

BOARD MEMBERS

Virginia Bass
Chair
Timothy Callison
Vice-Chair
Rex Bohn
Mike Wilson
Chris Drop

**COUNTY STAFF**

Scott Adair
Ryan Heitz
Tanner Etherton

**SAMOA PENINSULA
ENHANCED INFRASTRUCTURE FINANCE DISTRICT (EIFD)
PUBLIC FINANCE AUTHORITY (AUTHORITY BOARD)**

**825 FIFTH STREET
EUREKA, CA 95501
SUPERVISORS' CHAMBER, FIRST FLOOR**

AGENDA**Monday, October 17, 2022****3:00 PM****Special Meeting*****Email Public Comment:***

To submit public comment to The Samoa Peninsula EIFD Authority Board please email gohumco@co.humboldt.ca.us, provide your name and the agenda item number(s) on which you wish to comment. All public comment submitted after the agenda has been published will be included with the administrative record after the fact.

Live Public Comment:

When it is time for public comment on the item you wish to speak on, the Samoa Peninsula EIFD Authority Board Chair will ask for public comment. In-person participants may raise their hand to be called on. Staff will then ask you to state your name and begin your comment. You will have 3 minutes to comment.

The County of Humboldt is committed to providing equal access to all county programs, services and activities through the provision of accommodations for individuals with qualified disabilities as required under the Americans with Disabilities Act. With 72 hours prior notice, a request for reasonable accommodation or modification can be made. Please contact the District General Manager, Scott Adair, at sadair@co.humboldt.ca.us or by phone at (707) 476-4800

The Goal of the Samoa Peninsula EIFD (the “EIFD”) and the Authority Board is to finance the development and maintenance of infrastructure on the Samoa Peninsula which promotes economic prosperity, and enhances the quality of place and life in Humboldt County.

1. OPENING

- a. Roll Call
- b. Approval of Minutes
 - i. [Draft Minutes – 6/03/2022 \(APPENDIX A\)](#)
- c. Public Comment on Non-Agenda Items
- d. Report Out on Meetings Attended and Community Feedback Received
- e. Staff Updates

2. AGENDA ITEMS

- a. [Potential Grant Opportunities for The District](#)
 - i. Discussion
 - ii. Public Comment
 - iii. Action
- b. [Resolution Authorizing District Partnerships](#)
 - i. Discussion
 - ii. Public Comment
 - iii. Action
- c. [Regional Early Action Planning \(REAP 2.0\) Grant Application](#)
 - i. Discussion
 - ii. Public Comment
 - iii. Action
- d. [Next Steps](#)
 - i. Discussion
 - ii. Public Comment

3. ADJOURN

Next Meeting:

AGENDA ITEMS DETAILS**Agenda Item 1****Potential Grant Opportunities for The District**

Under direction by your Board to explore different District financing mechanisms, staff identified grants as the most immediately available method for financing infrastructure development. As an EIFD, the District is well placed to take advantage of, and be competitive for, State and Federal Grant programs. The District has a County adopted Infrastructure Financing Plan which describes anticipated future infrastructure development and revenue which can be leveraged to secure funding for a variety of projects.

Staff has identified two grant opportunities which may be appropriate for the EIFD, and is seeking direction from the Authority Board on whether to pursue these opportunities, and/or continue exploring grants as a source for financing infrastructure development.

1. Regional Early Action Planning Grants of 2021 (REAP 2.0)

The goals of REAP 2.0 are to invest in housing, planning, and infill housing-supportive infrastructure across the entire state in a manner that reduces vehicle miles traveled, increases housing affordability and supply, and advances equity. To meet these goals, the REAP 2.0 program requires applicants to demonstrate significant beneficial impacts across its three key objectives, which include;

- Accelerating Infill Development that Facilitates Housing Supply, Choice, and Affordability.
- Affirmatively Furthering Fair Housing (AFFH).
- Reducing Vehicle Miles Traveled (VMT).

Funding Available: \$100,000 - \$5,000,000

Type of Infrastructure Investment: Community Infrastructure

Support of the District: The IFP's Fiscal Impact Analysis of current proposed development on the Peninsula will result in an estimated 805 new direct permanent jobs, 987 indirect and induced permanent jobs, and 7,088 construction job years over the construction period (roughly 700 jobs per year for 10 years). Providing housing and resources for this growing workforce is key to the success of current and future developments.

Application Deadline: December 31st, 2022

Eligibility: District not directly eligible, requires joint application

2. Integrated Climate Adaptation and Resiliency Program (ICARP) Adaptation Planning Grant Program (APGP) Round 1

APGP provides funding to help build climate adaptation and resilience through planning, research, capacity building, restoration, and sustainable infrastructure. The APGP advances ICARP's statutory mission to develop a cohesive, equitable, and integrated response to the impacts of climate change through direct funding support for local, regional, and tribal adaptation planning across California. The Goals of the Program are to;

- Help communities plan for and respond to multiple climate risks
- Support equitable outcomes
- Support much-needed integrated infrastructure planning to achieve community resilience
- Build community planning and capacity

Funding Available: \$25,000 - \$600,000

Type of Infrastructure Investment: Community Infrastructure

Support of the District: A vulnerability study of the Peninsula would allow for a greater understanding of the impacts of sea level rise and tsunamis on current and future developments within the District.

Application Deadline: December 16th, 2022

Eligibility: District eligible, requires lead- and co-applicant

Recommended Action:

It is staff's recommendation that the Authority Board;

1. Direct Staff to pursue the grant opportunities.
2. Direct Staff to continue exploring other grant opportunities for the District and report back to the Authority Board for application authorization

Attachments

[APPENDIX B - REAP 2.0 NOFA](#)

[APPENDIX C - APGP Draft Guidelines](#)

Agenda Item 2**Regional Early Action Planning (REAP) Grants of 2021**

Staff believes a partnership between the Samoa Peninsula EIFD and the Humboldt Transit Authority on a joint application for funding through the California Department of Housing and Community Development's Regional Early Action Planning Grants of 2021 (REAP 2.0) for an affordable workforce housing and transit program would support the District and the Peninsula's growing workforce. Proposed uses for this program can be found in Attachment 3.1, *REAP 2.0 Proposed Uses*.

Although the District is not an eligible entity to apply for funding through REAP 2.0, the objectives and planned infrastructure investments outlined in the District's Infrastructure Financing Plan (IFP) strongly align with that of the REAP 2.0 program. Objectives of the District include "job creation, improvement of quality of life, and promotion of environmental sustainability" to be supported by investment into different types of infrastructure. Of the infrastructure types, *Community Infrastructure*, that is infrastructure projects which enhance the quality of life for district residents and visitors, aligns most directly with the goals of REAP 2.0. The IFP proposes a commitment of \$10-25 million to *Community Infrastructure* and specifically identifies affordable housing as an example of this type of infrastructure. By leveraging future revenue and investments in *Community Infrastructure*, and other types of infrastructure, the District ensures the completion of projects funded through REAP 2.0 and promises to build upon this success with future infrastructure development.

The IFP's Fiscal Impact Analysis of current proposed development on the Peninsula will result in an estimated 805 new direct permanent jobs, 987 indirect and induced permanent jobs, and 7,088 construction job years over the construction period (roughly 700 jobs per year for 10 years). Providing affordable housing for this growing workforce helps build confidence in a stable workforce for developers.

By creating affordable housing closer to the peninsula and supporting, and encouraging use of, new sustainable modes of transportation this program has the potential to reduce the environmental impact that could result from current and proposed development in the area by reducing the number of Vehicle Miles Traveled (VMT) by workers on the Peninsula. Preliminary analysis based on completion of the project within 3 years and 12% average ridership for permanent and temporary workers on the Peninsula would result in a reduction of 3,648,300 VMT by 2031, and an ongoing reduction of 398,340 VMT per year over the lifetime of the project.

Outreach specific to the REAP 2.0 program has been conducted with various community, state, and regional partners and members of the public at large and in various disadvantaged and historically underserved groups. These groups and organizations are included in Attachment 3.2, *REAP 2.0 Outreach List*.

Recommended Action:

It is staff's recommendation that the Authority Board;

1. Authorize the District to partner with Humboldt Transit Authority on a joint application for REAP 2.0
2. Direct Staff to pursue the preferred components of the REAP 2.0 proposed uses (Attachment 3.1).

3. Direct Staff to draft an MOU in conjunction with Humboldt Transit Authority in support of a joint REAP 2.0 application

Attachments:

Resolution Authorizing District Partnerships

[2.1 REAP 2.0 Proposed Uses](#)

[2.2 REAP 2.0 Outreach List](#)

Agenda Item 3**Resolution Authorizing District Partnerships**

The Samoa Peninsula is of substantial significance to its surround communities, the County, and the North Coast Region, and as such, it has many organizations which support and/or are key to its success. Staff believes that Collaboration between these organizations will maximize the impact of supportive efforts and increase positive outcomes for the Peninsula. As one of these organizations, Staff believes the District should seek to enter into partnerships with a number of these organizations to help ensure such impact and outcomes.

Staff is bringing forth a Resolution which Authorizes our General Manager, Scott Adair, and/or his designee to seek and establish partnerships with aligned organizations for the purposes of advancing the goals of the District and granting signatory authority for all memorandums of understanding to the Authority Board Chair. This will allow staff to begin entering into cooperative conversations with aligned organizations and enter into agreements in a timely manner which may also support applications for funding. Any MOU drafted by staff and signed by the Chair will not be effective until review by the entire Authority Board.

Recommended Action:

It is staff's recommendation that the Authority Board;

1. Adopt a Resolution Authorizing Staff to establish partnerships and grant signatory authority for MOUs to the Authority Board Chair.

Attachments

[3.1 Resolution Authorizing District Partnerships](#)

Agenda Item 4**Next Steps**

Staff will take all necessary steps to support actions taken by the Authority Board at this meeting. Staff would also like to acknowledge that Chair Bass will be stepping down from her role as County District Supervisor and will thus need to be replaced on the Authority Board as well. It is staff recommendation that the Authority Board hold a special meeting before the end of the Calendar Year to follow up on this

matter, and update the Authority Board on actions taken today and previous actions which have yet to be addressed.

Staff Recommendations:

It is staff's recommendation that the Authority Board;

1. Direct Staff to schedule a special meeting of the Authority Board before the end of the Calendar Year

REAP 2.0 Proposed Uses

1. Affordable Workforce Housing Program
 - a. Conduct a Housing Impact Analysis of currently proposed development within the District;
 - i. Determine housing need and current capacity for growing workforce due to development on the Peninsula
 - b. Conduct a Workforce Housing Opportunity Study for the District
 - i. Identify sites with the greatest opportunities for developing affordable housing which may meet, but is not limited to, the following conditions.
 1. Are within, or in a reasonable distance of, the District
 2. Are within infill areas
 3. Are within walking distance of a public transit stop
 - ii. Evaluate and score identified sites on their ability to Affirmatively Further Fair Housing and meet other goals and objectives via the following criteria.
 1. Number, type, and distance from schools, food markets, public transportation, and other resources
 2. Ability to reduce Vehicle Miles Traveled for workers on the Peninsula
 3. Ability to increase infill development
 4. Ability to reuse existing structures and/or infrastructure
 5. The number, type, and cost of barriers to development
 6. Ability to meet other REAP 2.0 objectives and Goals of the District
 - c. Investment in site specific infrastructure and/or predevelopment activities which results in affordable workforce housing development
 - i. Fund infrastructure for specific sites identified in the Fair Housing Opportunity Study, under the condition that the site be used to develop affordable workforce housing in the future.
 - d. Investment in project specific infrastructure and/or pre-development activities if;

Attachment 2.1

- i. The project meets the objectives of REAP 2.0 and thresholds set by the Fair Housing Opportunity Study
 - ii. The project may fail without additional funding,
 - iii. Other conditions may be agreed upon
 - e. Create The Samoa Peninsula EIFD Housing Trust Fund.
 - i. Based on District Revenue Analysis, Housing Studies, and community feedback determine an allocation of future EIFD revenue towards an Affordable Housing Trust Fund.
 - ii. Formulate the funding process for and through the Samoa Peninsula EIFD Housing Trust Fund
 1. Determine District allocation to the Trust Fund
 2. Identify other funding sources and limitations of that funding
 3. Develop a process for funding affordable housing projects
 - iii. Set conditions for the Samoa Peninsula EIFD Housing Trust Fund and criteria for eligible projects
 1. Conditions in accordance with other potential funding sources
 2. Development must occur within an area identified in the Fair Housing Study or meet thresholds identified therein
 3. Development makes an effort to ensure housing is available to the District's growing workforce, and/or that development will directly relieve pressure on workforce housing
 4. Project Affirmatively Furthers Fair Housing in and around the District
2. Fund a Samoa Peninsula Transit Program through June 2026: Program to be developed by the HTA, but may include;
 - a. Extension of the Samoa Transit System to the Town of Fairhaven
 - b. Funding of the Samoa Transit System
 - c. Development and implementation of a Regional Pass Reimbursement Program
3. Partially fund the development of the Class I Humboldt Bay Trail – West Bay segment from Arcata to the South end of the Samoa Peninsula

Attachment 2.1

- a. Fund the design and permitting of the West Bay Trail
 - b. Partially fund construction of the West Bay Trail
 - c. Possible additional funding through future EIFD Revenue
4. Partially fund the development of the Neighborhood Connectivity Trail from Park Street, in the Town of Fairhaven, to Pacific Avenue, in the Town of Samoa
 - a. Fund the design and permitting of the Neighborhood Connectivity Trail
 - b. Partially fund construction of the Neighborhood Connectivity Trail
 - c. Possible additional funding through future EIFD Revenue
5. Transit and Trail Marketing Campaign
 - a. Market the cost saving of using public transit and trails for work, school, and other activities.
 - b. Create an online cost saving calculator to calculate individual cost savings of using public trail and transit
 - c. Market the beneficial impact that transit and trail use have for environment

REAP 2.0 Outreach List

Outreach is a key component of any REAP funded project. So far outreach efforts have included email, phone, video conferencing, and in person meetings. Opportunity for feedback has been given through presentation Q&A's, emails and surveys. Additional feedback could include online forums, publicly held meetings, digital and in person office hours. Efforts to receive further feedback and work with partner organizations should be ongoing throughout this program.

