

APPENDIX A

2017-18 APPLICATION

**FINANCING ASSISTANCE FOR LOWER-INCOME  
CONSUMERS (FINANCING ASSISTANCE PILOT  
PROJECT)**

Mobile Source Control Division  
California Air Resources Board  
November 1, 2018



## APPLICATION CHECKLIST

In order to reduce the chances of having an application rejected, the applicant is strongly encouraged to re-read the following sections of the Solicitation before submitting an application package: IX. Grant Application Instructions, XI. Required Elements, and XII. Evaluation and Scoring. The checklist below is not a substitute for a thorough review of the solicitation and its appendices. **The applicant is not required to submit the checklist as part of the Grant Application.**

	The application package consists of one (1) signed original application, four (4) copies of the application, and one (1) CD or flash drive containing copies of the application and all required documents.
	Appendix A. Application: Application Cover Page is signed and dated.
	Appendix A. Application: Attachment 1: Applicant Qualifications and Resources
	Appendix A. Application: Attachment 2: Proposed Estimated Budget
	Appendix A. Application: Attachment 3: Project Implementation Plan
	Appendix A. Application: Attachment 4: Outreach and Education Strategy
	Appendix A. Application: Attachment 5: Applicant Resources to Implement the Project
	Appendix A. Application: Attachment 6: Conflict of Interest Declaration
	Appendix A. Application: Attachment 7: Confidentiality Statement
	Appendix A. Application: Attachment 8: Confidentiality Agreement
	Appendix A. Application: Attachment 9: STD. 204 Payee Data Record

### APPLICATION

Print clearly or type all information on this application.

1. Project: Click here to enter text.		
2. Company Name/Air District/Organization Name/Individual Name: Click here to enter text.		
3. Entity Type: Click here to enter text.		
4. Contact Name and Title: Click here to enter text.		
5. Person with Contract Signing Authority (if different from above)/Air Pollution Control Officer (APCO): Click here to enter text.		
6. Mailing Address and Contact Information:		
Street: Click here to enter text.		
City: Click here to enter text.	State: Click here to enter text.	Zip Code: Click here to enter text.
Phone: ( XXX ) XXX-XXX	Fax: ( XXX ) XXX-XXX	
E-mail: Click here to enter text.		
<input type="checkbox"/> I have read and understood the terms and conditions of the Sample Grant Agreement.		

I hereby certify under penalty of perjury that all information provided in this application and any attachments are true and correct.

Printed Name of Responsible Party or APCO: Click here to enter text.	Title: Click here to enter text.
Signature of Responsible Party or APCO:	Date:

#### Third Party Certification (if applicable)

I have completed the application, in whole or in part, on behalf of the applicant.

Printed Name of Third Party: Click here to enter text.	Title: Click here to enter text.
Signature of Third Party:	Date:
Amount Being Paid for Application Completion in Whole or Part: Click here to enter text.	Source of Funding to Third Party: Click here to enter text.

**Attachment 1: APPLICANT QUALIFICATIONS AND RESOURCES**

1. Qualifications Narrative: Provide an attachment describing your experience and expertise developing, implementing, or administering similar financial assistance projects and working with or outreaching to lower-income or disadvantaged communities and identify how this background will enable you to efficiently and effectively implement the Financing Assistance Pilot Project. Include copy of any applicable required licenses or verification documentation (for example, California Finance Lenders License; for a non-profit organization, copy of your organization’s IRS determination letter). This narrative should not exceed two pages.
  
2. Resources Narrative: Identify staff, funding, community partnerships, collaborative relationships, and leveraged resources you have available to effectively and efficiently implement the program. Personnel costs, fringe benefit costs, operating expenses including rent and supplies, equipment costs, overhead, records retention, and other costs needed to implement the program should be detailed as part of your Proposed Budget (see Attachment 2). This narrative should not exceed two pages.
  
3. Staff Information: Include information for each staff member to be involved in developing, implementing, or administering the Financing Assistance Pilot Project. Clearly identify staff proposed for day-to-day project administration. Attach resumes. If a position will be available upon execution of the grant, use To Be Determined as the name, and include the hourly rate and expected duties.

Name:	Hourly rate:
Phone:	Email:
Title:	
Expected duties:	

*This table is a suggestion. If more room is needed, the information may be recreated by the applicant and attached.*

4. Subcontractor Information: Applicants may partner or subcontract with other entities. However, responsibility for compliance with the grant terms and deliverables lies with the primary applicant. Subcontractors must also meet the grant agreement requirements that apply to the work they will perform for their portion of the project. Provide the names and information for any and all subcontractors and partners. Attach qualification narratives, resume and letters of commitment. Each letter of commitment must describe the nature of participant’s contribution.

