking collection period.

Metrics to be Tracked and Reported and Methods for Data Collection:

Data to be tracked and reported depends on the project type/component, as described below.

Capital Improvements that Result in New or Expanded Transit Service or Increase Mode Share on Existing Transit Service

Metric	Unit	Method
Tracking dates of data submission	mm/dd/yyyy	n/a
Days of operation per year	Days/year	Evaluation of service schedule
Average daily ridership	Unlinked trips/day	Ridership survey (conducted by city, county, district/authority, metropolitan planning organization, non-profit, or academia), ticket and transit pass sales, automatic passenger counter, driver counts, etc.

* To determine whether a project meets or exceeds the \$250,000 threshold, the administering agency will include all GGRF contributions to the project (e.g., allocations from multiple fiscal years or combined funds from multiple agencies for a single project).

** A project may be comprised of multiple components (e.g., a project that includes a new transit line and a new vehicle or vehicles for an existing transit line). The beginning and end of project outcome data collection and reporting may vary by project component if components become operational at different times (e.g., begin reporting on a newly operational vehicle while a capital improvement is still under construction).

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Appendix 3.B

Table 3.B-3 Caltrans – Low Carbon Transit Operations Program (continued)

New Vehicle(s) for Existing Transit Service		
Metric	Unit	Method
Tracking dates of data submission	mm/dd/yyyy	n/a
Fuel/energy consumption or vehicle miles traveled	Gallons/year by fuel type, kWh/year, scf/year, or vehicle miles traveled/year	Evaluation of fueling, utility, mileage, or other operating records
Change in fuel/energy consumption or annual vehicle miles traveled		

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Appendix 3.B

Project Outcome Reporting Requirements for a Subset of Projects

Table 3.B-4 HSRA – High Speed Rail Project

Project Milestone that Initiates the Start of Project Outcome Tracking:

Project outcome tracking begins when the initial operation segment (i.e., valley to valley) has been constructed and becomes operational.

Frequency and Duration of Project Outcome Tracking and Data Collection:

Project outcome tracking ends 60 months after the start of tracking. Collection of project outcome data ends after the administering agency has collected data for the full project outcome tracking period. At a minimum, the administering agency needs to collect data annually but may establish more frequent data collection requirements.

Frequency and Duration of Project Outcome Reporting:

The administering agency will compile and submit project outcome reporting data to CARB once a year. Reporting on project outcomes ends after the administering agency has submitted reports to CARB which cover the full project outcome tracking period.

Metrics to be Tracked and Reported and Methods for Data Collection:

Metric	Unit	Method
Tracking dates of data submission	mm/dd/yyyy	n/a
High speed rail ridership	Unlinked trips/year	Ridership survey conducted by city, county, district/authority, metropolitan planning organization, non-profit, or academia, fare sales, automatic passenger counter, etc.
Mode shift reductions	Avoided vehicle and air miles traveled/year	Ridership survey, local or regional transit plans, or transportation models

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Appendix 3.B

Project Outcome Reporting Requirements for a Subset of Projects

Table 3.B-5 CalSTA – Transit and Intercity Rail Capital Program

Subset of Projects:

Project outcome reporting is only required for a subset of projects. The administering agency will report on project outcomes for 100 percent of Transit and Intercity Rail Capital Program projects.

Project Outcome Reporting is not applicable for:

- Limited-term operations of new and expanded transit service

Project Milestone that Initiates the Start of Project Outcome Tracking:*

Project outcome tracking begins when:

- Construction is complete and transit service is operational; or
- Vehicle(s) or equipment is operational.

Frequency and Duration of Project Outcome Tracking and Data Collection:

Project outcome tracking ends 36 months after the start of tracking. Collection of project outcome data ends after the administering agency has collected data for the full project outcome tracking period. At a minimum, the administering agency needs to collect data annually but may establish more frequent data collection requirements.

Frequency and Duration of Project Outcome Reporting:

The administering agency will compile and submit project outcome reporting data to CARB once a year. Reporting on project outcomes ends after the administering agency has submitted reports to CARB which cover the full project outcome tracking period.

Metrics to be Tracked and Reported and Methods for Data Collection:

Data to be tracked and reported depends on the project type/component as described below.

Capital Improvements that Result in New or Expanded Transit Service or Increase Mode Share on Existing Transit Service

Metric	Unit	Method
Tracking dates of data submission	mm/dd/yyyy	n/a
Days of operation per year	Days/year	Evaluation of service schedule
Average daily ridership	Unlinked trips/day	Ridership survey (conducted by city, county, district/authority, metropolitan planning organization, non-profit, or academia), ticket and transit pass sales, automatic passenger counter, driver counts, etc.