- Humboldt County Association of Governments (Meetings)
- Governors Office of Business and Economic Development (Meetings)
- Department of Housing and Community Development (Meetings)
- Rural County Representative of California (Meetings)
- Redwood Community Action Agency (Meeting)
- Redwood Region Community Economic Resilience Consortium – Housing Group (Presentation)
- Dishgamu Humboldt Community Land Trust (Meetings)
- City of Eureka and Humboldt Housing Authorities (Presentation/Email)
- Humboldt County Planning and Building Department (Meetings)
- Black Humboldt (Email Response)
- Queer Humboldt (Email Sent)
- Humboldt Asians & Pacific Islanders in Solidarity (Email Sent)
- El Centro Académico Cultural (Email Sent)
- Arcata Economic Development Council (Meeting)

AUTHORITY BOARD, SAMOA PENINSULA EIFD

RESOLUTION NO. _____

RESOLUTION OF THE AUTHORITY BOARD OF THE SAMOA PENINSULA ENHANCED INFRASTRUCTURE FINANCING DISTRICT (“DISTRICT”) AUTHORIZING THE GENERAL MANAGER TO SEEK AND ESTABLISH PARTNERSHIPS FOR THE PURPOSES OF ADVANCING THE GOALS OF THE DISTRICT AND GRANTING SIGNATORY AUTHORITY FOR ALL MEMORANDUMS OF UNDERSTANDING TO THE AUTHORITY BOARD CHAIR

WHEREAS, The District is located on ancestral land of the Wiyot tribe (“Tribe”); and,

WHEREAS, The boundaries of the District overlap, or are in close proximity, with various utility and service providers, public landowners, and other public entities (“Local Public Entities”); and,

WHEREAS, The District is in close proximity with Arcata and Eureka (“Municipalities”), the largest municipalities in the County; and,

WHEREAS, the Samoa Peninsula, and thus the District, is a resource of regional significance to the North Coast; and,

WHEREAS, The goals of The Samoa Peninsula Enhanced Infrastructure Financing District (“District”), to create jobs, improve quality of life, and promote environmental sustainability may align with the tribes, Local Public Entities, Municipalities, and the North Coast region; and,

WHEREAS, The District recognizes that it would benefit from collaboration on infrastructure development on the Samoa Peninsula

NOW, THEREFORE, BE IT RESOLVED, by the Authority Board of the Samoa Peninsula Enhanced Infrastructure Financing District:

1. **Recitals.** The Authority Board finds and determines that all the foregoing recitals are true and correct and incorporated herein.
2. **Memorandum of Understanding (MOU).** The Authority Board shall enter into MOU’s with partnership organizations which may aid in the advancement of the goals of the District (“District Partners”).
3. **Authorization.** The Authority Board authorizes the District General Manager, or their designee, to seek and establish MOU’s with District Partners.
4. **Signatory Authority.** The Authority Board gives Signatory Authority to the Chair for all MOU’s with District Partners.
5. **Ratification.** The Authority Board will review and ratify any newly signed MOU at the next meeting of the Authority Board
6. **Severability** If any section, subsection, phrase or clause of this Resolution is for any reason found to be invalid, such section, subsection, phrase or clause shall be severed

AUTHORITY BOARD, SAMOA PENINSULA EIFD

from, and shall not affect the validity of, all remaining portions of this Resolution that can be given effect without the severed portion.

- 7. General Authorization.** The General Manager and all other officers and agents of the Authority Board are hereby authorized and directed to take all actions necessary or advisable to give effect to the transactions contemplated by this Resolution.
- 8. Effective Date.** This resolution shall be effectively immediately upon its adoption.
- 9. Certification.** The Chairperson shall sign, and the Authority General Manager shall certify to the passage and adoption of this Resolution and shall cause the same to be published and posted pursuant to the provisions of law in that regard.

APPROVED, AND ADOPTED this day, _____, 2022

Virginia Bass, Chair
Samoa Peninsula Authority Board

Adopted on motion by Director _____, Seconded by Director _____, and the following vote:

- AYES:
- NAYS:
- ABSENT:
- ABSTAIN:

STATE OF CALIFORNIA)
County of Humboldt)

I, SCOTT ADAIR, General Manager of the Authority Board of the Samoa Peninsula Enhanced Infrastructure Financing District do hereby certify the foregoing to be a full, true, and correct copy of the original made in the above-entitled matter by said Authority Board at a meeting held in Eureka, California as the same now appears of record in my Office.

IN WITNESS WHEREOF, I have hereunto set my hand and affixed the Seal of said Authority Board.

SCOTT ADAIR
General Manager of the Samoa Peninsula
Enhanced Infrastructure Financing District



Samoa Peninsula Enhanced Infrastructure Financing District Public Financing Authority (the Authority)

**Authority Meeting
Tuesday • June 3, 2022 • 10:30AM
Board of Supervisors Chambers**

MEETING MINUTES

OPENING

Call to Order:

Chair, Virginia Bass, called the meeting to order at 10:30 AM. A quorum was present.

Authority Members Attendance (all attending meeting within Humboldt County):

- Supervisor Virginia Bass (Chair) – present
- Supervisor Rex Bohn– absent
- Supervisor Mike Wilson– present
- Timothy Callison (Vice Chair) – present
- Chris Drop– present

Staff Present: Scott Adair, Tanner Etherton, Consultant Joseph Dieguez

Adjustments to the Agenda

No adjustments made to the minutes

Approval of the Minutes from March 1, 2022

- **ACTION:**
 - Chair, Virginia Bass, found no objection to the minutes and requested staff to file and accept the minutes with no formal action

Public Comment on Non-Agenda Items

No Comment

Report out on Meetings Attended and Community Feedback Received

Staff Reported out on meetings with, and feedback from, various Stake Holders including; The City of Eureka, County Officials, Security National, Peninsula CSD, HBMWD, Simpson Paper, and Green Diamond.

Staff also reported out on a conversation with Director Wilson regarding the ability of the EIFD to fund climate infrastructure.

Agenda Items

1. Amendment to the Authority Board Bylaws:

- ACTION:
 - Director Wilson moved to adopt the resolution amending the Authority Board Bylaws. Seconded by Director Callison.
 - Motion passed unanimously

2. Presentation from Kosmont Companies

- ACTION:
 - None

3. Financing infrastructure projects through the issuance of debt

- ACTION:
 - It was Staff's recommendation that the Authority Board direct staff to continue exploring and evaluating different financing mechanisms and to draft proposed policies and procedures for the application and deployment of EIFD funds.
 - Chair Bass moved to take the recommended action as written by staff. Seconded by Director Wilson
 - Motion passed unanimously

4. Presentation from the Peninsula Community Services District (CSD) on the Samoa Peninsula Wastewater Project

- ACTION:
 - Director Wilson moved to have staff bring back a list of proposals and financing options for the Samoa Peninsula Wastewater Project at a future meeting of the Authority Board. Seconded by Director Callison.
 - Motion passed unanimously

5. Request for Qualification (RFQ) for an on-call District Engineer

- ACTION:
 - It was Staff's recommendation that the Authority Board direct staff to begin drafting an RFQ for an on-call District Engineer, to perform duties related to planning, permitting and design of infrastructure projects financed by the Samoa Peninsula EIFD and bring back the proposed RFQ for approval at a future meeting of the Authority Board
 - Director Wilson moved to take the recommended action as written by staff. Seconded by Director Drop.
 - Motion passed unanimously

6. Participation of the Humboldt Bay Municipal Water District (HBMWD) in the Samoa Peninsula EIFD

- ACTION:
 - Director Wilson moved to accept the Letter of Interest and direct staff to conduct further analysis on participation of the HBMWD in the EIFD and report back at a future meeting of the Authority Board. Seconded by Director Callison.
 - Motion passed unanimously

7. Next Steps

- ACTION:
 - None

Chair, Virginia Bass, adjourned the meeting with no objections from other members.

Next PFA Meeting Date: TBD.

The Samoa Peninsula EIFD PFA Agendas and Minutes can be found at: [Agenda Center](#) • [County of Humboldt](#) • [CivicEngage \(humboldt.gov.org\)](#)

or by contacting Economic Development at (707) 445-7745.

DRAFT

**DEPARTMENT OF HOUSING AND COMMUNITY DEVELOPMENT
DIVISION OF POLICY DEVELOPMENT**

2020 W. El Camino Avenue, Suite 500, 95833
P. O. Box 952054
Sacramento, CA 94252-2054
(916) 263-2771 / FAX (916) 263-2763
www.hcd.ca.gov



July 26, 2022

MEMORANDUM FOR: All Potential Applicants

FROM: Megan Kirkeby, Deputy Director, Division of Housing Policy Development

SUBJECT: **Notice of Funding Availability and Final Guidelines - Tribal and Rural Allocation of the Regional Early Action Planning Grant Program (REAP 2.0)**

The California Department of Housing and Community Development (HCD), in collaboration with the Office of Planning and Research (OPR), the Strategic Growth Council (SGC), and the State Air Resources Board (CARB), is pleased to release this Notice of Funding Availability (NOFA) for approximately \$30,000,000 for the Tribal and Rural Allocation of the Regional Early Action Planning Grant Program of 2021 (REAP 2.0). The principal goal of REAP 2.0 is to make funding available to Tribal and Rural Entities for Transformative Planning and Implementation Activities that meet Housing and equity goals and reduce Vehicle Miles Traveled (VMT) Per Capita.

REAP 2.0 funding will be released in three separate allocations: (1) Metropolitan Planning Organization (MPO) Direct Allocation, (2) Tribal and Rural Allocation and (3) Higher Impact Transformative Allocation. This Notice of Funding Availability (NOFA) of approximately \$30,000,000 addresses the (2) Tribal and Rural Allocation and is released concurrently with the (1) MPO Direct Allocation. The (3) Higher Impact Transformative Allocation NOFA is anticipated at a later time in 2022. The following Guidelines address allocations for the Tribal and Rural Allocation and are made available as a portion of the Local Government Planning Support Grants Program pursuant to Chapter 3.15 of Health and Safety Code (Sections 50515.06 to 50515.10) (Chapter 111, Statutes of 2021).

In order to be eligible for grant funding, the applicant must submit a copy by email to: REAP2021@hcd.ca.gov. For the (2) Tribal and Rural Allocation, applications will be accepted on a competitive basis as of the date of this NOFA through December 31, 2022. The Department encourages early applications.

The Department plans to provide additional technical assistance to Tribal Entity applicants to assist with application preparation. Applications submitted by Tribal Entities for the Tribal Entities allocation (See Guidelines Section 404(A)(6)) are subject to an over-the-counter application review process until the final application deadline on December 31, 2022. Upon the Department's initial review of an application from a Tribal Entity, if Threshold Requirements are not met, the applicant may return a revised application within 30 days of the Department's communication of initial review findings.

REAP 2.0 applications, forms, and instructions are available on the Department's website on the [REAP webpage](#). If you have questions regarding this NOFA, please

APPENDIX B - REAP 2.0 NOFA

email the Department at REAP2021@hcd.ca.gov. For future notifications, please use the Department's email notification sign up at [Subscribe \(ca.gov\)](#).

Tribal and Rural Allocation Regional Early Action Planning Grants of 2021 (REAP 2.0)

Final Guidelines for the Tribal and Rural Allocation

**State of California
Governor Gavin Newsom**



CALIFORNIA
STRATEGIC
GROWTH
COUNCIL



July 2022

Website: <https://www.hcd.ca.gov/grants-funding/active-funding/reap2.shtml>

Email: REAP2021@hcd.ca.gov

Table of Contents

Section 100: Introduction	5
Section 101: Program Background	5
Section 102: Scope and Authority	6
Section 200: Program Goals, Objectives, Threshold Requirements and Eligible Uses ...	6
Section 201: Program Goals	6
Section 202: Program Objectives	7
Section 203: Threshold Requirements	8
Section 204: Eligible Uses	11
Section 205: Ineligible Uses	14
Section 300: Applicant and Application Provisions	15
Section 301: Application Requirements and Contents	15
Section 302: Application Submittal	16
Section 400: Tribal and Rural Allocation	16
Section 401: Eligible Applicants	16
Section 402: Award Amounts	17
Section 403: Application Review	17
Section 404: Geographic Distribution	18
Section 405: Suballocations	19
Section 406: Scoring Criteria	19
Section 500: Administration	21
Section 501: Grant Execution and Term	21
Section 502: Accounting and Records	21
Section 503: Invoicing	22
Section 504: Audits	22
Section 505: Remedies of Non-performance	23
Section 506: Reporting	24
Section 600: Right to Modify or Suspend Guidelines and Final Decision Making	24
Attachment 1: Statute	26
Attachment 2: Definitions	37
Attachment 3: Award Amounts by Eligible Applicant	41
Attachment 4: Applying Units of Measurement	42

Section 100: Introduction

The REAP 2.0 Program is funded in the amount of \$600 million from the State General Fund. The Regional Early Action Planning Grants of 2021 will be administered by the California Department of Housing and Community Development (HCD), in collaboration with the Governor’s Office of Planning and Research (OPR), the Strategic Growth Council (SGC), and the California Air Resources Board (CARB). (Referred hereafter collectively as “State Collaborative Partners”.)

Five percent of the funds have been set aside for the Tribal and Rural Allocation, and an additional five percent has been set aside for the Higher Impact Transformative Allocation under a separate NOFA to be released later in 2022. A majority of the funds (85 percent) will be allocated directly to the state’s Metropolitan Planning Organizations (MPOs) under a separate NOFA released concurrently with the Tribal and Rural Allocation.

Section 101: Program Background

California is committed to a future where we all have the option to live closer to our jobs, services, and daily destinations fostered through more Housing options and affordability in nearby neighborhoods which include transportation options so we can walk our kids to school, ride our bikes to work, or take transit. REAP 2.0 is a key part of the state’s strategic investments toward this more sustainable, resilient, and inclusive future for people in all areas of the state.

REAP 2.0 builds on the success of 2019’s REAP program but expands the focus by integrating Housing and climate goals, and allowing for broader planning and implementation investments, including infrastructure investments that support future Housing development. REAP 2.0 is explicitly intended to meet multiple objectives – Infill Development, Housing for all incomes, Vehicle Miles Traveled (VMT) reduction, and Affirmatively Furthering Fair Housing in ways that lead to transformative Policy Outcomes and accelerate the implementation of regional and local plans to achieve these goals.

REAP 2.0 provides funds to Tribal and Rural Entities to accelerate Housing production and, where appropriate, facilitate compliance with the 6th Housing Element cycle, including Regional Housing Needs Assessment. In addition, REAP 2.0 is specifically designed to provide Tribal and Rural Entities with tools and resources to help implement and advance eligible uses that meet Program requirements.

Eligible Entities are encouraged to examine and consider land use and transportation strategies adopted by Metropolitan Planning Organizations in Sustainable Communities Strategies (SCSs). A Tribal or Rural Entity is not required to prepare an SCS, however, a region’s Regional Transportation Plan (RTP) includes planning, policies, investments, and other supporting implementation actions to reduce greenhouse gas emissions by reducing VMT, and therefore, may be a helpful resource to Eligible Entities when applying to the REAP 2.0 Program.

Section 102: Scope and Authority

These Guidelines are authorized pursuant to Chapter 3.15 of Health and Safety Code sections 50515.06 to 50515.10 and implements, interprets, and makes statute specific for purposes of implementing REAP 2.0. These Guidelines establish terms, conditions, forms, procedures, and other mechanisms as the Department deems necessary to exercise the powers and perform the duties conferred by Chapter 3.15.

The matters set forth herein are regulatory mandates, and are adopted in accordance with the authorities set forth below:

Quasi-legislative regulations ... have the dignity of statutes ... [and]... delegation of legislative authority includes the power to elaborate the meaning of key statutory terms...

Ramirez v. Yosemite Water Co., 20 Cal. 4th 785, 800 (1999).

Further, the Department and State Collaborative Partners may implement REAP 2.0 through the issuance of forms, guidelines, and one or more NOFAs, as the Department deems necessary, to exercise the powers and perform the duties conferred on it by this Chapter 3.15 of Health and Safety Code. Any forms, guidelines, and NOFAs adopted pursuant to this section 50515.10 are specifically exempted from the rulemaking provisions of the Administrative Procedure Act (Chapter 3.5 (commencing with section 11340) of Part 1 of Division 3 of Title 2 of the Gov. Code). (Health and Safety Code section 50515.10, (h).)

The Department reserves the right, at its sole discretion, to suspend or amend the provisions of these Guidelines in collaboration with the State Collaborative Partners, including, but not limited to, grant award amounts.

Section 200: Program Goals, Objectives, Threshold Requirements and Eligible Uses

Section 201: Program Goals

Program goals include:

Invest in Housing, planning, and Infill Housing-supportive infrastructure across the entire state in a manner that reduces VMT, increases Housing affordability, and advances equity, consistent with all of the following:

- (A) Advancing the State Planning Priorities, as described in Section 65041.1 of the Government Code;
- (B) Affirmatively Furthering Fair Housing (AFFH) pursuant to Section 8899.50 of the Government Code;
- (C) Where applicable, facilitating Housing Element compliance and progress for the sixth cycle Regional Housing Needs Assessment pursuant to Section 65302 of the Government Code prepared in accordance with Article 10.6 (commencing with Section 65580) of Chapter 3 of Division 1 of Title 7 of the Government Code.