Name:	Hourly rate:
Phone:	Email:
Title:	
Expected duties:	

*This table is a suggestion. If more room is needed, the information may be recreated by the applicant and attached*

## **Attachment 2: PROPOSED ESTIMATED BUDGET**

Describe the proposed budget for completing the tasks of the Financing Assistance Pilot Project, consistent with the Sample Grant Agreement, your Project Implementation Plan, and the requirements of the solicitation. Applicant should be aware that the available funds will only be awarded to one grantee.

The proposed budget must include all estimated labor and material costs associated with managing the project, a description of any applicable commitments for in-kind services and match funding, records retention, and transfer to CARB. The budget must include total costs to process loans, educate lower-income consumers in vehicle purchase or lease, vehicle price buy-down funding allocation, and number of vehicles projected to be funded. If a battery electric vehicle (BEV) or plug-in hybrid vehicle (PHEV) is being purchased or leased, financial assistance grant of up to \$2,000 may be requested for purchase and installation of electric vehicle supply equipment (EVSE), include process for issuing this financial assistance. The proposed budget must also include a cost breakdown per loan, vehicle price buy-down funding, or other financial assistance instrument. Applicants may use the Sample Proposed Budget to summarize their proposed budget or their own worksheet.

The proposed budget should identify any in-kind services to be offered, resources, or services contributed by the Grantee to manage the project but not be charged to the Financing Assistance Pilot Project. Be specific, i.e., itemize staff time or other costs that are being committed. In-kind services provided in the form of outreach efforts must be appropriate for community being served. In-kind services committed in this application must be documented by the Grantee in the Final Report.

Match funding, not required but encouraged, refers to funds contributed by the Grantee to the Financing Assistance Pilot Project to fund loans or other proposed financing assistance instrument for vehicle purchase, lease or in conjunction with a BEV/PHEV purchase, EVSE purchase or installation. Only direct match and in-kind funding contributed to the Financing Assistance Pilot Project will be considered in scoring this application. The applicant must include a letter describing and authorizing any proposed match and in-kind funding commitment as part of this application.

All expenses and other funding must be estimated and identified. Estimate the number

of advance clean vehicles purchased for the project. Provide details on budget and include as attachments, as necessary. CARB will disburse funds on a reimbursement basis, provided sufficient documentation is provided to support the disbursement amount requested.

Project funds can be used for project expenses which may include one or more of the following: vehicle price buy-down, loan loss reserve contribution, interest rate buy down, outreach, education classes, outreach expenses, labor expenses (including total staff time and labor costs), consultant fees, printing, mailing, travel, and other expenses.

**2-1: Sample Proposed Budget**

(Applicant may modify this sample budget to meet their specific needs. This page may also be edited, or deleted if not used)

TOTAL PROGRAM COSTS			CARB Funds	Grantee Match		Total Budget
				Cash	In-Kind	
EVSE and installation						
Battery electric vehicle buy-down						
Hybrid electric vehicles buy-down						
EVSE and installation						
Loan Processing						
Website Development and Maintenance						
Participant Vehicle and Financial Education						
<b>Subtotal</b>						
<b>Positions/Classifications</b>	<b>Hourly rate</b>	<b>Hours</b>				
Project Manager						
Staff Assistant						
Technician						
Fringe Benefits						
Record Retention						
Indirect costs (including administrative costs)						
Coordination with other programs						
Outreach and education						
Multilingual Translation Service						
Data Analysis and Project Evaluation						
Reporting to CARB - Quarterly						
Reporting to CARB – Final						
Printing, mailing, travel, (expand to one category per row)						
Office Space (rent)						
Other non-labor, non-administrative project implementation costs (expand to one category per row)						
<b>Total</b>						

### **Attachment 3: PROJECT IMPLEMENTATION PLAN**

Provide a Project Implementation Plan for completing tasks required in the Scope of Work of the Financing Assistance Pilot Project Grantee as outlined in Exhibit A of the Sample Grant Agreement and this solicitation. Be specific. The Project Implementation Plan should be no longer than sixteen pages and contain a clear and concise description of how key tasks will be completed. Where applicable, provide examples of success in completed similar tasks. The tasks described under the Scope of Work and other tasks required by applicant's financing project may include, but is not limited to the following:

1. The Project Executive Summary must contain a summary of the proposed project. Narrative that presents a clear and concise description of financing design, how key tasks and project flow will be completed.