** A project may be comprised of multiple components (e.g., a project that includes a new transit line and a new vehicle or vehicles for an existing transit line). The beginning and end of project outcome data collection and reporting may vary by project component if components become operational at different times (e.g., begin reporting on a newly operational vehicle while a capital improvement is still under construction).*

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Appendix 3.B

Table 3.B-5 CalSTA – Transit and Intercity Rail Capital Program (continued)

New Vehicle(s) for Existing Transit Service		
Metric	Unit	Method
Tracking dates of data submission	mm/dd/yyyy	n/a
Fuel/energy consumption or vehicle miles traveled	Gallons/year by fuel type,	Evaluation of fueling, utility, mileage, or other operating records
Change in fuel/energy consumption or annual vehicle miles traveled	kWh/year, scf/year, or vehicle miles traveled/year	

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Appendix 3.B

Project Outcome Reporting Requirements for a Subset of Projects

Table 3.B-6 SGC – Affordable Housing and Sustainable Communities

Subset of Projects:

Project outcome reporting is only required for a subset of projects. The administering agency will report on project outcomes for at least 25 percent of Affordable Housing and Sustainable Communities projects.

Project Outcome Reporting is not applicable for:

- Funds spent on limited-term operations of new and expanded transit service;
- Connectivity improvements; and
- Transit passes, vouchers, or reduced fares.

Project Milestone that Initiates the Start of Project Outcome Tracking:*

Project outcome tracking begins when:

- Housing development construction is complete and available for occupancy;
- Construction is complete and transit service is operational; or
- Vehicle(s) or equipment is operational.

Frequency and Duration of Project Outcome Tracking and Data Collection:

Project outcome tracking ends 60 months after the start of tracking for project components that fund housing developments and 36 months after the start of tracking for project components that fund transit measures. Collection of project outcome data ends after the administering agency has collected data for the full project outcome tracking period. At a minimum, the administering agency needs to collect data annually but may establish more frequent data collection requirements.

Frequency and Duration of Project Outcome Reporting:

The administering agency will compile and submit project outcome reporting data to CARB once a year. Reporting on project outcomes ends after the administering agency has submitted reports to CARB which cover the full project outcome tracking period.

Metrics to be Tracked and Reported and Methods for Data Collection:

Data to be tracked and reported depends on the project type/component as described below.

Affordable Housing

Metric	Unit	Method
Tracking dates of data submission	mm/dd/yyyy	n/a
Housing unit occupancy rate	Percent of units occupied	Annual Occupancy and Compliance Reports
Income-restricted housing units occupancy rate		
Mode share of residents, in aggregate and by income	n/a	Surveys of building managers or residential occupants
Residents using transit passes, as applicable	Percent of residents using transit passes	
For mixed-use projects, occupancy of commercial space	Percent of available square footage	Surveys of building managers/leasing agents or commercial occupants

* A project may be comprised of multiple components (e.g., a project that funds housing and expanded transit service). The beginning and end of project outcome data collection and reporting may vary by project component if components become operational at different times (e.g., begin reporting on expanded transit service while housing development is still under construction).

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Table 3.B-6 SGC – Affordable Housing and Sustainable Communities (continued)

Capital Improvements that Result in New or Expanded Transit Service or Increase Mode Share on Existing Transit Service

Metric	Unit	Method
Tracking dates of data submission	mm/dd/yyyy	n/a
Days of operation per year	Days/year	Evaluation of service schedule
Average daily ridership	Unlinked trips/day	Ridership survey (conducted by city, county, district/authority, metropolitan planning organization, non-profit, or academia), ticket and transit pass sales, automatic passenger counter, driver counts, etc.

Active Transportation

Metric	Unit	Method
Tracking dates of data submission	mm/dd/yyyy	n/a
Average traffic of bicycle and pedestrian facilities	Users/day	Usage survey conducted by city, county, district/authority, metropolitan planning organization, non-profit, or academia

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Project Outcome Reporting Requirements for a Subset of Projects

Table 3.B-7 SGC – Sustainable Agricultural Lands Conservation

Subset of Projects:

Project outcome reporting is only required for a subset of projects. The administering agency will report on project outcomes for at least 40 percent of all Sustainable Agricultural Lands Conservation projects.

Project Milestone that Initiates the Start of Project Outcome Tracking:

Project outcome tracking begins when:

- The conservation easement is recorded; or
- The land strategy outcome (other than conservation easements) is achieved.

Frequency and Duration of Project Outcome Tracking and Data Collection:

Project outcome tracking ends 120 months after the start of tracking. Collection of project outcome data ends after the administering agency has collected data for the full project outcome tracking period. At a minimum, the administering agency needs to collect data annually but may establish more frequent data collection requirements.

Frequency and Duration of Project Outcome Reporting:

The administering agency will compile and submit project outcome reporting data to CARB once every two years. This schedule may result in the administering agency submitting reports to CARB more frequently while the projects being reported on rotate year to year. Reporting on project outcomes ends after the administering agency has submitted reports to CARB which cover the full project outcome tracking period.

Metrics to be Tracked and Reported and Methods for Data Collection:

Data to be tracked and reported depends on the project type/component as described below.