Section 202: Program Objectives

Program Objectives include:

- (A) Accelerating Infill Development that Facilitates Housing Supply, Choice, and Affordability
 1. Accelerating Infill development near jobs and other key destinations to support increasing Housing choices and affordability that effectively reduce VMT and greenhouse gas emissions.
 2. Eligible Entities must describe how Proposed Uses prioritize development that increases Housing choice and affordability at infill sites. Proposed Uses must have strong Housing affordability components that serve Lower and Moderate-income Households.
 3. Affordable Housing development programs – which may involve predevelopment costs (e.g., studies, land acquisition and entitlements), large expenditures and capital investments – are eligible uses if the programs accelerate the supply of long-term Affordable Housing for Lower and moderate-income Households, remove barriers to encourage development and commit to development within a reasonable time frame (e.g., within 5 years of expenditure deadline).
- (B) Affirmatively Furthering Fair Housing (AFFH)
 1. Proposed Uses must combat discrimination, overcome patterns of segregation, and foster equitable and inclusive communities.
 2. Proposed Uses must include meaningful actions, that taken together, address significant disparities in Housing needs and in access to opportunity, replacing segregated living patterns with truly integrated and balanced living patterns, and transforming racially and ethnically concentrated areas of poverty into areas of opportunity pursuant to Government Code section 8899.50.
 3. Proposed uses must support regional and local efforts that work towards ensuring all people have full and equal access to opportunities enabling them to lead healthy lives.
 4. Actions to AFFH may include, but are not limited to:
 - i. Enhancing Housing mobility strategies that remove barriers to Housing, infrastructure, and transportation in areas of opportunity.
 - ii. Encouraging development of new Affordable Housing in high resource areas that promotes Housing, infrastructure, increased transportation choices, and affordability in areas of high opportunity outside areas of concentrated poverty.
 - iii. Improving place-based strategies to encourage community revitalization. This includes preservation of existing Affordable Housing that involves approaches focused on conserving and improving assets in areas of lower opportunity and concentrated poverty, such as targeted investments in neighborhood revitalization, preserving or rehabilitating existing Affordable Housing, improving infrastructure, schools, employment, parks, transportation, and other community amenities.
 - iv. Protecting existing residents from displacement and preserving

Housing choices and affordability in areas of lower or moderate opportunity and concentrated poverty.

5. Eligible Entities are required to consider AFFH principles and equity in all Proposed Uses. Any Proposed Uses that may have a negative impact on AFFH objectives must have appropriate mitigation efforts. Recipients shall take no action that is materially inconsistent with AFFH.
 6. Eligible Entities are required to pursue geographic equity in how the application(s) disburse funding across the region or a broad impact area.
 7. Eligible Entities shall target funding to benefit Disadvantaged and Historically Underserved Communities or Low- and Moderate-Income Households.
 8. Suballocations must address local, unique equity priorities.
- (C) Reducing Vehicle Miles Traveled
1. The REAP 2.0 program provides for investments to support Housing planning and production in Infill areas that reduce VMT towards helping the state meet multiple goals. Eligible Entities must explain how each Proposed Use promotes development and aligns Housing production in Infill locations consistent with the state's climate targets and goals discussed in the [California Climate Change Scoping Plan](#).
 2. Eligible Entities must explain how Proposed Uses support or implement action-oriented plans, policies, and investment strategies broadly described as:
 - i. Land Use Planning, Policies, and Investment Strategies: Encourage Infill development that facilitates Housing supply, choice and affordability and located in infill areas serviced by existing or planned-for expansions of a multimodal transportation system.
 - ii. Transportation Planning, Policies, and Investment Strategies: Increase travel options to homes, jobs, services, and other key destinations that provide, support, or enhance Multimodal Communities and reduce the number or length of vehicle trips.
 3. Eligible Entities are encouraged to pursue uses that support new Housing development and shift travel away from driving by implementing or supporting pedestrian, bicycle, transit, and other alternative transportation programs.

Section 203: Threshold Requirements

(A) Significant Beneficial Impact

1. Applicants must demonstrate each Proposed Use advances all Program goals and objectives, meets the definition of a Transformative Planning and Implementation Activity, and provides a significant beneficial impact.
2. Significant beneficial impacts must lead to substantial changes in land use patterns and travel behaviors. In demonstrating significant beneficial impacts, applicants may consider rates of change (e.g., percent increase over a baseline), the magnitude of impact relative to variables or targets, the proportion of need achieved, and the impact relative to past trends,

policies, and practices. Variables or targets may include but are not limited to benefitting households by income group; Regional Housing Needs Assessment; Housing units (new construction, preservation/conservation, and rehabilitation); density; infrastructure; infrastructure capacity and accessibility; public space; community amenities; investments; VMT reduction goals or targets; regional or local equity policies and programs included in applicable regional transportation plans; and regional or local GHG reduction goals or targets.

3. Applicants must explain how each Proposed Use demonstrates a nexus to all REAP 2.0 objectives through Policy Outcomes, provide a reasonable and verifiable methodology, and utilize forms in a manner prescribed by the Department and State Collaborative Partners.
4. Proposed Uses may combine eligible uses. Combined eligible uses must demonstrate a reasonable relationship to each other, including timing and completion.
5. Proposed Uses may combine eligible uses with other non-REAP 2.0 efforts including planning and implementation (e.g., other funding sources). Proposed Uses that combine eligible uses with non-REAP 2.0 efforts must demonstrate a reasonable relationship to each other, including timing and completion.
6. Where instructed, applicants must provide clear evidence that demonstrates a nexus between each Proposed Use and REAP 2.0 Program objectives, utilizing numeric metrics, targets, outputs, or other units of measurement that can be measured and evaluated as defined by these Guidelines (See Attachment 4: Examples of Units of Measurement). Applicants may propose other units of measurement in consultation with the Department and State Collaborative Partners; such other measurements may be subject to a greater level of scrutiny.

(B) Equitable Targeted Outreach

1. Eligible Entities must conduct outreach as part of the development of their application for funds and implementation of Proposed Uses.
2. Eligible Entities must use outreach to develop priorities, Proposed Uses and amounts, the blend of planning and implementation uses, the amount retained by the Eligible Entity versus suballocations, and various other Program components.
3. Outreach must proactively employ a variety of methods. Eligible Entities must conduct and must document targeted outreach to Disadvantaged and Historically Underserved Communities, including Tribal Entities.
4. Eligible Entities shall explain how outreach was incorporated into the application and explain how the Proposed Uses reflect the input received. Eligible Entities are encouraged to provide responses to stakeholder and public input to provide for transparency and demonstrate how input was incorporated into planning and implementation activities.
5. Eligible Entities must use a variety of methods to reach individuals and organizations representing pertinent interests such as Housing, transportation, infrastructure, climate change, Infill development and equity. Methods may consider community-based surveys and participatory

research, advisory or shared decision-making bodies, interviews, focus groups, community and stakeholder meetings, public and quasi-public meetings, community benefit agreements, and committees with representatives of pertinent special interests and neighborhoods.

6. Eligible Entities must make draft approaches available to the public with sufficient time (e.g., at least 21 days) to comment.
7. Eligible Entities must conduct outreach throughout the Program development and implementation process. This includes outreach in advance of developing Proposed Uses and approaches, in the early stages of Program development, throughout Program development, and through implementation.
8. Eligible Entities must employ outreach that is unique to the REAP 2.0 Program. Eligible Entities may utilize closely related outreach efforts but must not solely rely on those efforts.
9. Outreach methods must consider language access and other potential barriers to providing input.
10. Outreach may include coordination with other Eligible Entities (including Tribal Entities) within the same region or in other regions. Eligible Entities may wish to consider the potential for joint activities and the coordination of Housing and transportation planning across regions.
11. Outreach must include effective and meaningful methods to gather and consider input and partnership with Tribal Entities. Methods must demonstrate a diligent effort to consult with Tribal Entities. Examples include acknowledgement of outreach, demonstration of consultation and incorporation of Tribal interest in priority setting and Proposed Uses.
12. REAP 2.0 Requirements are subject to AB 1010 (Chapter 660, Statutes of 2019), which is set forth in HSC section 50406, subdivision (p). Accordingly, and pursuant to HSC section 50406, subdivision (p), (1) where the provisions of tribal law, tribal governance, tribal charter, or difference in tribal entity or legal structure would cause a violation or not satisfy the requirements of these Guidelines, said requirements may be modified as necessary to ensure Program compatibility; and (2) where provisions of tribal law, tribal governance, tribal charter, or difference in tribal entity legal structure or agency create minor inconsistencies (as determined by the Director of the Department or a duly authorized designee thereof) with the requirements set forth in these Guidelines the Department may waive said requirements, as deemed necessary, to avoid an unnecessary administrative burden. Matters set forth or otherwise provided for in these Guidelines that may be modified or waived include, without limitation, threshold scoring requirements and any other matters set forth in HSC section 50406, subdivision (p)(2). Tribal Applicants are accordingly encouraged to discuss any such potential modifications or waivers and their options in that regard during any pre-application technical assistance communications or meetings. Tribal applicants should be aware that AB 1010 cannot be used to modify or waive Federal REAP 2.0 statutory and regulatory requirements.

Section 204: Eligible Uses

- (A) Activities generally may include:
1. Technical assistance, planning, staffing, consultant needs (Program-related),
 2. Administration costs (see 204(J)),
 3. Outreach and engagement activities (see 204(I)),
 4. Eligible uses described in 204(E) that meet one or more of the following categories of allowable uses:
 - i. Accelerating Infill development that facilitates Housing supply, choice, and affordability through various planning and investment,
 - ii. Realizing Multimodal Communities through programs, plans, and implementation actions,
 - iii. Shifting travel behavior by reducing driving through programs, ordinances, funds, and other mechanisms, and
 - iv. Increasing transit ridership through funding, implementation actions, and planning.
- (B) In consultation with the Department and State Collaborative Partners, applicants may determine the blend of planning and implementation activities. The blend of planning and implementation may consider the extent to which planning needs remain in the region after other local, state, and federal planning investments, including but not limited to REAP 1.0, SB 2 Planning Grants, LEAP, SB 1 Sustainable Communities Grants and Homeless Housing, Assistance and Prevention (HHAP) Local Homelessness Actions plans. The blend of planning and implementation may also consider Housing and infrastructure needs of the communities and overall region, consideration of outreach and priority setting, including to disadvantaged communities, overall impact of proposed projects on Housing production, VMT reduction, and AFFH. Applicants that dedicate at least 70% of funding to implementation activities are generally not subject to consultation with the Department and State Collaborative Partners regarding the blend of planning and implementation activities.
- (C) The collection of eligible uses in the application should be integrated wherever possible and should lead to greater impact when implemented together.
- (D) Eligible uses may be coupled with other verifiable and related activities being undertaken that will be completed by the applicant or in coordination with other Entities as demonstrated by a formal written agreement or other documentation (e.g., resolution) to the satisfaction of the Department.
- (E) Eligible uses could include but are not limited to:
1. Accelerating Infill development that facilitates Housing supply, choice, and affordability:
 - i. Affordable Housing development programs – which may involve predevelopment costs (e.g., studies, land acquisition and

entitlements), large expenditures and capital investments – are eligible uses if the programs accelerate the supply of long-term Affordable Housing for Lower-Income and Moderate-Income Households in Infill areas, remove barriers to encourage development and commit to development within a reasonable time frame (e.g., within 5 years of the expenditure deadline). Affordable Housing developments can include mixed-uses (e.g., a minimum of 50% total floor area is residential use), and Affordable Housing units that are part of mixed income development programs.

- ii. Rezoning and guiding development by updating planning documents, development standards, and zoning ordinances, including general plans, community plans, and specific plans, and local coastal programs. All uses that include the creation of planning documents must be accompanied by a commitment to adopt and implement. Completion and adoption of any planning documents or ordinances must occur by the expenditure deadline.
 - iii. Revamping local planning processes to accelerate Infill development that facilitates Housing supply, choice, and affordability.
 - iv. Completing environmental clearance to eliminate the need for project-specific review for Infill development that facilitates Housing supply, choice, and affordability.
 - v. Establishing and funding an Affordable Housing catalyst fund, Housing Trust Fund, or revolving loan fund for location efficient projects.
 - vi. Performing infrastructure planning and investing in upgrading infrastructure, including but not limited to sewers, water systems, transit, active transportation, roads that do not induce additional vehicle demand, or other public facilities necessary to enable reduction in Per Capita VMT and accelerate Infill development that facilitates Housing supply, choice, and affordability.
2. Realizing Multimodal Communities:
- i. Establishing and implementing a vision-zero policy and program, a safety plan, and a slow streets program.
 - ii. Developing bicycle and pedestrian infrastructure plans and other multimodal plans or policies.
 - iii. Investing in infrastructure projects and other programs to expand active transportation and implement bicycle or pedestrian plans.
 - iv. Producing multimodal corridor studies associated with developing specific planning documents or implementation actions.
3. Shifting travel behavior through reducing driving through mechanisms that support active transportation or increase transit ridership:
- i. Studying roadway pricing feasibility and implementing road pricing programs.
 - ii. Funding the establishment of a local VMT impact fee or catalyzing a regional VMT mitigation bank (seed funding for

mitigation is ineligible).

- iii. Funding and implementing parking and transportation demand management programs or ordinances.
- iv. Accelerating Infill Housing production near jobs, transit, and resources.

4. Increasing transit ridership:

- i. Funding and implementing actions to establish more seamless regional transit systems between and across communities, including establishing common fares, systems, sync transit routing systems and schedules, service design, and wayfinding to connect residential neighborhoods with employment centers and other key destinations.
- ii. Developing and implementing multimodal access plans to and from transit facilities.
- iii. Planning for additional Housing near transit. All uses that include the creation of planning documents must be accompanied by a commitment to adopt by the expenditure deadline.

- (F) Eligible activities under technical assistance may be broadly construed but must demonstrate a clear and significant nexus to all REAP 2.0 objectives.
- (G) Eligible activities, as a whole, must have a significant geographic or region-wide benefit; awards are not intended to fund projects that are relatively small in scope.
- (H) Tribal Entities may propose eligible uses on all types of Tribal Lands located within the state of California, as long as site control is demonstrated to the satisfaction of the Department.
 - 1. To demonstrate site control, Tribal Entity Applicants should consider the following criteria:
 - i. Project occupancy will be limited to tribal households to the greatest extent possible; and
 - ii. The Applicant meets the following conditions of award funding to the extent applicable, and, subject to any modifications or waivers as provided for in HSC Section 50406, subdivision (p) (Assembly Bill 1010 (Chapter 660, Statutes of 2019) that shall be set forth in a Standard Agreement. It is noted that these same conditions do not need to be satisfied initially to engage in the competitive award process.
 - a. BIA Consent. The Bureau of Indian Affairs (BIA) has consented to the Applicant’s execution and recordation (as applicable) of all Department required documents that are subject to 25 CFR Section 152.34 or 25 CFR Section 162.12, prior to award disbursement.
 - b. Personal and Subject Matter jurisdiction. Personal and subject matter jurisdiction in regard to the Standard Agreement, Project, or any matters arising from either of them is in state court and the Department has received any legal instruments or waivers, all duly approved and executed, as are or may be

- legally necessary and effective to provide for such personal and subject matter jurisdiction in state court.
- c. Title Insurance. The Department has received title insurance for the property underlying the Project that is satisfactory to the Department. Notwithstanding the foregoing sentence, upon a showing of good cause, for Applicants unable to provide a conventional title insurance policy satisfactory to the Department, this condition may be satisfied by a title status report issued by the BIA Land Title and Records Office and pursuant to a title opinion letter issued for the benefit of the Department but paid for by the Applicant.
 - d. Recordation Requirements. Where recordation of instruments is a condition of award funding or otherwise required under or pursuant to the Standard Agreement, the subject instrument is recorded with the Land Titles and Records Office at the BIA or in the appropriate official records of the County in which the Project property is located, as may be applicable.
- (I) Outreach and engagement activities are eligible as priority setting and components of other Proposed Uses. Program outreach shall not be a stand-alone Proposed Use.
 - (J) Recipients shall use no more than 5 percent of the allocation(s) for costs related to the administration of the activity(ies) for which the allocation(s) were made. Staff and overhead costs directly related to carrying out Proposed Uses are not administrative costs.
 - (K) All Proposed Uses must AFFH.