The Project Executive Summary is a self-contained document that identifies the name of the applicant, the project title, the scope and objectives of the project, a description of the project, including methods to be employed, potential benefits and outcomes, major participants, and requested funding amount. It should not include information that is not in the rest of the proposal. This document must not include any proprietary or sensitive business information as it may be made available to the public. The project summary must not exceed 1 page when printed using standard 8.5" by 11" paper with a minimum of 1" margins (top, bottom, left, and right) with font not smaller than 11 point.

The Project Executive Summary for Public Posting is required for all competitive applications for Low Carbon Transportation funds and will be publically posted on CARB's website at least ten days before CARB preliminarily selects applications as Grantees. The Project Summary for Public Posting must be no more than 500 words and must include:

- i. Name of applicant.
  - ii. Brief description of proposed project including location (excluding personally identifiable information for any private individuals).
  - iii. Amount of funding requested.
  - iv. Whether the project is expected to be located within or provide benefits to a disadvantaged community.
  - v. Please note that CARB may, at its sole discretion, modify the Project Summary for Public Posting to more accurately present the required project information as it is presented in the actual project application.
2. Describe project design, project design may include one or more of the following alone or in combination: vehicle price buy-down, loan, interest rate buy-down, loan loss reserve, etc.
  3. Budget and leveraging of funds.

4. Project schedule with dates for each major task, necessary subtask, and milestone by which progress can be measured and payments from inception through project completion. Sample template of Project Milestones and Disbursement Schedule, from Appendix B. Sample Grant Agreement below:

#	Milestone	Project Schedule (Tasks from Application)	Start Date	End Date
1	Execute Grant Agreement	Kick-off meeting	X/XX/XX	X/XX/XX
2	Milestone	Task	X/XX/XX	X/XX/XX
		Task	X/XX/XX	X/XX/XX
		Task	X/XX/XX	X/XX/XX
		Task	X/XX/XX	X/XX/XX

5. Outreach (including participant survey, emphasis in disadvantaged communities) to lower-income consumers.
6. Plan for education (fiscal, vehicle, and consumer protections) to lower-income consumers.
7. Plan to determine income verification requirement.
8. Data the project will collect from initial and on-going project participant surveys, the type of financing assistance programs that serve the project, vehicle and financing assistance information (for example, loan and terms of loan, vehicle price buy-down amounts, etc.), demonstration of educational requirements being met, identify consumers census tract, identifying if consumer is located in a disadvantaged community, and how this data will be reported to CARB.
9. Number of advanced technology vehicles purchases or leases projected and a cost per loan or transaction.



10. For BEV/PHEV consumers, process for issuing financial assistance of up to \$2,000 for EVSE purchase and installation.

11. Describe the long-term vision or goals to sustain the program in the future.

12. Policies and Procedures

- i. Flow charts of administering processes,
- ii. Consumer education requirement, and
- iii. Process to track and enforce measures for defaulted loans or returned vehicles, cancellations.

13. Reporting- quarterly and final report.

14. Developing and maintaining accounting procedures to track expenditures.

15. Plan to coordinate administration of the program with CARB's other light-duty projects including Enhance Fleet Modernization Program (EFMP)/EFMP Plus-up and Clean Vehicle Rebate Project (CVRP).

16. Plans for record retention and project transfer plan.

#### **Attachment 4: OUTREACH AND EDUCATION STRATEGY**

Please provide your proposed outreach strategy including plan for developing outreach and educational materials in consultation with CARB and conducting the statewide public outreach necessary for the project to be successful. Outreach should target lower-income consumers with an emphasis in disadvantaged communities. Include plan to coordinate outreach efforts with the administrators of EFMP Plus-up CVRP, One-Stop-Shop and related programs. The Applicant shall clearly identify an outreach plan that contains, at a minimum:

1. The types of outreach planned (e.g., printed materials, web-based, and social media).
2. A strategy to support organizations and groups that are representative of disadvantaged communities, and that are connected to a network of similar organizations and culturally-relevant institutions and community service providers to provide education, technical assistance, ride and drive opportunities, etc.
3. An approximation of the number of community events and geographic locations that will be attended to promote the financing assistance pilot project (including advanced clean vehicle technology).