Conservation Easements

Metric	Method
Tracking dates of data submission (mm/dd/yyyy)	n/a
Verification that the land remains permanently protected as required by the terms of the easement.	Annual reports from the easement holder and periodic monitoring by the agency to verify conditions of easement are upheld.

Strategy & Outcome Grants

Metric	Method
Tracking dates of data submission (mm/dd/yyyy)	n/a
For land protected prior to project closeout, acres still preserved in accordance with the conditions of the agricultural conservation easement, ordinance, or revised General Plan	Follow-up surveys of grantee or easement holders regarding the impact of land use policies enacted and conservation easements recorded.
If additional land is protected after the grant period as a result of the funded strategy: <ul style="list-style-type: none"> • Project location (county) • Additional acres preserved 	

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Project Outcome Reporting Requirements for a Subset of Projects

Table 3.B-8 CARB – Woodsmoke Reduction Program

Subset of Projects:

Project outcome reporting is only required for a subset of projects. The administering agency will report on project outcomes for at least 25 percent of Woodsmoke Reduction Program projects. Each project selected for project outcome reporting will report on the outcomes at a minimum of 50 percent of the households where change-outs were performed.

Project Milestone that Initiates the Start of Project Outcome Tracking:

Project outcome tracking begins the first home heating season after a woodstove change-out.*

Frequency and Duration of Project Outcome Tracking and Data Collection:

Project outcome tracking ends 18 months after the start of tracking. Collection of project outcome data ends after the administering agency has collected data for the full project outcome tracking period. At a minimum, the administering agency needs to collect data annually but may establish more frequent data collection requirements.

Frequency and Duration of Project Outcome Reporting:

The administering agency will compile and submit project outcome reporting data to CARB once a year. Reporting on project outcomes ends after the administering agency has submitted reports to CARB which cover the full project outcome tracking period.

Metrics to be Tracked and Reported and Methods for Data Collection:

Metric	Unit	Method
Tracking dates of data submission	mm/dd/yyyy	n/a
Description of selected change-outs	n/a	Quantity of change-outs selected for project outcome reporting by change-out type and census tract (e.g., within census tract "X": 2 fireplaces replaced with certified non-catalytic wood stoves or wood inserts; 26 uncertified wood stoves or wood inserts replaced with certified non-catalytic wood stoves or wood inserts; 8 uncertified wood stoves or wood inserts replaced with certified catalytic wood stoves or wood inserts; 4 uncertified wood stoves or wood inserts replaced with propane home heating device; 4 uncertified wood stoves or wood inserts replaced with electric home heating devices; 7 uncertified wood stoves or wood inserts replaced with natural gas home heating devices)
Change in wood use	Cords/home heating season	Comparison of quantity of wood burned for heat during the home heating season* before upgrades to the usage during the current home heating season (wood usage data is obtained from household survey)
For household with new electric, propane, or natural gas home heating device: change in energy use	kWh, mmbtu, or scf/home heating season	Comparison of energy usage data during the home heating season* before change-out to the usage during the current home heating season (energy usage is obtained from household survey or utility records)

* Home heating season is defined as October through March.

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Project Outcome Reporting Requirements for a Subset of Projects

Table 3.B-9 CSD – Low-Income Weatherization Program		
Subset of Projects: Project outcome reporting is only required for a subset of projects. The administering agency will report on project outcomes for at least 5 percent of Low-Income Weatherization Programs projects.		
Project Milestone that Initiates the Start of Project Outcome Tracking: Project outcome tracking begins when 50 percent of the Low-Income Weatherization Program fiscal year appropriation allocated to each subprogram (i.e., single-family and multi-family programs) has been expended.		
Frequency and Duration of Project Outcome Tracking and Data Collection: Project outcome tracking ends 24 months after the start of tracking. Collection of project outcome data ends after the administering agency has collected data for the full project outcome tracking period. At a minimum, the administering agency needs to collect data annually but may establish more frequent data collection requirements.		
Frequency and Duration of Project Outcome Reporting: The administering agency will compile and submit project outcome reporting data to CARB once a year. Reporting on project outcomes ends after the administering agency has submitted reports to CARB which cover the full project outcome tracking period.		
Metrics to be Tracked and Reported and Methods for Data Collection: Data to be tracked and reported depends on the project/component type as described below.		
All Projects		
Metric	Unit	Method
Tracking dates of data submission	mm/dd/yyyy	n/a
Information on selected locations	n/a	Quantity of residences selected for project outcome reporting by census tract (e.g., 20 residences in census tract "X," 56 residences in census tract "Y")
Energy Efficiency and Solar Water Heating		
Metric	Unit	Method
Change in energy use	kWh/year	Comparison of energy usage data during 12 months before upgrades to the usage during the current 12 months (energy usage is obtained from evaluation of utility bills or records obtained directly from utility or via a survey of residents)
Solar Photovoltaic (PV)		
Metric	Unit	Method
Energy generated by solar PV	MW/year	Evaluation of utility bills or utility records obtained directly from utility or via a survey of residents

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Project Outcome Reporting Requirements for a Subset of Projects

Table 3.B-10 CDFA – State Water Efficiency and Enhancement Program

Subset of Projects:

Project outcome reporting is only required for a subset of projects. The administering agency will report on project outcomes for at least 10 percent of State Water Efficiency and Enhancement Program projects.