Section 205: Ineligible Uses

- (A) Ineligible uses are uses inconsistent with Program goals and objectives.
- (B) Ineligible uses apply to suballocations.
- (C) Ineligible uses include but are not limited to:
 1. Roadway or highway capacity increases
 2. Advocacy work (direct lobbying for specific bills or local propositions)
 3. Bonus payments of any kind
 4. Ceremonial expenses
 5. Commission fees
 6. Real estate brokerage fees or expenses
 7. Services, materials, or equipment obtained under any other state program
 8. Stewardship of legal defense funds
 9. General meetings that do not specifically discuss or advance implementation of awarded REAP 2.0 funds
 10. Using funds for mitigation activities already mandated by local or state governing bodies or agencies
 11. On-going expenses (e.g., routine maintenance or operations of transportation infrastructure associated with transit service expansion)
 12. Costs associated with automobile or motorcycle parking (excluding EV

charging infrastructure). Proposed Uses with a surface parking component are not eligible.

13. Costs associated with infrastructure related to fossil fuels, including connections to natural gas infrastructure
14. Costs associated with on-going provisions of internet service
15. In lieu fees for local inclusionary Housing programs
16. Organizational membership fees
17. Street construction or repair to benefit vehicular traffic
18. Other items unrelated to the REAP 2.0 Program or application

Section 300: Applicant and Application Provisions

Section 301: Application Requirements and Contents

- (A) Until December 31, 2022, or as otherwise prescribed, an Eligible Entity may request an allocation of funds by submitting an application, in the form and manner prescribed by the Department, and developed with the Department and State Collaborative Partners, that includes all of the following information:
1. An identification of priorities utilizing outreach that reflects Program goals and objectives and consideration of inter- and intra-regional coordination, geographic equity, appropriate blends of planning and implementation activities, amount retained by the Eligible Entity versus suballocations, eligible uses (e.g., technical assistance and other activities, accelerating Infill development that facilitates Housing supply, choice, and affordability) and the goals of suballocations in a manner that addresses the unique needs of the region related to Housing, land use, transportation, climate change, equity, and other planning priorities;
 2. An allocation budget for the funds;
 3. The amounts retained by the Eligible Entity and any suballocations;
 4. An explanation of how the Proposed Uses will meet the definition of Transformative Planning and Implementation Activities and, as applicable, constitute high-impact and innovative projects;
 5. An explanation of how the Proposed Uses will implement and achieve Housing goals that also reduce VMT;
 6. An explanation of how each Proposed Use has a geographic or region-wide benefit
 7. An explanation of how each Proposed Use focuses implementation in areas that satisfy an applicable definition of Infill development (See Attachment 2: Definitions).
 8. The application shall reference one or more of the following categories of allowable uses of the funds:
 - i. Accelerating Infill development that facilitates Housing supply, choice, and affordability
 - ii. Supporting residents through realizing Multimodal Communities.

- iii. Reducing driving through shifting travel behavior.
 - iv. Increasing transit ridership.
9. An explanation of the targeted outreach the Eligible Entity has conducted to Disadvantaged and Historically Underserved Communities and how that outreach was incorporated into the Proposed Uses; and
 10. An explanation of how Proposed Uses will advance equity by benefiting Disadvantaged and Historically Underserved Communities.
 11. The link to the applicant's webpage where land use maps and vehicle miles traveled generation maps, as available, are publicly accessible.
 12. The Department may request additional information and documentation as appropriate.
 13. The Department may consult with and gather relevant information from any individual, entity, or public agency.

Section 302: Application Submittal

- (A) An applicant must submit a complete and signed application under the penalty of perjury by email to REAP2021@hcd.ca.gov.
- (B) Applications must be on Department forms and cannot be altered or modified by the applicant. Program applications and forms are available on the [Department's website](#).
- (C) The Department and State Collaborative Partners encourage early applications and will accept applications up to the date noted in this Notice of Funding Availability.

Section 400: Tribal and Rural Allocation

Section 401: Eligible Applicants

- (A) Eligible applicants include:
 1. Counties of Alpine, Amador, Calaveras, Colusa, Del Norte, Glenn, Humboldt, Inyo, Lake, Lassen, Mariposa, Mendocino, Modoc, Mono, Nevada, Plumas, Sierra, Siskiyou, Tehama, Tuolumne, and Trinity.
 2. A county, a city, a city and county, a transit agency or **district and a county transportation agency located within any of the counties described in Section 401(A)(1).**
 3. Tribal Entities within the state of California.
- (B) The Department may approve a fiscal agent to receive funds on behalf of a consortium of Eligible Entities listed.
- (C) Eligible Entities may apply directly to HCD for funds pursuant to the Program or through a fiscal agent.
- (D) **If appointing a fiscal agent, eligible applicants may include single or multiple Eligible Entities.**

- (E) More than one Eligible Entity may apply per county. If there is more than one Eligible Entity per County applying for REAP 2.0 funding, Eligible Entities are encouraged but not required to submit a joint application through a fiscal agent.
- (F) Eligible Entities may partner through legally binding agreements with other forms of governments where the proposal will have a direct effect on land-use, transportation, or development within areas of influence of the Eligible Entity. This includes, but is not limited to, partnerships with other localities, regional governments, Housing authorities, school districts, special districts, community-based organizations, Tribal Entities or any duly constituted governing body of an Indian Reservation or Rancheria. Applicants forming partnerships must submit separate, completed, and signed application packages, including resolutions and a copy of the signed agreement between partners. Applicant partners may not submit an application on behalf of the eligible applicant.

Section 402: Award Amounts

- (A) The maximum amount that an eligible applicant may receive shall be based on the most recent Department of Finance P-2A County Population Projections as of July 1, 2021.
- (B) Amounts shall be calculated based on aggregate 2030 projected population per each eligible applicant as a percentage of projected 2030 statewide population. See Attachment 3.
- (C) The minimum award amount per applicant is \$100,000.00.
- (D) The maximum award amount per applicant is \$5,000,000.00.
- (E) The Department may adjust the minimum and maximum award amounts based on demand or unique circumstances.

Section 403: Application Review

- (A) Applications will be reviewed on a competitive basis.
- (B) The Department, in collaboration with State Collaborative Partners, shall review an application in an expeditious manner.
- (C) Applications will be reviewed for completeness, accuracy, threshold, and eligibility requirements.
- (D) Complete applications meeting threshold requirements will be scored and ranked according to scoring and geographic distribution criteria.
- (E) Applications submitted by Tribal Entities for the Tribal Entities allocation (Section 404(A)(6)) are subject to an over-the-counter application review process until the final application deadline.
- (F) Upon Department's initial review of an application from a Tribal Entity, if Threshold Requirements are not met, the applicant may return a revised application within 30 days of the Department's communication of initial review findings.
- (G) Ranked applications will be placed in geographic categories until filled. Once the geographic categories are filled, previously unselected applicants will be selected according to the ranking up until the amount available under the Notice of Funding Availability. If geographic categories are not filled after exhausting the

ranking, then previously unselected applicants will be selected according to the ranking until the money is gone.

- (H) The Department may request additional information to complete and approve the application for funding.
- (I) Applications recommended for funding are subject to conditions specified by the Department and State Collaborative Partners.
- (J) Successful applicants will receive an Award Letter from the Department and will be awarded funds. Applicants will enter into a state Standard Agreement for distribution of funds. The Standard Agreement will specify, among other things, the amount of funds granted, timeline for expenditure of funds, and the approved use of funds.

Section 404: Geographic Distribution

- (A) Ranked Applications will be considered according to geographic categories, as follows:
 1. Eastern Slope: Alpine, Inyo and Mono
 2. Far North: Lassen, Modoc, Plumas, Sierra, and Siskiyou
 3. Motherlode: Amador, Calaveras, Mariposa, Nevada, and Tuolumne
 4. North Coast: Del Norte, Humboldt, Lake, Mendocino, and Trinity
 5. Upper Sacramento Valley: Colusa, Glenn, and Tehama
 6. Tribal Entities: All Tribal Entities
- (B) 25 percent of the total available under this allocation for the Notice of Funding Availability will be a Tribal set aside only for Tribal Entities (Section 404(A)(6)).
- (C) Of the 75 percent remaining, 75 percent will be allocated in geographic categories (1)-(5) and calculated proportionally based on 2030 population projections, as determined by the Department of Finance (See Attachment 3: Award Amounts for Eligible Applicants).
- (D) The remaining 25 percent of 75 percent will be used as a residual set aside for eligible applicants in geographic categories (1)-(6).
- (E) If an applicant's award amount exceeds the funding available to its geographic category, the applicant may qualify to fulfill their eligible award from the residual set aside (25 percent of 75 percent) in the order the applications were ranked according to scoring criteria.
- (F) If funds for geographic categories are not depleted, then funds may, at the discretion of the Department, be utilized toward the residual set aside. Absence of applicants in a geographic category will deem the geographic category closed and funds from that geographic category may, at the discretion of the Department, be utilized toward the residual set aside.
- (G) Once a geographic category's funds have been exhausted, applicants from that geographic category may qualify for funding available in the residual set aside. Upon exhausting the geographic categories, the Department will award remaining applicants in the scored ranking order with funds from the residual set aside. Once funds from the residual set aside are awarded, the final applicant in the ranking of applications received will only be eligible for the award amount that remains in the residual set aside.

Section 405: Suballocations

- (A) Eligible Entities may suballocate funds to other Eligible Entities within its borders in the form of grants.
- (B) Eligible Entities, for the purposes of suballocations, may be broadly construed and include, but not limited to, a county, a city, a city and county, a transit agency or district, a county transportation agency, Tribal Entity, community-based organizations, Public Housing Authority, academic institution, developers of Affordable Housing, or regional Housing Trust Fund.
- (C) Proposed evaluation criteria for any suballocation uses are subject to review and approval by the Department and State Collaborative Partners during the application process, and must align with REAP 2.0 Program goals, objectives, and definitions. Evaluation criteria must be approved by the Department and State Collaborative Partners by March 31, 2023, unless an extension is granted by the Department.
- (D) The amount of funds distributed through suballocations must be based on the applicants' unique Housing, land use, transportation, climate change, equity, and other planning priorities. Additional factors include, but are not limited to, outreach and priority setting, maximization of Program Policy Outcomes consistent with REAP 2.0 Program goals and objectives, and timeliness of expenditure.
- (E) Suballocations must consider geographic equity, transformative and collaborative approaches to planning and implementation, and the degree to which the suballocation furthers the REAP 2.0 objectives (i.e., accelerating Infill development that facilitates Housing supply, choice, and affordability, reducing VMT, and Affirmatively Furthering Fair Housing).
- (F) Eligible Entities may consider additional criteria tailored to its unique conditions and circumstances as well as planning priorities for the area. All additional criteria must demonstrably promote REAP 2.0 goals and objectives and be developed in consultation with the Department and State Collaborative Partners.
- (G) Eligible Entities must award suballocations within 60 days of a complete application being awarded. An award is defined by an official notice (e.g., letter) to the grantee and does not include encumbrance or an executed Standard Agreement.
- (H) Eligible Entities may propose suballocations as part of the application for the REAP 2.0 Program.
- (I) Eligible Entities shall expeditiously act to execute the Standard Agreement and ensure expenditure deadlines are met throughout the implementation of the REAP 2.0 Program.

Section 406: Scoring Criteria

- (A) The Department and State Collaborative Partners review of an application ensures that the application is complete and provides necessary information for the scoring process. The scoring of applications will determine whether funding to support Proposed Uses, and any suballocations, are distributed in a manner that satisfies all Program requirements while appropriately addressing an applicant's unique housing, land use, transportation, climate change, equity, and other planning priorities consistent with Program goals and objectives.

- (B) Scoring criteria will include Program Objectives and Additional Considerations, generally described as:
1. Program Objectives include Accelerating Infill development that Facilitates Housing Supply, Choice, and Affordability; Affirmatively Furthering Fair Housing; and Reducing Vehicle Miles Traveled.
 2. Additional Considerations include building long-term capacity and expertise, and the degree of needs or potential for Housing, infrastructure, VMT reduction, and disaster recovery and mitigation.
- (C) Points will be awarded as follows:
1. Program Objectives (up to 150 points)
 - i. Accelerating Infill development that Facilitates Housing Supply, Choice, and Affordability (up to 50 points)
 - ii. Affirmatively Furthering Fair Housing (up to 50 points)
 - iii. Reducing Vehicle Miles Traveled (up to 50 points)
 2. Additional Considerations (up to 50 points)
 - i. Building Long-Term Capacity and Expertise (up to 25 points)
 - ii. Degree of Needs or Potential for Housing, Infrastructure, VMT Reduction and Disaster Recovery and Mitigation (up to 25 points)
- (D) The extent the application achieves each of the Program Objectives and Additional Considerations will be evaluated according to the following criteria:
1. Locational Considerations: The location of Proposed Uses and the degree of impact relative to achieving Program Objectives. Examples include urbanized areas, established community areas, areas with transit or densities, population and employment densities, land use mix, street network connectivity, linkages and pathways with active transportation infrastructure, accessibility between destinations, contiguousness of land uses and transportation networks, identified high growth areas, proximity to multimodal mobility options, surrounding urban uses, areas of higher resource, areas of lower resource or concentrated areas of poverty and Disadvantaged and Historically Underserved Communities.
 2. Supporting Attributes: Characteristics of Proposed Uses and the degree of beneficial impact relative to Program Objectives. Examples include job and Housing fits, access to Housing options and affordability, walkable communities, expanded transit services, multimodal infrastructure, enhanced pedestrian and bicycle safety measures, protected pedestrian and bicycle amenities, multimodal infrastructure connections, Housing mobility strategies, Affordable Housing for Low-income Households, reductions in barriers to high density and Housing accessibility.
 3. Measurable Policy Outcomes: Proposed Uses should be supported by evidence, including quantifiable targets that assess the degree of impact relative to Program Objectives. Examples include, but are not limited to, mix and intensity of land uses, linkages between land uses and transportation network, mix of Housing units, limited number of off-street parking, Vehicle Miles Traveled reduced, Affordable Housing by income group, Housing types by income group, infrastructure connections, density, and development costs and timing.

Section 500: Administration

Section 501: Grant Execution and Term

- (A) The Department will notify the grantee if they have been selected for a grant award.
- (B) After the Standard Agreement has been sent electronically, the grantee will be provided instructions for signing all required documents. The grantee must submit all supporting materials and a signed Standard Agreement within the timeline provided in the instructions or risk forfeiting the grant award.
- (C) The grant term begins on the day the Department and the grantee have fully executed the Standard Agreement. The Department will notify the grantee and partners when work may proceed under the agreement. However, eligible activities that are approved by the Department may be retroactively reimbursed to July 1, 2021.
- (D) Each recipient of funds under REAP must encumber those funds no later than June 30, 2024, and expend those funds no later than June 30, 2026. Final invoices must be submitted to the Department three months prior to the expenditure deadline.