4. A strategy to engage lower-income individuals through activities relevant to the community being served, and through the use of language-specific and culturally-appropriate outreach and education materials.
5. Outreach materials, such as fact sheets, infographics, and other multimedia tools, such as videos, readily accessible on the website.

#### **Attachment 5: APPLICANT RESOURCES TO IMPLEMENT THE PROJECT**

Identify the staff, infrastructure, financing assistance funding, and other available resources. Identify key personnel who will be working on the project and if there is a subcontractor a description of the subcontractor role.

#### **Attachment 6: CONFLICT OF INTEREST DECLARATION**

All applicants must disclose any Conflict of Interest in fulfilling the duties of the Financing Assistance Pilot Project Grantee. Summarize your organization's or any subcontractor's current, ongoing, or pending direct or indirect interest, which poses an actual, apparent, or potential conflict of interest with your ability to fulfill the duties of the Grantee. CARB may consider the nature and extent of any potential or apparent conflict of interest in evaluating, considering, or scoring the application and may disqualify the applicant at CARB's sole discretion.

**Attachment 7: CONFIDENTIALITY STATEMENT:**

Submission of this attachment is required. Failure to comply and return this attachment will cause your grant application to be rejected and deemed non-responsive.

As an authorized representative and/or officer of the organization named below, I warrant my organization and its employees will not disclose any documents, diagrams, information and information storage media made available to us by the State for the purpose of responding to the Financing Assistance Pilot Project Solicitation or in conjunction with any sub-grant agreement arising there from. I warrant that only those employees who are authorized and required to use such materials will have access to them.

I further warrant that all materials provided by the State will be returned promptly after use and that all copies or derivations of the materials will be physically and/or electronically destroyed. I will include with the returned materials, a letter attesting to the complete return of materials, and documenting the destruction of copies and derivations. Failure to so comply will subject this organization to liability, including all damages to the State and third parties. I authorize the State to inspect and verify the above.

I warrant that if my organization is awarded, it will not enter into any agreements or discussions with a third party (sub-grantees) concerning such materials prior to receiving written confirmation from the State that such third party has an agreement with the State similar in nature to this one.

\_\_\_\_\_  
Signature of Responsible Party

\_\_\_\_\_  
Date

\_\_\_\_\_  
Typed Name of Responsible Party

\_\_\_\_\_  
Typed Name of Organization

**Attachment 8: CONFIDENTIALITY AGREEMENT:**

Submission of this attachment is required. Failure to comply and return this attachment will cause your grant application to be rejected and deemed non-responsive. **Each applicant’s proposed key staff must read, agree, sign, date and submit this completed form (attach additional copies as needed).**

The undersigned agrees to:

1. Observe complete confidentiality with respect to California Air Resources Board (CARB) information, including without limitation, agreeing not to disclose or otherwise permit access to such information or data developed or collected pursuant to the Financing Assistance Pilot Project by any person or entity in any manner unless such disclosure is required by law or legal process.
2. Acknowledge the confidential nature of such information or data developed or collected pursuant to the Financing Assistance Pilot Project and ensure by agreement or otherwise that they are prohibited from copying or revealing, for any purpose whatsoever, the contents of such information or any part thereof, or from taking any action otherwise prohibited under this section.
3. Not use such information or data developed or collected pursuant to the Financing Assistance Pilot Project or any part thereof in the performance of services to others or for the benefit of others in any form whatsoever whether gratuitously or for valuable consideration, except as permitted under this agreement.
4. Notify State promptly and in writing of the circumstances surrounding any possession, use or knowledge of such information or data developed or collected pursuant to the Financing Assistance Pilot Project or any part thereof, by any person other than those authorized by this document.
5. Adhere to all CARB confidentiality, disclosure, and privacy policies.
6. Treat all information, data, deliverables, and work products developed or collected pursuant to the Financing Assistance Pilot Project as confidential. All information, deliverables, and work products cannot be disclosed in any form to any third party without CARB’s written consent except when required by law or legal process.
7. Not use, without CARB written approval, any CARB materials for any purpose other than performing the agreed upon services.

\_\_\_\_\_  
Signature

\_\_\_\_\_  
Date

\_\_\_\_\_  
Print Name

\_\_\_\_\_  
Financing Assistance Pilot  
Project Title

**Attachment 9: STD. 204 PAYEE DATA RECORD**

Submit a completed STD. 204 Payee Data Record:

<https://www.documents.dgs.ca.gov/dgs/fmc/pdf/std204.pdf>