Project Milestone that Initiates the Start of Project Outcome Tracking:

Project outcome tracking begins when the project construction is complete, improvements and equipment are operational, and CDFA's required project verification is complete.

Frequency and Duration of Project Outcome Tracking and Data Collection:

Project outcome tracking ends 36 months after the start of tracking. Collection of project outcome data ends after the administering agency has collected data for the full project outcome tracking period. At a minimum, the administering agency needs to collect data annually but may establish more frequent data collection requirements.

Frequency and Duration of Project Outcome Reporting:

The administering agency will compile and submit project outcome reporting data to CARB once a year. Reporting on project outcomes ends after the administering agency has submitted reports to CARB which cover the full project outcome tracking period.

Metrics to be Tracked and Reported and Methods for Data Collection:

Metric	Unit	Method
Tracking dates of data submission	mm/dd/yyyy	n/a
Change in on-farm energy use	kWh or scf/growing season	Comparison of usage data during the growing season before upgrades to the usage during the current growing season (energy usage data is obtained from the utility bills, and/or field operational logs)
Change in on-farm fuel use	Gallons/growing season by fuel type	
Energy generated	kWh/growing season	Evaluation of utility bills, fuel receipts, and/or field operational logs
For joint SWEEP Prop 1 projects, energy use of distribution system	kWh/year	Evaluation of irrigation district records

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Project Outcome Reporting Requirements for a Subset of Projects

Table 3.B-11 DWR – State Water Project Turbines

Project outcome reporting is required for all hydroelectric turbine units.

Project Milestone that Initiates the Start of Project Outcome Tracking:

Project outcome tracking begins when construction is complete and the turbine unit becomes operational.

Frequency and Duration of Project Outcome Tracking and Data Collection:

Project outcome tracking ends 60 months after the start of tracking. Collection of project outcome data ends after the administering agency has collected data for the full project outcome tracking period. At a minimum, the administering agency needs to collect data annually but may establish more frequent data collection requirements.

Frequency and Duration of Project Outcome Reporting:

The administering agency will compile and submit project outcome reporting data to CARB once a year. Reporting on project outcomes ends after the administering agency has submitted reports to CARB which cover the full project outcome tracking period.

Metrics to be Tracked and Reported and Methods for Data Collection:

Metric	Unit	Method
Tracking dates of data submission	mm/dd/yyyy	n/a
Change in energy use	kWh/year	Comparison of energy usage data during 12 months before upgrades to the usage during the current 12 months (energy usage is obtained from utility bills, utility records, or grantee facility records)

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Project Outcome Reporting Requirements for a Subset of Projects

Table 3.B-12 DWR – Water-Energy Grant Program

Subset of Projects:

Project outcome reporting is only required for a subset of projects. The administering agency will report on project outcomes for at least 10 percent of Water Energy Grant Program grantees. Each grantee selected for project outcome reporting will report on the outcomes of all upgrades and measures installed at a minimum of 10 percent of the locations where they performed installations.*

Project Milestone that Initiates the Start of Project Outcome Tracking:

Project outcome tracking begins when:

- Grantee completes all equipment upgrades/installations funded by the grant; or
- Construction is complete.

Frequency and Duration of Project Outcome Tracking and Data Collection:

Project outcome tracking ends 24 months after the start of tracking. Collection of project outcome data ends after the administering agency has collected data for the full project outcome tracking period. At a minimum, the administering agency needs to collect data annually but may establish more frequent data collection requirements.

Frequency and Duration of Project Outcome Reporting:

The administering agency will compile and submit project outcome reporting data to CARB once a year. Reporting on project outcomes ends after the administering agency has submitted reports to CARB which cover the full project outcome tracking period.

Metrics to be Tracked and Reported and Methods for Data Collection:

Metric	Unit	Method
Tracking dates of data submission	mm/dd/yyyy	n/a
Information on selected locations	n/a	Quantity of buildings and/or residences by census tract (e.g., 20 residences in census tract “X,” 56 residences in census tract “Y”) selected for project outcome reporting
Change in water use	mgal/year	Comparison of water usage data during 12 months before upgrades to the usage during the current 12 months (water usage data is obtained from the utility bills, water district records, or grantee facility records)
Change in energy use	kWh/year or scf/year	Comparison of energy usage data during 12 months before upgrades to the usage during the current 12 months (energy usage is obtained from utility bills, utility records, or grantee facility records)

** If projects at commercial or institutional facilities span multiple buildings, all buildings with upgrades and measures installed at the facility are considered a single location. For multi-family residential projects, all units with upgrades and measures installed at the building or complex are considered a single location. In each case, the outcomes of all upgrades and measures installed at the facility or multi-family residence will need to be reported.*

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Project Outcome Reporting Requirements for a Subset of Projects

Table 3.B-13 DFW – Wetlands and Watershed Restoration

Subset of Projects:

Project outcome reporting is only required for a subset of projects. The administering agency will report on project outcomes for at least 25 percent of Wetland Restoration projects.