Section 502: Accounting and Records

- (A) The grantee, its staff, contractors, and subcontractors shall establish and maintain an accounting system and reports that properly accumulate incurred project costs by line. The accounting system shall conform to Generally Accepted Accounting Principles (GAAP), enable the determination of incurred costs at interim points of completion, and provide support for payment vouchers and invoices. Grantees may establish and maintain an accounting system and reports, as described above, on behalf of contractors and subcontractors.
- (B) The grantee must establish a separate ledger account for receipts and expenditures of grant funds and maintain expenditure details in accordance with the budget and timeline. Separate bank accounts are not required. As appropriate, grantees must establish separate ledgers for State General funds, and other funds associated with Proposed Uses not provided by the REAP 2.0 Program.
- (C) The grantee shall maintain documentation of its normal procurement policy, competitive bid process (including the use of sole source purchasing), and financial records of expenditures incurred during the course of the project in accordance with GAAP.
- (D) The grantee agrees that the Department or designated representative shall have the right to review and to copy any records and supporting documentation pertaining to the performance of the Standard Agreement.
- (E) The grantee agrees to maintain such records for possible audit after the final payment for at least five years after all funds have been expended or returned to the State unless a longer period of records retention is stipulated. Wherever practicable, such records should be collected, transmitted, and stored in open and machine-readable formats.
- (F) Subcontractors employed by the grantee and paid with moneys under the terms of this Standard Agreement shall be responsible for maintaining accounting records as specified above.

Section 503: Invoicing

- (A) Grant funds cannot be disbursed until the Standard Agreement has been fully executed.
- (B) The grantee will be responsible for compiling and submitting all invoices and reporting documents.
- (C) The grantee must bill the Department based on clear deliverables outlined in the Standard Agreement or budget timeline. Generally, approved and eligible costs incurred for work after execution of the Standard Agreement and completed during the grant term will be reimbursable. However, eligible activities conducted prior to award will be reimbursable to July 1, 2021. Approved and eligible costs incurred prior to July 1, 2021, are ineligible,
- (D) Project invoices may be submitted to the Department by the grantee on a quarterly basis or upon completion of a deliverable, subject to the Department's approval.
- (E) The Department may consider advance payments or alternative arrangements to reimbursement and payment methods based on demonstrated need. The Department may consider factors such as available funds for eligible activities. Suballocations to Jurisdictions must request funds in increments or a schedule for advance payments, and report progress according to an implementation and expenditure timetable.
- (F) Supporting documentation may include, but is not limited to, purchase orders, receipts, progress payments, subcontractor invoices, timecards, reports, or any other documentation as deemed necessary by the Department to support the reimbursement to the grantee for expenditures incurred.
- (G) Invoices must be accompanied by supporting documentation where appropriate. Invoices without supporting documentation will not be paid. The Department may withhold up to 10 percent of the grant until grant terms have been fulfilled, including all required reporting.

Section 504: Audits

- (A) At any time during the term of the Standard Agreement, the Department may perform or cause to be performed a financial audit of any and all phases of the award. At the Department's request, the grantee shall provide, at its own expense, a financial audit prepared by a certified public accountant. The State of California has the right to review project documents and conduct audits during project implementation and over the project life.
- (B) The grantee agrees that the Department or the Department's designee shall have the right to review, obtain, and copy all records and supporting documentation pertaining to performance of this Agreement.
- (C) The grantee agrees to provide the Department or the Department's designee with any relevant information requested.
- (D) The grantee agrees to permit the Department or the Department's designee access to its premises, upon reasonable notice, during normal business hours for the purpose of interviewing employees who might reasonably have information related to such records and inspecting and copying such books, records,

accounts, and other material that may be relevant to a matter under investigation for the purpose of determining compliance with statutes, Program Guidelines, and the Standard Agreement.

- (E) The Department may request additional information, as needed, to meet other applicable audit requirements.
- (F) The Department may monitor expenditures and activities of a grantee, as the Department deems necessary, to ensure compliance with REAP requirements.
- (G) Grantees using federal or state transportation planning funds administered through the Overall Work Program (OWP) shall clearly identify the source of funds.
- (H) If there are audit findings, the grantee must submit a detailed response acceptable to the Department for each audit finding within 90 days from the date of the audit finding report.
- (I) The grantee agrees to maintain such records for possible audit after the final payment for at least five years after all funds have been expended or returned to the State unless a longer period of records retention is stipulated. Wherever practicable, such records should be collected, transmitted, and stored in open and machine-readable formats.
- (J) If any litigation, claim, negotiation, audit, monitoring, inspection, or other action has been started before the expiration of the required record retention period, all records must be retained by the grantee, contractors, and sub-contractors until completion of the action and resolution of all issues which arise from it. In any contract that it enters into in an amount exceeding \$10,000, the grantee shall include the Department's right to audit the contractor's records and interview their employees.
- (K) The grantee shall comply with the caveats and be aware of the penalties for violations of fraud and for obstruction of investigation as set forth in California Public Contracts Code Section 10115.10.

Section 505: Remedies of Non-performance

- (A) In the event that it is determined, at the sole discretion of the Department, that the grantee is not meeting the terms and conditions of the Standard Agreement, immediately upon receiving a written notice from the Department to stop work, the grantee shall cease all work under the Standard Agreement. The Department has the sole discretion to determine that the grantee meets the terms and conditions after a stop work order, and to deliver a written notice to the grantee to resume work under the Standard Agreement.
- (B) The Department has the right to terminate the Standard Agreement at any time upon 30 days written notice. The notice shall specify the reason for early termination and may permit the grantee or the Department to rectify any deficiency(ies) prior to the early termination date. The grantee will submit any requested documents to the Department within 30 days of the early termination notice.
- (C) The applicant must demonstrate a clear and significant nexus to REAP 2.0 Program goals and objectives, including, but not limited to, completion of activities toward Policy Outcomes, and implementation of eligible use activities funded through a suballocation process. Any action inconsistent with REAP 2.0 Program goals and objectives may result in review and could be subject to repayment of

the grant.

- (D) At any time, if the Department finds the grantee falsely proposed information in the application or as part of the application review, the Department may require the repayment of funds.
- (E) Grantees are responsible for suballocations meeting all REAP 2.0 requirements.
- (F) The Department may, as it deems appropriate or necessary, require the repayment of funds from a grantee or pursue any other remedies available to it by law for failure to comply with all REAP 2.0 Program requirements.

Section 506: Reporting

- (A) At any time during the term of the Standard Agreement, the Department may request a performance report that demonstrates satisfaction of all requirements identified in the Standard Agreement with emphasis on eligible activities, eligible uses, and expenditures according to timelines and budgets referenced in the Standard Agreement.
- (B) Grantees shall submit a report, in the form and manner prescribed by the Department, to be made publicly available on its website, by April 1 of the year following the receipt of those funds, and annually thereafter until those funds are expended, that contains the following information:
 1. The status of the Proposed Uses and expenditures listed in the Eligible Entity's application for funding and the corresponding impact, including, but not limited to,
 - i. Housing units accelerated, and
 - ii. Reductions in Vehicle Miles Traveled Per Capita, and
 - iii. Location of investment, and
 - iv. Socioeconomic statistics about the impacted geography, and
 - v. Regional impact explanation
 2. All status and impact reports shall be categorized based on the eligible uses specified in Section 50515.08.
- (C) Grantees shall collaborate and share progress, templates, and best practices with the Department and fellow recipients in implementation of funds. To the greatest extent practicable, adjacent Eligible Entities shall coordinate in the development of applications, consider potential for joint activities, and seek to coordinate Housing and transportation planning across regions.
- (D) Upon completion of all deliverables within the Standard Agreement, the grantee shall submit a close out report in a manner and form prescribed by the Department.
 1. Grantee may include a line item for advance payment or reimbursement, as part of its administrative costs, for its final report that is due by June 30, 2026. Funding requests for final reports must be submitted no later than March 31, 2026.

Section 600: Right to Modify or Suspend Guidelines and Final Decision Making

- (A) The Department reserves the right, at their sole discretion, to suspend, amend, or modify the provisions of these Guidelines at any time, including, without

limitation, the amount of funds available hereunder. If such an action occurs, the Department will notify all interested parties and will post the revisions to the Department's website. You may subscribe to the [Department email listserv](#).

- (B) The Department's decision to approve or deny an application or request for funding pursuant to the Program, and its determination of the amount of funding to be provided or requested for repayment or other remedies for failure to comply with Program requirements, shall be final.

Attachment 1: Statute

SEC. 15.

Chapter 3.15 (commencing with Section 50515.06) is added to Part 2 of Division 31 of the Health and Safety Code, to read:

CHAPTER 3.15. Regional Early Action Planning Grants Program of 2021 50515.06.

For purposes of this chapter:

- (a) "Department" means the Department of Housing and Community Development.
- (b) "Program" means the Regional Early Action Planning Grants of 2021 established pursuant to this chapter.
- (c) "Regional housing need assessment" means the existing and projected need for housing for each region, as determined by the department pursuant to Section 65584.01 of the Government Code.
- (d) "Sustainable Communities Strategies" refers to the plan prepared by each metropolitan planning organization pursuant to paragraph (2) of subdivision (b) of Section 65080 of the Government Code.
- (e) "Alternative Planning Strategy" refers to the document, if any, prepared by a metropolitan planning organization pursuant to paragraph (1) of subdivision (b) of Section 65080 of the Government Code.
- (f)
 - (1) "Transformative planning and implementation activities" means housing, planning, infrastructure investments supporting infill housing, and other actions that enable meeting housing goals that also result in per capita vehicle miles traveled reductions, including accelerating infill development, supporting residents through realizing multimodal communities, shifting travel behavior through reducing driving, and increasing transit ridership.
 - (2) Transformative planning and implementation activities shall be in furtherance of all of the following:
 - (A) State planning priorities, as described in Section 65041.1 of the Government Code.
 - (B) Affirmatively furthering fair housing pursuant to Section 8899.50 of the Government Code.
 - (C) Facilitating housing element compliance for the sixth cycle regional housing needs assessment pursuant to Section 65302 of the Government Code prepared in accordance with Article 10.6 (commencing with Section 65580) of Chapter 3 of Division 1 of Title 7 of the Government Code.
 - (D) A region's sustainable community strategy, as described in paragraph (2) of subdivision (b) of Section 65080 of the Government Code, or alternative planning strategy, as described in paragraph (2) of subdivision (b) of Section 65080 of the Government Code, as applicable.
- (g) "Eligible Entity" means any recipient of these funds either through direct allocation from the department or through a suballocation from a recipient. For the purposes of this chapter, an Eligible Entity can include a metropolitan planning organization (MPO), a single or multicounty council of governments (COG), a regional transportation planning agency (RTPA), a county, a city, a city and county, a transit agency or district, a county transportation agency, or a Tribal Entity.
- (h) "Tribal Entity" means an entity formed by the duly constituted governing body of a California

Native American Tribe in Chapter 905 of the Statutes of 2004, as described in Section 21073 of the Public Resources Code.

50515.07.

(a)

(1) The Regional Early Action Planning Grants Program of 2021 is hereby established for the purpose of providing regions with funding, including grants, for transformative planning and implementation activities.

(2) Upon appropriation by the Legislature for this purpose, funds shall be distributed under the program in accordance with this chapter.

(b) The department, in collaboration with the Office of Planning and Research, the Strategic Growth Council, and the State Air Resources Board, shall develop and administer the program and, consistent with the requirements of this chapter, provide grants to eligible entities for implementing planning and implementation activities. The department shall seek input from the transportation and housing coordination workgroup established through Section 50407.5.

(c) Distribution and expenditures of funds shall be made consistent with the state planning priorities, established pursuant to Section 65041.1 of the Government Code, and shall consider geographic equity among regions of the state.

(d) Of the total amount of any moneys appropriated for purposes of this chapter, the department shall set aside up to 5 percent for program administration, including state operations expenditures and technical assistance, as well as expenditures by recipients of funding pursuant to Sections 50515.08 and 50515.09.

50515.08.

(a) The funds described in paragraph (2) of subdivision (a) of Section 50515.07 shall be available only to the following entities before any suballocation:

(1) The Metropolitan Transportation Commission, representing the Counties of Alameda, Contra Costa, Marin, Napa, San Mateo, Santa Clara, Solano, and Sonoma, and the City and County of San Francisco.

(2) The Sacramento Area Council of Governments, representing the Counties of El Dorado, Placer, Sacramento, Sutter, Yolo, and Yuba.

(3) The San Diego Association of Governments, representing the County of San Diego.

(4) The Southern California Association of Governments, representing the Counties of Imperial, Los Angeles, Orange, Riverside, San Bernardino, and Ventura.

(5) The Association of Monterey Bay Area Governments, representing the counties of Monterey, San Benito and Santa Cruz.

(6) The San Luis Obispo Council of Governments, the Santa Barbara County Association of Governments, the Fresno Council of Governments, the Kern Council of Governments, the Kings County Association of Government, the Madera County Transportation Commission, the Merced County Association of Governments, the San Joaquin Council of Governments, the Stanislaus Council of Governments, the Tulare County Association of Governments, the Butte County Association of Governments, Shasta County Regional Transportation Agency, and the Tahoe Regional Planning Agency created by interstate compact and ratified by Title 7.4 (commencing with Section 66800) of the Government Code. Notwithstanding any other provision of this chapter, the eligible entities described in this paragraph may apply directly to the department for funds pursuant to the program.

(7) Eligible entities in the Counties of Alpine, Amador, Calaveras, Colusa, Del Norte, Glenn, Humboldt, Inyo, Lake, Lassen, Mariposa, Mendocino, Modoc, Mono, Nevada, Plumas, Sierra, Siskiyou, Tehama, Tuolumne, and Trinity. Notwithstanding any other

provision of this chapter, eligible entities within the counties listed in this paragraph or Tribal Entities may apply directly to the department for funds pursuant to the program. The department may approve a fiscal agent to receive funds on behalf of a consortium of entities listed in this paragraph.

(b)

(1) The department shall calculate the amount of each maximum grant allocation in accordance with the methodology described in subdivision (a) of Section 50515.09.

(2) An eligible entity shall, in consultation with the department and consistent with the requirements of this chapter, determine the appropriate use of funds and suballocations within its boundaries in a manner that appropriately addresses its unique housing, land use, transportation, climate change, equity and other planning priorities.

(c)

(1) Subject to paragraph (5), until December 31, 2022, an eligible entity described in subdivision (a) may request an allocation of funds pursuant to this section by submitting an application, in the form and manner prescribed by the department, developed in collaboration with the Office of Planning and Research, the Strategic Growth Council, and the State Air Resources Board, that includes all of the following information:

(A) An allocation budget for the funds provided pursuant to this section.

(B) The amounts retained by the eligible entity and any suballocations.

(C) An explanation of how the proposed uses will meet the definition of transformative planning and implementation activities and, as applicable, constitute high-impact and innovative projects and actions.

(D) An explanation of how the proposed uses will implement and achieve housing goals that also result in per capita vehicle miles traveled reductions in furtherance of the region's Sustainable Communities Strategies or alternative planning strategy, as applicable.

(E) The application shall reference one or more of the following categories of allowable uses of the funds:

(i) Accelerating infill development, including housing.

(ii) Supporting residents through realizing multimodal communities.

(iii) Shifting travel behavior through reducing driving.

(iv) Increasing transit ridership.

(F) An explanation of the targeted outreach the MPO has conducted to disadvantaged and historically underserved communities and how that outreach was incorporated into the proposed uses.

(2) The department, in collaboration with the Office of Planning and Research, the Strategic Growth Council, and the State Air Resources Board, shall review an application submitted pursuant to this subdivision in an expeditious manner. Upon approval of an application for funds pursuant to this subdivision, the department shall award the moneys for which the eligible entity qualifies.