Project Milestone that Initiates the Start of Project Outcome Tracking:

Project outcome tracking begins when the project identifies baseline data at the start of the project.

Frequency and Duration of Project Outcome Tracking and Data Collection:

Project outcome tracking ends 120 months after the start of tracking. Collection of project outcome data ends after the administering agency has collected data for the full project outcome tracking period. At a minimum, the administering agency needs to collect data annually but may establish more frequent data collection requirements.

Frequency and Duration of Project Outcome Reporting:

The administering agency will compile and submit project outcome reporting data to CARB once every five years. This schedule may result in the administering agency submitting reports to CARB more frequently while the projects being reported on rotate year to year. Reporting on project outcomes ends after the administering agency has submitted reports to CARB which cover the full project outcome tracking period.

Metrics to be Tracked and Reported and Methods for Data Collection:

Pasture-Based Management

Metric	Unit	Method
Tracking dates of data submission	mm/dd/yyyy	n/a
Emission rates of CO ₂ , CH ₄ , and N ₂ O	MTCO ₂ e/acre/year	Continuous eddy covariance measurements or periodic static chamber measurements, unless the use of calibrated biogeochemical models or proxies are shown to adequately predict emissions
Change in soil carbon	MTCO ₂ e/year	Periodic soil core samples
Change in biomass carbon	MTCO ₂ e/year	Periodic above- and below-ground biomass sampling
Description of sampling events	n/a	n/a

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Project Outcome Reporting Requirements for a Subset of Projects

Table 3.B-14 CDFA – Alternative Manure Management Practices Program

Subset of Projects:

Project outcome reporting is only required for a subset of projects. The administering agency will report on project outcomes for at least 10 percent of Alternative Manure Management Practices Program projects.

Project Milestone that Initiates the Start of Project Outcome Tracking:

Project outcome tracking begins after the project begins implementing the new manure management practice(s) and CDFA's required project verification is complete.

Frequency and Duration of Project Outcome Data Tracking and Collection:

Project outcome tracking ends 36 months after the start of tracking. Collection of project outcome data ends after the administering agency has collected data for the full project outcome tracking period. At a minimum, the administering agency needs to collect data annually but may establish more frequent data collection requirements.

Frequency and Duration of Project Outcome Reporting:

The administering agency will compile and submit project outcome reporting data to CARB once a year. Reporting on project outcomes ends after the administering agency has submitted reports to CARB which cover the full project outcome data collection period.

Metrics to be Tracked and Reported and Methods for Data Collection:

Data to be tracked and reported depends on the project type/component as described below.

Pasture Based Management

Metric	Unit	Method
Tracking dates of data submission	mm/dd/yyyy	n/a
Weeks per year livestock spent at pasture before project implementation	Weeks	Report from the funding recipient based on dairy operational logs, if available, or dairy operator attestation.
Weeks per year livestock spent at pasture during reporting period		

Solid Separation

Metric	Unit	Method
Tracking dates of data submission	mm/dd/yyyy	n/a
Confirmation solid separation technology is operational and still utilized	Y/N	Project verification site visit by CDFA staff.
Identification of treatment/storage system of separated solids (e.g., open solar drying, composting in vessel)	n/a	

Scrape Conversion

Metric	Unit	Method
Tracking dates of data submission	mm/dd/yyyy	n/a
Confirmation that dry scrape technology is operational and still utilized	Y/N	Project verification site visit by CDFA staff.
Identification of treatment/storage system of scraped solids (e.g., open solar drying, composting in vessel)	n/a	

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Project Outcome Reporting Requirements for a Subset of Projects

Table 3.B-15 CDFA – Dairy Digester Research & Development Program

Subset of Projects:

Project outcome reporting is only required for a subset of projects. The administering agency will report on project outcomes for at least 10 percent of Dairy Digester Research & Development Program projects.

Project Milestone that Initiates the Start of Project Outcome Tracking:

Project outcome tracking begins when:

- Construction is complete, the new or improved facility/equipment is operational, and CDFA’s required project verification is complete; or
- Research contract ends.

Frequency and Duration of Project Outcome Tracking and Data Collection:

Project outcome tracking ends 36 months after the start of tracking. Collection of project outcome data ends after the administering agency has collected data for the full project outcome tracking period. At a minimum, the administering agency needs to collect data annually but may establish more frequent data collection requirements.

Frequency and Duration of Project Outcome Reporting:

The administering agency will compile and submit project outcome reporting data to CARB once a year. Reporting on project outcomes ends after the administering agency has submitted reports to CARB which cover the full project outcome tracking period.

Metrics to be Tracked and Reported and Methods for Data Collection:

Metric	Unit	Method
Tracking dates of data submission	mm/dd/yyyy	n/a
Quantity of methane captured and destroyed in any biogas destruction device	MT CH ₄ /year	Evaluation of metered data, sale receipts, or operational logs
Quantity of methane captured and utilized (e.g., electricity, thermal energy, transportation fuel)	MT CH ₄ /year	
Annual surplus renewable energy generated	kWh, scf, or mmbtu	

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Project Outcome Reporting Requirements for a Subset of Projects

TABLE 3.B-16 CDFA – Healthy Soils

Subset of Projects:

Project outcome reporting is only required for a subset of projects. The administering agency will report on project outcomes for at least 10 percent of Healthy Soils Program projects.

Project Milestone that Initiates the Start of Project Outcome Tracking:

Project outcome tracking begins one year after the project began implementing new conservation management practice(s).

Frequency and Duration of Project Outcome Tracking and Data Collection:

Project outcome tracking ends 36 months after the start of tracking. Collection of project outcome data ends after the administering agency has collected data for the full project outcome tracking period. At a minimum, the administering agency needs to collect data annually but may establish more frequent data collection requirements.

Frequency and Duration of Project Outcome Reporting:

The administering agency will compile and submit project outcome reporting data to CARB once a year. Reporting on project outcomes ends after the administering agency has submitted reports to CARB which cover the full project outcome tracking period.

Metrics to be Tracked and Reported and Methods for Data Collection:

Metric	Unit
Tracking dates of data submission	mm/dd/yyyy
Agricultural land on which conservation management practices are still being implemented (report separately for each management practice)	Acres
If practice involves compost application or mulch, rate of application	Dry short tons/acre/year
If practice involves compost application, carbon:nitrogen ratio	C:N
If practice involves tree planting, number of trees planted, by species, since last report	Number of trees, by species
If practice involves cover crops or herbaceous cover, provide species	Species of cover crop or herbaceous cover

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Project Outcome Reporting Requirements for a Subset of Projects

Table 3.B-17 CAL FIRE – Forest Health

Subset of Projects:

Project outcome reporting is only required for a subset of projects. The administering agency will report on project outcomes for at least 10 percent of Forest Health projects.

Project Outcome Reporting is not applicable for:

- Funds spent on delivering biomass to mills or renewable energy facilities

Project Milestone that Initiates the Start of Project Outcome Tracking:*

Project outcome tracking begins when:

- Implementation of on-site treatments is finished;
- Easement is recorded; or
- Biomass utilization infrastructure is installed and operational.

Frequency and Duration of Project Outcome Tracking and Data Collection:

Project outcome tracking ends 120 months after the start of tracking for project components that fund on-site treatments (i.e., reforestation, pest management, fuels reduction) and easements (i.e., forest conservation) and 36 months after the start of tracking for project components that fund biomass utilization infrastructure. Collection of project outcome data ends after the administering agency has collected data for the full project outcome tracking period. At a minimum, the administering agency needs to collect data annually but may establish more frequent data collection requirements.

Frequency and Duration of Project Outcome Reporting:

The administering agency will compile and submit project outcome reporting data to CARB once a year. Reporting on project outcomes ends after the administering agency has submitted reports to CARB which cover the full project outcome tracking period.

Metrics to be Tracked and Reported and Methods for Data Collection:

Data to be tracked and reported depends on the project type/component as described below.

Reforestation

Metric	Unit	Method
Tracking dates of data submission	mm/dd/yyyy	Tracking dates of data submission
Tree mortality of planted trees	Percentage	On-site visit and sampling or current aerial imagery (if appropriate)

Pest Management

Metric	Unit	Method
Tracking dates of data submission	mm/dd/yyyy	Tracking dates of data submission
Tree mortality in treatment and impact boundaries since treatment	Percentage	On-site visit and sampling or current aerial imagery (if appropriate)

** A project may be comprised of multiple components (e.g., a project that implements various forest health activities within the project area). For projects with multiple components that are completed at different times, project outcome reporting will begin when all project components are complete.*

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Table 3.B-17 CAL FIRE – Forest Health (continued)