(3) Commencing January 1, 2022, an eligible entity described in paragraphs (1) to (5) of subdivision (a), inclusive, as applicable, may request up to 10 percent of the funding available to it under this section in advance of a full request for funding made pursuant to paragraph (1) to develop and accelerate the implementation of the requirements described in paragraph (1), including, but not limited to, regional engagement in the development of the full application and of an education and outreach strategy. The department shall award funds requested pursuant to this paragraph to the relevant eligible entity in an expeditious manner after receiving that request.

(4) The department may develop a streamlined application procedure that accounts for

the limited resources generally among the regional entities listed in paragraph (6) of subdivision (a).

(5) If an amount of funds described in paragraph (2) of subdivision (a) of Section 50515.07 remains unallocated after December 31, 2022, the department, at its discretion, may make those funds available through a subsequent notice of funding availability in which funds are offered on a competitive basis pursuant to this chapter. An eligible entity described in subdivision (a) may request an allocation of funds made available through the subsequent notice of funding availability by submitting an application, in the form and manner prescribed by the department.

(d) In consultation with the department, any entity that receives an allocation of funds pursuant to this section shall establish priorities and use those moneys for eligible transformative planning and implementation activities that include, but are not limited to, all of the following:

(1) Providing jurisdictions and other local agencies with technical assistance, planning, temporary staffing, or consultant needs associated with updating local planning and zoning documents and other actions that accelerate infill housing production.

(2) Administering any programs described in this subdivision.

(3) Covering the costs of temporary staffing or consultant needs associated with the activities described in paragraphs (1) and (2), inclusive.

(4) Accelerating infill development, including through all of the following:

(A) Rezoning and encouraging development by updating planning documents and zoning ordinances, including general plans, community plans, specific plans, Sustainable Communities Strategies, and local coastal programs.

(B) Revamping local planning processes to accelerate infill housing production and other infill development.

(C) Completing environmental clearance to eliminate the need for project-specific review for infill development.

(D) Establishing and funding an affordable housing catalyst fund, trust fund, or revolving loan fund for location efficient projects.

(E) Performing infrastructure planning and investing in upgrading infrastructure, including for sewers, water systems, transit, roads, or other public facilities necessary to enable reduction in per capita vehicle miles traveled, including accelerating housing production.

(5) Supporting residents through realizing multimodal communities, including through all of the following:

(A) Establishing and implementing a vision-zero policy and program, a safety plan, and a slow streets program.

(B) Developing bicycle and pedestrian infrastructure plans and other multimodal plans or policies.

(C) Investing in infrastructure projects and other programs to expand active transportation and implement bicycle or pedestrian plans.

(D) Producing multimodal corridor studies associated with developing specific planning documents or implementation actions.

(6) Shifting travel behavior through reducing driving, including through all of the following:

(A) Studying and implementing road pricing.

(B) Funding the establishment of a local vehicle miles traveled impact fee or regional vehicle miles traveled mitigation bank.

(C) Funding and implementing parking and transportation demand management programs or ordinances.

(D) Accelerating infill housing production near jobs, transit, and resources.

- (7) Increasing transit ridership, including through all of the following:
 - (A) Funding and implementing actions to establish more seamless regional transit systems between and across communities, including establishing common fares, schedules, service design, and wayfinding.
 - (B) Developing and implementing multimodal access plans to and from transit facilities.
 - (C) Planning for additional housing near transit.
- (f)
 - (1) In consultation with the department, any entity that receives an allocation of funds pursuant to this section may suballocate moneys directly to eligible entities in the form of grants. Following awards to eligible entities, eligible entities shall award suballocations within 60 days.
 - (2) All suballocations pursuant to this subdivision shall consider geographic equity, including the needs of rural and urban communities, transformative and collaborative approaches, including through subregions, and the degree to which the suballocation will be in furtherance of all of the requirements of transformative planning and implementation activities described in paragraph (2) of subdivision (f) of Section 50515.06.

50515.09.

(a) Of the amount described in paragraph (2) of subdivision (a) of Section 50515.07, 85 percent shall be available to the entities described in paragraphs (1) to (5), inclusive, of subdivision (a) of Section 50515.08 for transformative planning and implementation activities. The maximum amount that an entity may receive pursuant to this subdivision shall be determined as follows:

The maximum amount that an Eligible Entity may receive pursuant to this subdivision shall be based on the most recent Department of Finance P-2A County Population Projections as of July 1, 2021. Amounts shall be calculated based on aggregate 2030 projected population per each eligible applicant as a percentage of projected 2030 statewide population.

(b) Of the amount described in paragraph (2) of subdivision (a) of Section 50515.07, 5 percent shall be available to the eligible entities described in paragraph (6) of subdivision (a) of Section 50515.08 for transformative planning and implementation activities.

(c) Of the amount described in paragraph (2) of subdivision (a) of Section 50515.07, 5 percent shall be available as a competitive set aside available to all eligible entities for transformative planning and implementation activities that demonstrably exceed the requirements of this chapter and further multiple policy objectives. Scoring criteria for this competitive set aside will include, but are not limited to, the extent of acceleration of infill housing production and reduction of per capita vehicle miles traveled.

50515.10.

- (a)
 - (1) Subject to paragraph (2), an Eligible Entity that receives an allocation of program funds pursuant to Section 50515.08 shall submit a report, in the form and manner prescribed by the department, to be made publicly available on its internet website, by April 1 of the year following the receipt of those funds, and annually thereafter until those funds are expended, that includes, but is not limited to, the following information:
 - (A) The status of the proposed uses and expenditures listed in the Eligible Entity’s application for funding and the corresponding impact, including, but not limited to, housing units accelerated and reductions in per capita vehicle miles traveled.
 - (B) All status and impact reports shall be categorized based on the Eligible Uses specified in Section 50515.08.

- (2) The department may request additional information, as needed, to meet other applicable reporting or audit requirements.
- (b) The department shall maintain records of the following and provide that information publicly on its internet website:
 - (1) The name of each applicant for program funds and the status of that entity's application.
 - (2) The number of applications for program funding received by the department.
 - (3) The information described in subdivision (a) for each recipient of program funds.
- (c) A recipient of funds under this program shall post, make available, and update, as appropriate on its internet website, land use maps and vehicle miles traveled generation maps produced in the development of its adopted Sustainable Communities Strategies.
- (d) A recipient of funds under this program shall collaborate and share progress, templates, and best practices with the department and fellow recipients in implementation of funds. To the greatest extent practicable, adjacent eligible entities shall coordinate in the development of applications, consider potential for joint activities, and seek to coordinate housing and transportation planning across regions.
- (e)
 - (1) A recipient of funds under the program shall expend those funds no later than June 30, 2024.
 - (2) No later than June 30, 2025, each Eligible Entity that receives an allocation of funds pursuant to Section 50515.08 shall submit a final report on the use of those funds to the department, in the form and manner prescribed by the department. The report required by this paragraph shall include an evaluation of actions taken in support of the entity's proposed uses of those funds, as specified in the entity's application, including, but not limited to, housing units accelerated and per capita reductions in vehicle miles traveled.
- (f) The department may monitor expenditures and activities of an applicant, as the department deems necessary, to ensure compliance with program requirements.
- (g) The department may, as it deems appropriate or necessary, request the repayment of funds from an applicant, or pursue any other remedies available to it by law for failure to comply with program requirements.
- (h) The department, in collaboration with the Office of Planning and Research, the Strategic Growth Council, and the State Air Resources Board, may implement the program through the issuance of forms, guidelines, application materials, funding allocation methodologies, and one or more notices of funding availability, as the department deems necessary, to exercise the powers and perform the duties conferred on it by this chapter. Any forms, guidelines, application materials, funding allocation methodologies, or notices of funding availability prepared or adopted pursuant to this section are exempt from the rulemaking provisions of the Administrative Procedure Act (Chapter 3.5 (commencing with Section 11340) of Part 1 of Division 3 of Title 2 of the Government Code).
- (i) The department's decision to approve or deny an application or request for funding pursuant to the program, and its determination of the amount of funding to be provided or request for repayment or other remedies for failure to comply with program requirements, shall be final.

AB 175

SEC. 8.

Section 50515.08 of the Health and Safety Code is amended to read:

50515.08.

- (a) The funds described in paragraph (2) of subdivision (a) of Section 50515.07 shall be

available only to the following entities before any suballocation:

- (1) The Metropolitan Transportation Commission, representing the Counties of Alameda, Contra Costa, Marin, Napa, San Mateo, Santa Clara, Solano, and Sonoma, and the City and County of San Francisco.
 - (2) The Sacramento Area Council of Governments, representing the Counties of El Dorado, Placer, Sacramento, Sutter, Yolo, and Yuba.
 - (3) The San Diego Association of Governments, representing the County of San Diego.
 - (4) The Southern California Association of Governments, representing the Counties of Imperial, Los Angeles, Orange, Riverside, San Bernardino, and Ventura.
 - (5) The Association of Monterey Bay Area Governments, representing the counties of Monterey, San Benito and Santa Cruz.
 - (6) The San Luis Obispo Council of Governments, the Santa Barbara County Association of Governments, the Fresno Council of Governments, the Kern Council of Governments, the Kings County Association of Government, the Madera County Transportation Commission, the Merced County Association of Governments, the San Joaquin Council of Governments, the Stanislaus Council of Governments, the Tulare County Association of Governments, the Butte County Association of Governments, Shasta County Regional Transportation Agency, and the Tahoe Regional Planning Agency created by interstate compact and ratified by Title 7.4 (commencing with Section 66800) of the Government Code. Notwithstanding any other provision of this chapter, the eligible entities described in this paragraph may apply directly to the department for funds pursuant to the program.
 - (7) Eligible Entities in the Counties of Alpine, Amador, Calaveras, Colusa, Del Norte, Glenn, Humboldt, Inyo, Lake, Lassen, Mariposa, Mendocino, Modoc, Mono, Nevada, Plumas, Sierra, Siskiyou, Tehama, Tuolumne, and Trinity. Notwithstanding any other provision of this chapter, eligible entities within the counties listed in this paragraph or tribal entities may apply directly to the department for funds pursuant to the program. The department may approve a fiscal agent to receive funds on behalf of a consortium of entities listed in this paragraph.
- (b)
- (1) The department shall calculate the amount of each maximum grant allocation in accordance with the methodology described in subdivision (a) of Section 50515.09.
 - (2) An Eligible Entity shall, in consultation with the department and consistent with the requirements of this chapter, determine the appropriate use of funds and suballocations within its boundaries in a manner that appropriately addresses its unique housing, land use, transportation, climate change, equity and other planning priorities.
- (c)
- (1) Subject to paragraph (5), until December 31, 2022, an Eligible Entity described in subdivision (a) may request an allocation of funds pursuant to this section by submitting an application, in the form and manner prescribed by the department, developed in collaboration with the Office of Planning and Research, the Strategic Growth Council, and the State Air Resources Board, that includes all of the following information:
 - (A) An allocation budget for the funds provided pursuant to this section.
 - (B) The amounts retained by the Eligible Entity and any suballocations.
 - (C) An explanation of how the proposed uses will meet the definition of transformative planning and implementation activities and, as applicable, constitute high-impact and innovative projects and actions.
 - (D) An explanation of how the proposed uses will implement and achieve housing goals that also result in per capita vehicle miles traveled reductions in furtherance of the region's Sustainable Communities Strategies or alternative planning strategy, as

applicable.

(E) The application shall reference one or more of the following categories of allowable uses of the funds:

- (i) Accelerating infill development, including housing.
- (ii) Supporting residents through realizing multimodal communities.
- (iii) Shifting travel behavior through reducing driving.
- (iv) Increasing transit ridership.

(F) An explanation of the targeted outreach the MPO has conducted to disadvantaged and historically underserved communities and how that outreach was incorporated into the proposed uses.

(G) An explanation of how proposed uses will advance equity by benefiting disadvantaged and historically underserved communities.

(2) The department, in collaboration with the Office of Planning and Research, the Strategic Growth Council, and the State Air Resources Board, shall review an application submitted pursuant to this subdivision in an expeditious manner. Upon approval of an application for funds pursuant to this subdivision, the department shall award the moneys for which the Eligible Entity qualifies.

(3) Commencing January 1, 2022, an Eligible Entity described in paragraphs (1) to ~~(5)~~ (6), inclusive, of subdivision (a), ~~inclusive~~, as applicable, may request up to 10 percent of the funding available to it under this section in advance of a full request for funding made pursuant to paragraph (1) to develop and accelerate the implementation of the requirements described in paragraph (1), including, but not limited to, regional engagement in the development of the full application and of an education and outreach strategy. The department shall award funds requested pursuant to this paragraph to the relevant Eligible Entity in an expeditious manner after receiving that request.

(4) The department may develop a streamlined application procedure that accounts for the limited resources generally among the regional entities listed in paragraph ~~(6)~~ (7) of subdivision (a).

(5) If an amount of funds described in paragraph (2) of subdivision (a) of Section 50515.07 remains unallocated after December 31, 2022, the department, at its discretion, may make those funds available through a subsequent notice of funding availability in which funds are offered on a competitive basis pursuant to this chapter. An Eligible Entity described in subdivision (a) may request an allocation of funds made available through the subsequent notice of funding availability by submitting an application, in the form and manner prescribed by the department.

(d) In consultation with the department, any entity that receives an allocation of funds pursuant to this section shall establish priorities and use those moneys for eligible transformative planning and implementation activities that include, but are not limited to, all of the following:

- (1) Providing jurisdictions and other local agencies with technical assistance, planning, temporary staffing, or consultant needs associated with updating local planning and zoning documents and other actions that accelerate infill housing production.
- (2) Administering any programs described in this subdivision.
- (3) Covering the costs of temporary staffing or consultant needs associated with the activities described in paragraphs (1) and (2), inclusive.
- (4) Accelerating infill development, including through all of the following:
 - (A) Rezoning and encouraging development by updating planning documents and zoning ordinances, including general plans, community plans, specific plans, Sustainable Communities Strategies, and local coastal programs.
 - (B) Revamping local planning processes to accelerate infill housing production and

other infill development.

(C) Completing environmental clearance to eliminate the need for project-specific review for infill development.

(D) Establishing and funding an affordable housing catalyst fund, trust fund, or revolving loan fund for location efficient projects.

(E) Performing infrastructure planning and investing in upgrading infrastructure, including for sewers, water systems, transit, roads, or other public facilities necessary to enable reduction in per capita vehicle miles traveled, including accelerating housing production.

(5) Supporting residents through realizing multimodal communities, including through all of the following:

(A) Establishing and implementing a vision-zero policy and program, a safety plan, and a slow streets program.

(B) Developing bicycle and pedestrian infrastructure plans and other multimodal plans or policies.

(C) Investing in infrastructure projects and other programs to expand active transportation and implement bicycle or pedestrian plans.

(D) Producing multimodal corridor studies associated with developing specific planning documents or implementation actions.

(6) Shifting travel behavior through reducing driving, including through all of the following:

(A) Studying and implementing road pricing.

(B) Funding the establishment of a local vehicle miles traveled impact fee or regional vehicle miles traveled mitigation bank.

(C) Funding and implementing parking and transportation demand management programs or ordinances.

(D) Accelerating infill housing production near jobs, transit, and resources.

(7) Increasing transit ridership, including through all of the following:

(A) Funding and implementing actions to establish more seamless regional transit systems between and across communities, including establishing common fares, schedules, service design, and wayfinding.

(B) Developing and implementing multimodal access plans to and from transit facilities.

(C) Planning for additional housing near transit.

(f)

(1) In consultation with the department, any entity that receives an allocation of funds pursuant to this section may suballocate moneys directly to eligible entities in the form of grants. Following awards to eligible entities, eligible entities shall award suballocations within 60 days.

(2) All suballocations pursuant to this subdivision shall consider geographic equity, including the needs of rural and urban communities, transformative and collaborative approaches, including through subregions, and the degree to which the suballocation will be in furtherance of all of the requirements of transformative planning and implementation activities described in paragraph (2) of subdivision (f) of Section 50515.06.