Fuels Reduction (if wildfire has occurred in treatment or impact boundary)		
Metric	Unit	Method
Tracking dates of data submission	mm/dd/yyyy	Tracking dates of data submission
Description of disturbance impacts	n/a	On-site visit or current aerial imagery (if appropriate)
Forestland within treatment and impact boundary impacted	Acres	
Tree mortality in treatment and impact boundaries as a result of disturbance	Percentage	On-site visit and sampling or current aerial imagery (if appropriate)
Forest Conservation		
Metric	Unit	Method
Tracking dates of data submission	mm/dd/yyyy	Tracking dates of data submission
Verification that the land is being managed in accordance with the terms of the forest conservation easement	n/a	On-site visit or current aerial imagery (if appropriate) to verify conditions of easement
Biomass delivered to a renewable energy facility	Bone dry tons/year	Evaluation of weight receipts from certified scales or tonnage reports from haulers indicating the delivery destination
Harvested wood delivered to a mill	Board feet/year	
Mill efficiency and wood product classes, if available from mill	Percentage	Mill reports used to document mill efficiency and wood product classes
Biomass Utilization (applicable to for GGRF funded infrastructure)		
Metric	Unit	Method
Tracking dates of data submission	mm/dd/yyyy	Tracking dates of data submission
Biomass delivered to a renewable energy facility	Bone dry tons/year	Evaluation of weight receipts from certified scales or tonnage reports from haulers indicating the delivery destination
Biomass delivered to a mill	Board feet/year	
If producing wood products, mill efficiency and wood product classes, if available from mill	Percentage	Mill reports used to document mill efficiency and wood product classes
If producing energy or fuel, renewable energy generated	kWh, scf, mmbtu, or gallons/year	Evaluation of metered data, sale receipts, or operational logs

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Project Outcome Reporting Requirements for a Subset of Projects

Table 3.B-18 CAL FIRE – Urban and Community Forestry

Subset of Projects:

Project outcome reporting is only required for a subset of projects. The administering agency will report on project outcomes for at least 10 percent of Urban and Community Forestry projects.

Project Outcome Reporting is not applicable for:

- Funds spent on delivering biomass to mills or renewable energy facilities

Project Milestone that Initiates the Start of Project Outcome Tracking:*

Project outcome tracking begins when:

- Tree/vegetation planting is completed;
- Green infrastructure construction is completed; or
- Biomass utilization infrastructure is installed and operational.

Frequency and Duration of Project Outcome Tracking and Data Collection:

Project outcome tracking ends 60 months after the start of tracking for project components that fund tree planting and 36 months after the start of tracking for project components that fund biomass utilization infrastructure. Collection of project outcome data ends after the administering agency has collected data for the full project outcome tracking period. At a minimum, the administering agency needs to collect data annually but may establish more frequent data collection requirements.

Frequency and Duration of Project Outcome Reporting:

The administering agency will compile and submit project outcome reporting data to CARB once a year. Reporting on project outcomes ends after the administering agency has submitted reports to CARB which cover the full project outcome tracking period.

Metrics to be Tracked and Reported and Methods for Data Collection:

Data to be tracked and reported depends on the project type/component as described below.

Urban Forest Expansion and Improvement

Metric	Unit	Method
Tracking dates of data submission	mm/dd/yyyy	Tracking dates of data submission
Confirmation that the tree planting sites are still being managed in accordance with the terms of the grant agreement including tree establishment and replacement care	n/a	On-site visit or current aerial images to verify condition of trees planted by project
Tree mortality rate to date	Percentage	Extrapolated from conditions of a sample of project tree sites

** A project may be comprised of multiple components (e.g., a project that implements tree planting and funds biomass utilization infrastructure). For projects with multiple components that are completed at different times, project outcome reporting will begin when all project components are complete.*

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Table 3.B-18 CAL FIRE – Urban and Community Forestry (continued)

Urban Forest Management Activities		
Metric	Unit	Method
Tracking dates of data submission	mm/dd/yyyy	Tracking dates of data submission
Confirmation that the tree planting sites are still being managed in accordance with the terms of the grant agreement including tree establishment and replacement care	n/a	On-site visit or current aerial images to verify condition of trees planted by project
Tree mortality rate to date (%)	Percentage	Extrapolated from conditions of a sample of project tree sites
Description of impacts from the funded management activity (e.g., utilization of tree inventory, urban forest mapping and analysis, long-term management plan)	n/a	Records from jurisdiction
Biomass Utilization (applicable to for GGRF funded infrastructure)		
Metric	Unit	Method
Tracking dates of data submission	mm/dd/yyyy	Tracking dates of data submission
Biomass delivered to a renewable energy facility	Bone dry tons/year	Evaluation of weight receipts from certified scales or tonnage reports from haulers indicating the delivery destination
Biomass delivered to a mill	Board feet/year	
If producing wood products, mill efficiency and wood product classes, if available from mill	Percentage	Mill reports used to document mill efficiency and wood product classes
If producing energy or fuel, renewable energy generated	kWh, scf, mmbtu, or gallons/year	Evaluation of metered data, sale receipts, or operational logs

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Project Outcome Reporting Requirements for a Subset of Projects

Table 3.B-19 CalRecycle – Waste Diversion

Subset of Projects:

Project outcome reporting is only required for a subset of projects. The administering agency will report on project outcomes for at least 50 percent of Waste Diversion projects.