SEC. 9.

Section 50515.09 of the Health and Safety Code is amended to read:

50515.09.

(a) Of the amount described in paragraph (2) of subdivision (a) of Section 50515.07, 85 percent shall be available to the entities described in paragraphs (1) to ~~(5)~~, (6), inclusive, of

subdivision (a) of Section 50515.08 for transformative planning and implementation activities. The maximum amount that an entity may receive pursuant to this subdivision shall be determined as follows:

The maximum amount that an Eligible Entity may receive pursuant to this subdivision shall be based on the most recent Department of Finance P-2A County Population Projections as of July 1, 2021. Amounts shall be calculated based on aggregate 2030 projected population per each eligible applicant as a percentage of projected 2030 statewide population.

(b) Of the amount described in paragraph (2) of subdivision (a) of Section 50515.07, 5 percent shall be available to the eligible entities described in paragraph ~~(6)~~ (7) of subdivision (a) of Section 50515.08 for transformative planning and implementation activities.

(c) Of the amount described in paragraph (2) of subdivision (a) of Section 50515.07, 5 percent shall be available as a competitive set aside available to all eligible entities for transformative planning and implementation activities that demonstrably exceed the requirements of this chapter and further multiple policy objectives. Scoring criteria for this competitive set aside will include, but are not limited to, the extent of acceleration of infill housing production and reduction of per capita vehicle miles traveled.

SEC. 10.

Section 50515.10 of the Health and Safety Code is amended to read:

50515.10.

(a)

(1) Subject to paragraph (2), an Eligible Entity that receives an allocation of program funds pursuant to Section 50515.08 shall submit a report, in the form and manner prescribed by the department, to be made publicly available on its internet website, by April 1 of the year following the receipt of those funds, and annually thereafter until those funds are expended, that includes, but is not limited to, the following information:

(A) The status of the proposed uses and expenditures listed in the Eligible Entity's application for funding and the corresponding impact, including, but not limited to, housing units accelerated and reductions in per capita vehicle miles traveled.

(B) All status and impact reports shall be categorized based on the Eligible Uses specified in Section 50515.08.

(2) The department may request additional information, as needed, to meet other applicable reporting or audit requirements.

(b) The department shall maintain records of the following and provide that information publicly on its internet website:

(1) The name of each applicant for program funds and the status of that entity's application.

(2) The number of applications for program funding received by the department.

(3) The information described in subdivision (a) for each recipient of program funds.

(c) A recipient of funds under this program shall post, make available, and update, as appropriate on its internet website, land use maps and vehicle miles traveled generation maps produced in the development of its adopted Sustainable Communities Strategies.

(d) A recipient of funds under this program shall collaborate and share progress, templates, and best practices with the department and fellow recipients in implementation of funds. To the greatest extent practicable, adjacent eligible entities shall coordinate in the development of applications, consider potential for joint activities, and seek to coordinate housing and transportation planning across regions.

(e)

(1) A recipient of funds under the program shall obligate those funds no later than June 30, 2024, and expend those funds no later than June 30, ~~2024~~. 2026.

(2) No later than June 30, ~~2025~~, 2026, each Eligible Entity that receives an allocation of funds pursuant to Section 50515.08 shall submit a final report on the use of those funds to the department, in the form and manner prescribed by the department. The report required by this paragraph shall include an evaluation of actions taken in support of the entity's proposed uses of those funds, as specified in the entity's application, including, but not limited to, housing units accelerated and per capita reductions in vehicle miles traveled.

(f) The department may monitor expenditures and activities of an applicant, as the department deems necessary, to ensure compliance with program requirements.

(g) The department may, as it deems appropriate or necessary, request the repayment of funds from an applicant, or pursue any other remedies available to it by law for failure to comply with program requirements.

(h) The department, in collaboration with the Office of Planning and Research, the Strategic Growth Council, and the State Air Resources Board, may implement the program through the issuance of forms, guidelines, application materials, funding allocation methodologies, and one or more notices of funding availability, as the department deems necessary, to exercise the powers and perform the duties conferred on it by this chapter. Any forms, guidelines, application materials, funding allocation methodologies, or notices of funding availability prepared or adopted pursuant to this section are exempt from the rulemaking provisions of the Administrative Procedure Act (Chapter 3.5 (commencing with Section 11340) of Part 1 of Division 3 of Title 2 of the Government Code).

(i) The department's decision to approve or deny an application or request for funding pursuant to the program, and its determination of the amount of funding to be provided or request for repayment or other remedies for failure to comply with program requirements, shall be final.

Attachment 2: Definitions

All terms not defined below shall, unless their context suggests otherwise, be interpreted in accordance with the meanings of terms described in Chapter 3.15 of Health and Safety Code sections 50515.06 to 50515.10.

1. “Accelerating Housing Production” or “Accelerating Infill Development, Including Housing” means planning, infrastructure, and other investment and actions that improve the affordability, timing, cost, feasibility, approval, and amount of housing development.
2. “Affirmatively Furthering Fair Housing”, pursuant to Government Code section 8899.50 means taking meaningful actions, in addition to combating discrimination, that overcome patterns of segregation and foster inclusive communities free from barriers that restrict access to opportunity based on protected characteristics. Specifically, Affirmatively Furthering Fair Housing means taking meaningful actions that, taken together, address significant disparities in housing needs and in access to opportunity, replacing segregated living patterns with truly integrated and balanced living patterns, transforming racially and ethnically concentrated areas of poverty into areas of opportunity, and fostering and maintaining compliance with civil rights and fair housing laws.
3. “Affordable Housing” means Housing that is affordable (generally 30 percent of gross income) to Lower- and Moderate-income households.
4. “Areas of High Segregation and Poverty” means areas that meet consistent standards for both poverty (30 percent of the population below the federal poverty line) and racial segregation (overrepresentation of people of color relative to the county).
5. “Council of Governments” or “COG” means a single or multicounty council created by a joint powers agreement pursuant to Chapter 5 (commencing with section 6500) of Division 7 of Title 1 of the Government Code that is responsible for allocating regional housing needs pursuant to sections 65584, 65584.04, and 65584.05 of the Government Code.
6. “Department” means the California Department of Housing and Community Development.
7. “Disadvantaged and Historically Underserved Communities” includes concentrated areas of poverty; Areas of High Segregation and Poverty and areas of low to moderate access to opportunity ([TCAC/HCD Opportunity Area Maps](#)); Communities of Concern, Disadvantaged Communities (SB 535 [Disadvantaged Communities](#) Map), and Low-Income Communities pursuant to Senate Bill 535 (De León, Chapter 830, Statutes of 2012) and Assembly Bill 1550 (Gomez, Chapter 369, Statutes of 2016); areas of high Housing cost burdens; areas with high vulnerability of displacement; areas related to Tribal Entities; and other areas experiencing disproportionate impacts of California’s Housing and climate crisis. Applicants may propose alternative definitions to Disadvantaged and Historically Underserved Communities in consultation with the Department and the State Collaborative Partners.
8. “Eligible Entity” means any entity that is eligible to be a recipient of these funds either

through direct allocation from the Department or through a suballocation from a recipient. For the purposes of this chapter, an Eligible Entity can include a metropolitan planning organization (MPO), a single or multicounty Council of Governments (COG), a regional transportation planning agency (RTPA), a county, a city, a city and county, a transit agency or district, a county transportation agency, or a Tribal Entity.

9. “Housing” means any development that includes a house, an apartment, a mobilehome, manufactured home, or trailer, a group of rooms, or a single room that is occupied as separate living quarters, or, if vacant, is intended for occupancy as separate living quarters. Separate living quarters are those in which the occupants live separately from any other individuals in the building, and which have a direct access from the outside of the building or through a common hall.

Note: accessory dwelling units (ADU) and junior accessory dwelling units (JADU) pursuant to Government Code sections 65852.2 and 65852.22 meet the definition above.

10. “Housing Element” or “Element” means the Housing Element of a community’s General Plan, as required pursuant to subdivision (c) of section 65302 of the Government Code and prepared in accordance with Article 10.6(commencing with section 65580) of Chapter 3 of Division 1 of Title 7 of the Government Code.

11. “Housing Trust Fund” means a Local or Regional Housing Trust Fund that is required to be a public, joint public and private, or charitable nonprofit organization organized under Section 501(c)(3) of the Internal Revenue Code, which was established by legislation, ordinance, resolution (including nonprofit articles of incorporation), or a public-private partnership organized to receive specific public, or public and private, revenue to address local or regional Housing needs.

12. “Infill”, for the purposes of the REAP 2.0 Program, means areas where all the following apply: (1) the area consists of unused or underutilized lands (2) within existing development patterns (3) that is or will be accessible to destinations and daily services by transit, walking, or bicycling and located in either:

- a. An urban center, urban corridor, or area with transit-supportive densities, or
- b. An established community that meets all the following criteria:
 - i. The area consists or previously consisted of qualified urban uses
 - ii. The area is predominantly surrounded (approximately 75 percent of the perimeter) by parcels that are developed or previously developed with qualified urban uses. In counting this, perimeters bordering navigable bodies of water and improved parks shall not be included, and
 - iii. No parcel within or adjoining the area is classified as agricultural or natural and working lands.

- c. Under unique circumstances, applicants may propose an alternative definition of “Infill” subject to approval by the Department and State Collaborative Partners.

13. “Jurisdiction” means:

- a. any city, including a charter city,
- b. county, including a charter county, or
- c. city and county, including a charter city and county.

14. “Lower-income Households” as defined by Section 50079.5 the California Health and Safety Code means individual households with either 1) household incomes at or below 80 percent of the statewide median income, or 2) household incomes at or below the threshold designated as low-income by Department of Housing and Community Development’s State Income Limits adopted pursuant to Health and Safety Code Section 50093.
15. “Moderate-income Households”, means individual households with either 1) household incomes between 80 and 120 percent of the statewide median income, or 2) household incomes at or below the threshold designated as moderate-income by Department of Housing and Community Development’s State Income Limits adopted pursuant to Health and Safety Code Section 50093.
16. “Multimodal Communities” are those which are served by a variety of travel options that accommodate a variety of transportation modes for the public to access daily destinations. Multimodal options can include, but are not limited to, complete street improvements for active transportation, improving access to transit, and creating high-quality transit stops.
17. “Policy Outcomes” means measures that are a direct result of and demonstrate efficacy of the REAP 2.0 Program.
18. “Program” means the Regional Early Action Planning Grants of 2021 established pursuant to this chapter.
19. “Proposed Use” means an eligible use, combination of eligible uses, or a combination of eligible uses with non-REAP 2.0 planning or implementation efforts that demonstrate a reasonable relationship to each other. It does not mean subcomponents, task, or sub-task of an eligible use.
20. “Regional Housing Needs Assessment” means the existing and projected need for Housing for each region, as determined by the Department pursuant to Section 65584.01 of the Government Code.”
21. “State Collaborative Partners” means the California Air Resources Board (CARB), Governor’s Office of Planning and Research (OPR) and California Strategic Growth Council (SGC).
22. “State Planning Priorities” means priorities that are intended to promote Infill Development and equity, protect environmental and agricultural resources, and encourage efficient development patterns outside of Infill areas pursuant to Government Code section 65041.1.
23. “Transformative Planning and Implementation Activities” means Housing, planning, infrastructure investments supporting Infill development that facilitates Housing supply, choice, and affordability, and other actions that enable meeting Housing goals that also result in Vehicle Miles Traveled Per Capita reductions, including accelerating Infill Development, supporting residents through realizing Multimodal Communities, shifting

travel behavior through reducing driving, and increasing transit ridership. Transformative Planning and Implementation Activities are meant to address these goals together and to lead to changes in land use patterns and behaviors. Transformative Planning and Implementation Activities shall be in furtherance of all of the following:

- a. State Planning Priorities, as described in Section 65041.1 of the Government Code.
- b. Affirmatively Furthering Fair Housing pursuant to Section 8899.50 of the Government Code.
- c. Facilitating Housing Element compliance for the sixth cycle Regional Housing Needs Assessment pursuant to Section 65302 of the Government Code prepared in accordance with Article 10.6 (commencing with Section 65580) of Chapter 3 of Division 1 of Title 7 of the Government Code.
- d. A region's sustainable community strategy, as described in paragraph (2) of subdivision (b) of Section 65080 of the Government Code, or alternative planning strategy, as described in paragraph (2) of subdivision (b) of Section 65080 of the Government Code, as applicable.

24. "Tribal Entity" means an entity that meets at least one of the following definitions:
 - a. An Entity formed by the duly constituted governing body of a California Native American Tribe in Chapter 905 of the Statutes of 2004, which means a Native American tribe located in California that is on the contact list maintained by the Native American Heritage Commission, as described in Section 21073 of the Public Resources Code
 - b. A Tribally Designated Housing Entity as defined in Section 4103(22) of Title 25 of the United States Code and Section 50104.6.5,
 - c. An Indian Tribe as defined in Section 4103(13)(B) of Title 25 of the United States Code and Section 50104.6.5.
25. "Tribal Lands" means Tribal trust land, as defined in 18 USC section 1151, fee land within Reservation or Rancheria, fee land outside Reservation or Rancheria, and leasehold estate outside of Reservation or Rancheria.
26. "Vehicle Miles Traveled" means metric to evaluate the total miles of vehicles traveling on a roadway over a period of time.
27. "Vehicle Miles Traveled Per Capita" means the number of Vehicle Miles Traveled, per person.