Project Milestone that Initiates the Start of Project Outcome Tracking:*

Project outcome tracking begins when:

- Expansion of the waste management infrastructure is completed and operating at full capacity and/or the grant term ends;
- Equipment is installed and operating at full capacity and/or the grant term ends;
- Collection of rescued food begins; or
- Measures to reduce food waste are in place.

Frequency and Duration of Project Outcome Tracking and Data Collection:

Project outcome tracking ends 36 months after the start of tracking. Collection of project outcome data ends after the administering agency has collected data for the full project outcome tracking period. At a minimum, the administering agency needs to collect data annually but may establish more frequent data collection requirements.

Frequency and Duration of Project Outcome Reporting:

The administering agency will compile and submit project outcome reporting data to CARB once a year. Reporting on project outcomes ends after the administering agency has submitted reports to CARB which cover the full project outcome tracking period.

Metrics to be Tracked and Reported and Methods for Data Collection:

Data to be tracked and reported depends on the project type/component as described below.

Digestion

Metric	Unit	Method
Tracking dates of data submission	mm/dd/yyyy	Tracking dates of data submission
Newly diverted organic material sent for digestion	Short tons/year	Evaluation of delivery documentation (e.g., weight receipts from certified scales or tonnage reports from haulers) or operational logs
Residual material landfilled or used as alternative daily cover		
Surplus renewable energy generated	kWh, scf, or gallons/year	Evaluation of metered data, sale receipts, or operational logs

Composting

Metric	Unit	Method
Tracking dates of data submission	mm/dd/yyyy	Tracking dates of data submission
Newly diverted organic material sent for composting	Short tons/year	Evaluation of delivery documentation (e.g., weight receipts from certified scales or tonnage reports from haulers) or operational logs
Residual material landfilled or used as alternative daily cover		
Compost produced by end use (e.g., agriculture, landscape)		Evaluation of sales receipts

* A project may be comprised of multiple components (e.g., a project that funds both anaerobic digestion and food rescue). For projects with multiple components that are completed at different times, project outcome reporting will begin when all project components are complete.

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Table 3.B-19 CalRecycle – Waste Diversion (continued)		
Food Waste Prevention		
Metric	Unit	Method
Tracking dates of data submission	mm/dd/yyyy	Tracking dates of data submission
Edible food rescued and used to feed people	Short tons/year	Evaluation of delivery documentation
Food waste prevented from being landfilled as a result of source reduction		Evaluation of waste prevention tracking documentation
Fiber, Plastic, and Glass Recycling		
Metric	Unit	Method
Tracking dates of data submission	mm/dd/yyyy	Tracking dates of data submission
Newly diverted material used in manufacturing, by feedstock type	Short tons/year	Evaluation of delivery documentation (e.g., weight receipts from certified scales or tonnage reports from haulers) or operational logs

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Appendix 3.B

Project Outcome Reporting Requirements for a Subset of Projects

Table 3.B-20 CNRA – Urban Greening Program

Subset of Projects:

Project outcome reporting is only required for a subset of projects. The administering agency will report on project outcomes for at least 30 percent of Urban Greening projects.

Project Milestone that Initiates the Start of Project Outcome Tracking:*

Project outcome tracking begins when:

- Tree/vegetation planting is completed;
- Green infrastructure construction is completed; or
- Construction is complete and new bicycle or pedestrian facility is open for use.

Frequency and Duration of Project Outcome Tracking and Data Collection:

Project outcome tracking ends 36 months after the start of tracking. Collection of project outcome data ends after the administering agency has collected data for the full project outcome tracking period. At a minimum, the administering agency needs to collect data annually but may establish more frequent data collection requirements.

Frequency and Duration of Project Outcome Reporting:

The administering agency will compile and submit project outcome reporting data to CARB once a year. Reporting on project outcomes ends after the administering agency has submitted reports to CARB which cover the full project outcome tracking period.

Metrics to be Tracked and Reported and Methods for Data Collection:

Data to be tracked and reported depends on the project type/component as described below.

Urban Forestry

Metric	Unit	Method
Tracking dates of data submission	mm/dd/yyyy	Tracking dates of data submission
Confirmation that the tree planting sites are still being managed in accordance with the terms of the grant agreement including tree establishment and replacement care	n/a	On-site visit or current aerial images to verify condition of trees planted by project Extrapolated from conditions of a sample of project tree sites
Tree mortality rate to date	Percentage	
Stormwater captured/treated	Acre feet/year	Evaluation of local rainfall totals

Active Transportation

Metric	Unit	Method
Tracking dates of data submission	mm/dd/yyyy	Tracking dates of data submission
Average traffic of bicycle and pedestrian facilities	Users/day	Usage survey conducted by city, county, district/authority, metropolitan planning organization, non-profit, or academia

* A project may be comprised of multiple components (e.g., a project that funds both tree planting and a bicycle path). For projects with multiple components that are completed at different times, project outcome reporting will begin when all project components are complete.