Attachment 3: Award Amounts by Eligible Applicant

Geographic category	Counties	Maximum amount available	Population
(1) Eastern Slope		\$672,144.65	33,323
-	Alpine		
-	Inyo		
-	Mono		
(2) Far North		\$2,060,042.77	102,131
-	Lassen		
-	Modoc		
-	Plumas		
-	Sierra		
-	Siskiyou		
(3) Motherlode		\$5,132,972.02	254,478
-	Amador		
-	Calaveras		
-	Mariposa		
-	Nevada		
-	Tuolumne		
(4) North Coast		\$6,603,327.52	327,374
-	Del Norte		
-	Humboldt		
-	Lake		
-	Mendocino		
-	Trinity		
(5) Upper Sacramento Valley		\$2,406,513.04	119,308
	Colusa		
	Glenn		
	Tehama		
(6) Tribal Entities	All CA Counties	\$7,500,000.00	
Residual Set Aside		\$5,625,000.00	
Total		\$30,000,000.00	

Attachment 4: Applying Units of Measurement

Applicants must provide sufficient evidence that demonstrates a nexus between a Proposed Use and meeting all REAP 2.0 goals and objectives. This table is meant to illustrate one example of how applicants might demonstrate this nexus and measure Policy Outcomes

Step 1: Meeting all REAP 2.0 Program Threshold Requirements			
Step 2: Achieving All Program Objectives	<i>Locational Considerations</i>	<i>Measurable Outcomes</i> The Proposed Use can be measured by, but is not limited to:	<i>A Sample of Potential Uses</i>
Accelerating Infill Development that facilitates Housing supply, choice, and affordability	- Infill areas	<ul style="list-style-type: none"> - Number of Housing units (total, type, affordable, and per acre), - Capital investments to support Housing development, - Mix of Housing unit types or sizes, - Increasing land use intensities, - Count of sites developable for future Housing, and/or - Number of new Housing units supported or provided by the Proposed Use 	<ul style="list-style-type: none"> - Affordable Housing development programs - Affordable Housing predevelopment costs - Planning activities that lead to increased residential and/or mixed-use zoned capacity in areas identified as infill - Program-level environmental - Upgrading infrastructure for sewer, water, and dry utility systems
Affirmatively Furthering Fair Housing (AFFH)	-Higher Resource Communities or Areas	<ul style="list-style-type: none"> - Number of new Affordable Housing units, and/or - Number of existing Housing units continued to be made available and affordable, - Zoning, permit streamlining, fees, incentives, and other approaches to increase Housing choices and affordability, - Increase accessible number of units above state law - Increase in rate of Housing Choice Voucher usage in high opportunity census tracts, 	<ul style="list-style-type: none"> - Housing mobility strategies, - Affordable Housing unit production, - Reductions to barriers to higher density Housing, buildings with 4 or more units, and accessibility, - Outreach strategies to address local opposition to Proposed Use

	<ul style="list-style-type: none"> - Disadvantaged and Historically Underserved Communities 	<ul style="list-style-type: none"> - Number of new Affordable Housing units, and/or - Number of existing Housing units continued to be made available and affordable, - Zoning, permit streamlining, fees, incentives, and other approaches to increase Housing choices and affordability, - Increase accessible number of units above state law - New or enhanced public services and community assets such as parks, schools, social service programs, active transportation, infrastructure, and other community amenities, and/or - Increased access to public services, - Housing-supportive infrastructure services in areas of concentrated poverty or similar areas 	<ul style="list-style-type: none"> - Affordable Housing preservation, - Anti-displacement protections, - Expanded Housing options, - Housing-supportive infrastructure
<p>Reducing Vehicle Miles Traveled</p>	<ul style="list-style-type: none"> - Infill areas 	<ul style="list-style-type: none"> - Estimate for VMT reduced per capita - Number of distinct land uses within the site, - Number of distinct land uses around the site, - Number of surrounding connections, - Mix of Housing unit types or sizes, - New or enhanced transit services, - Increased transit frequencies and/or ridership, - New pedestrian or bicycle pathways, and/or - Limited off-street parking 	<p>Land use planning, policies, or investment strategies that result in increasing:</p> <ul style="list-style-type: none"> - Population and employment densities, - Land use mix, - Street network connectivity, - Linkages and pathways with active transportation infrastructure, - Accessibility between destinations, and/or - Contiguousness of land uses and transportation networks <p>Transportation planning, policies, and investment strategies:</p> <ul style="list-style-type: none"> - Increased transit services and access, - Building at walkable community scales, - Enhanced pedestrian and bicycling safety measures, - Protected pedestrian and bicycling amenities, and/or - Multimodal infrastructure connections with multimodal-mobility transportation systems

Integrated Climate Adaptation and Resiliency Program

Adaptation Planning Grant Program Round 1 DRAFT Program Guidelines

FY 2022 - 2023



Table of Contents

Table of Contents.....	2
I. Introduction.....	3
A. Background	3
B. Program Summary	5
C. Program Goals.....	5
D. Program Timeline	6
II: Planning Grant Program	7
A. Eligible Applicants	7
B. Examples of Eligible and Ineligible Planning Activities	9
C. Threshold Criteria	12
D. Application.....	13
E. Scoring Criteria.....	16
F. Program Elements.....	20
G. Submission of Proposals	24
H. Tips for a Successful Adaptation Planning Grant.....	25
III. Grant Administration	27
A. Funding Availability	27
B. Errors.....	33
C. Modification or Withdrawal of Proposal.....	33
D. Immaterial Defect	34
E. Responsibilities and Grant Agreement.....	34
F. No Agreement Until Signed or Approved.....	34
IV: Appendix	35
Appendix A: Application Checklist.....	35
Appendix B: Glossary and Acronyms.....	35
Appendix C: Climate Adaptation and Resilience Resources	40
Appendix D: GRanTS	42
Appendix E: Application.....	43
Appendix F: Work Plan Template.....	44
Appendix G: Budget Template	45
Appendix H: State Planning Priorities	45
Appendix I: California Climate Adaptation Strategy Priorities	46

I. Introduction

A. Background

The Governor's Office of Planning and Research (OPR), through the Integrated Climate Adaptation and Resiliency Program (ICARP), received \$25M to fund the Adaptation Planning Grant Program (APGP) through the State's 2021-2022 Budget [Senate Bill (SB) 170 (Skinner, 2021)], which funded ambitious measures to build climate adaptation and resilience through planning, research, capacity building, restoration, and sustainable infrastructure. The APGP advances ICARP's statutory mission to develop a cohesive, equitable, and integrated response to the impacts of climate change through direct funding support for local, regional, and tribal adaptation planning across California [SB 246 (Wieckowski, 2015)]. The APGP program will fund integrated climate planning activities throughout the state.

Current state law requires that considerations for climate change and associated risk be integrated into General Plans, Climate Adaptation Plans, and Local Coastal Programs, with further incentives to integrate adaptation in Local and Multi-Jurisdictional Hazard Mitigation Plans (LHMP/MJHMP). These plans guide the development of long-term community vision, infrastructure investments, community health and safety, emergency response and hazard mitigation, as well as economic development.

General Plans: SB 379 (Jackson, 2015), which amended Government Code (GC) § 65302(g)(4), requires that local governments address climate change adaptation and resilience in the safety element of all general plans in California. Specifically, "upon the next revision of a local hazard mitigation plan, adopted in accordance with the Federal Disaster Mitigation Act of 2000 (Public Law 106-390), on or after January 1, 2017, or, if a local jurisdiction has not adopted an LHMP, beginning on or before January 1, 2022, the safety element shall be reviewed and updated as necessary to address climate adaptation and resiliency strategies applicable to the city or county." GC § 65302(g)(4) requires that the following be included in the preparation of the climate adaptation and resiliency strategy:

- A vulnerability assessment that identifies the risks that climate change poses to the local jurisdiction and the geographic areas at risk from climate change impacts, including, but not limited to, an assessment of how climate change may affect the risks associated with existing natural hazards that must be addressed in the safety element.
- Information that may be available from federal, state, regional, and local agencies that will assist in developing the vulnerability assessment and the adaptation policies and strategies required.

- A set of adaptation and resilience goals, policies, and objectives based on the information specified in the vulnerability assessment, for the protection of the community.
- A set of feasible implementation measures designed to carry out the goals, policies, and objectives identified.

Climate Adaptation Plans: SB 1035 (Jackson, 2018) further amended [GC § 65302\(g\)\(6\)](#) to require that local agencies update the climate adaptation portion of the safety element at least every eight years to identify “new information relating to flood and fire hazards and climate adaptation and resiliency strategies applicable to the city or county that was not available during the previous revision of the safety element.” This update is triggered upon either the next LHMP update or the next Housing Element update, at the jurisdiction’s discretion, but not less frequently than every eight years.

Local Coastal Programs (LCPs): LCPs carry out the Coastal Act at the local level through land use and implementation strategies and provide the legal standard for new and existing development and coastal resource protection. Required Elements of LCPs include (California Coastal Act, P.R.C. Division 20 § 30000):

- Policies to implement the Coastal Act at the local level.
- Minimizing risks and maximizing coastal resource protection (public access, recreation, marine, and terrestrial resources, coastal-dependent development), including consideration of sea level rise.
- Public outreach and participation for development, updates, and amendments.
- Consistency with the Coastal Act

Local Hazard Mitigation Plans (LHMPs): As outlined in U.S. Code title 42, section 5165 and Code of Federal Regulations Title 44, section 201.6, to receive FEMA mitigation project assistance, local governments must have an LHMP that was reviewed by the State Mitigation Officer and then approved by FEMA, before November 1, 2004. LHMPs must be revised, reviewed, and approved every five years. Federal rules direct state and local governments to develop comprehensive and integrated plans that are coordinated through appropriate state, local, and regional agencies, as well as non-governmental interest groups. Moreover, state and local governments are encouraged to consolidate the planning requirements for different mitigation plans and programs to the extent feasible and practicable.

Although the LHMP and the general plan safety element are not intended to be identical documents, State law increasingly incentivizes the integration of these plans. For example, AB 2140 (Hancock, 2006) added GC Sections 8685.9 and 65302.6 to allow (but not

require) a county or city to adopt and/or incorporate by reference its current, FEMA-approved LHMP into the general plan safety element by providing a disaster mitigation funding incentive that authorizes the state to use available California Disaster Assistance Act (Cal. Code of Regulations, title 19, Chapter 6.) funds to cover local shares of the 25% non-federal portion of grant-funded post-disaster projects.

Currently, OPR provides guidance and technical assistance to support local and regional climate adaptation and resilience planning, including through the [OPR General Plan Guidelines](#), [Cal-Adapt Enterprise](#), the ICARP “[Defining Vulnerable Communities in the Context of Climate Adaptation](#)” resource guide, and the [State Adaptation Clearinghouse](#).

B. Program Summary

ICARP administers the APGP and received \$25M in Fiscal Year (FY) 2021-2022 to implement the program through the provision of grants and staff support. The APGP Grant Guidelines include relevant information for potential applicants, including the components and criteria that should be submitted in an application. Applications can request between \$25,000 and \$600,000 in total state funding for planning projects spanning a twelve- to thirty-month period.

The program will be administered in three rounds. Below is the anticipated funding available for each round:

- Round 1: \$6,600,000
- Round 2: \$6,600,000
- Round 3: \$6,600,000

C. Program Goals

The APGP provides funding to help fill planning needs, provides communities the resources to identify climate resilience priorities, and supports the development of climate resilient projects across the state.

The key priorities of ICARP’s APGP are the following:

- **Help communities plan for and respond to multiple climate risks** by supporting an all-risk approach to adaptation planning. These grants allow communities to conduct integrated planning activities. As California experiences accelerated impacts of climate change, many communities are faced with planning for and responding to

cascading and compound impacts (e.g., flooding and landslides following wildfires, or riverine flood and sea level rise).

- **Support equitable outcomes** and wide geographic and economic diversity in applicants.
- **Support much-needed integrated infrastructure planning to achieve community resilience.** The program provides flexible funding to meet multi-sector/issue planning needs that intersect with climate risks, including but not limited to land use, transportation, housing, natural resource management, public infrastructure, and hazard mitigation issues.
- **Build community planning and capacity** by supporting peer-to-peer learning, information sharing, and publishing replicable case studies in the State Adaptation Clearinghouse.

D. Program Timeline

The proposed timeline below is subject to change. The most up-to-date timeline can be found at <https://opr.ca.gov/planning/icarp/grants/adaptation-planning-grant.html>

Milestones	Dates
Guideline Public Comment Period	September 28, 2022 – October 28, 2022
Solicitation Release	November 7, 2022
Technical Assistance Application Webinars	November 7 – December 16, 2022
Deadline for submitting Technical Assistance Questions by 5:00 p.m.	November 23, 2022
Deadline for Submitting Applications by 5:00 p.m.	December 16, 2022
Anticipated Notice of Recommended Awards Posting Date	January – February 2023
Anticipated Start Date	April 1, 2023
Program TA Workshop Suite – Series 1	Q3-Q4, 2023
Program TA Workshop Suite – Series 2	Q3-Q4, 2024
Program TA Workshop Suite – Series 3	Q2-Q3, 2025
Anticipated End Date	September 30, 2025
Invoice Deadline	June 30, 2026

II: Planning Grant Program

A. Eligible Applicants

Lead Applicants

Eligible applicants may include, but are not limited to:

- **Local Public Entities**, including cities, counties, Metropolitan Planning Organizations (MPOs), Joint Powers Authorities (JPAs), Regional Transportation Planning Agencies (RTPAs), and Councils of Governments (COGs). Public entities may also include California institutions of higher education, districts, public authorities, public agencies, political subdivisions, and public corporations ([California GC § 811.2](#)). *All public entities mentioned above applying for projects targeted at benefiting [vulnerable communities](#) in their constituencies should partner with at least one community-based organization.*
- **California Native American Tribes**, including federally and non-federally recognized tribes or tribal-serving organizations
- **Disadvantaged Unincorporated Communities (DUCs)** are encouraged to apply. A DUC is defined as an inhabited and unincorporated community that includes 10 or more dwelling units in proximity or where 12 or more registered voters reside and have an annual median household income that is 80 percent or less of the statewide median housing income (SB 244 [Wolk, 2011]).
- **Community-Based Organizations**, including, but not limited to 501(c)(3) nonprofit organizations, non-governmental organizations, philanthropic organizations, foundations, and other organizations with a history of representing vulnerable communities. Such organizations need not be 501(c)(3) organizations but should be legal entities authorized and empowered to enter contracts and hold funds. *Community-based organizations should partner with a local public entity as listed above.*

For-profit entities are *not* eligible to apply as lead applicants or fiscal agents but can be subcontracted to provide research or other services.

Co-Applicants

There should be a minimum of one (1) co-applicant in addition to the lead applicant. More than one (1) co-applicant is encouraged. Priority in scoring will be given to applications that can demonstrate strong, diverse, and multistakeholder partnerships, or plan to establish a partnership. See community partnership for more detail.

While applicants are strongly encouraged to include robust, diverse, multi-stakeholder partnerships, this is not always possible for communities. In such instances, the applicant

should explain why partnership is not feasible at the time of application and/or outline in their application a plan to engage with and build partnership opportunities.

Collectively, “lead applicants” and “co-applicants” are referred to as “applicants”.

Public Entity Support

Either the lead applicant or one of the co-applicants should be a public entity. If public entity support is not feasible applicants are required to submit a justification to explain why.

Community Partnership

Priority in scoring will be given to applications that can demonstrate strong, diverse, multi-stakeholder partnerships, or plans to establish a such partnerships, in their planning approach. Strong, diverse, and multi-stakeholder partnerships will be comprised of partner entities that bring unique strengths and approaches with a proven track record in serving communities in those ways. Diverse partnerships will represent, but are not limited to, community-based organizations, disadvantaged communities, educational institutions, businesses, and other stakeholder groups. Successful projects will demonstrate meaningful, actionable internal and external collaboration that reflects a strong commitment to the proposed planning efforts from the applicant and partner organization(s) and will be evaluated accordingly. Applicants should also submit an explanation of the partnership structure and roles and responsibilities of each partner in the narrative section of the application.

If partnership is not feasible, applicants should submit an explanation as to why partnership is not feasible and/or plans to establish a partnership. Community partnership plans should meaningfully include key stakeholders and other potential partners early, using proven methods of community engagement such as participatory budgeting or the creation of an advisory board.

The community partnership plan must describe, at a minimum:

1. Key stakeholders
2. Recent history of engagement with stakeholders, including stakeholder involvement in any planning or adaptation planning activities.
3. Process used to identify the needs of stakeholders during the proposal development phase.

If California Native American tribes or California tribal communities are included as lead applicants or co-applicants, tribes’ sovereign status should be respected and upheld through the development of the partnership. The partnership agreement should additionally outline measures that will be taken to protect the confidentiality of tribal data and traditional ecological knowledge collected or shared as part of the grant activities.

Applicants cannot partner with or submit letters of support from a California state agency or department.

Consistency with Existing Local, Regional, or Statewide Plans

Applicants should demonstrate that proposals are consistent with relevant local or regional plans such as general plans, local hazard mitigation plans, climate action plans, tribally led and created plans, designations, zoning, building intensity, and density requirements, design guidelines, and applicable goals, policies, and programs. An applicant should demonstrate consistency by describing the proposal's consistency with all relevant plans as described above through the application narrative. Note that planning proposals may also include efforts to revise land use plans consistent with the jurisdiction's goals and policies.

B. Examples of Eligible and Ineligible Planning Activities

Eligible Activities

The following examples of eligible adaptation planning activities derive from feedback provided throughout the 2022 Adaptation Planning Grant Program's Listening Sessions and are structured around the [California Adaptation Planning Guide](#) (2020), which outlines a step-by-step process broken into four planning phases that communities can use to plan for climate change. The guide is designed to be flexible and responsive to community needs and includes summaries of statewide guidance, resources, examples, and tools throughout each phase. Additionally, equity and community engagement are integrated throughout all phases and should be considered for all proposed activities.

Activities eligible for reimbursement must fit into one or more of the four phases included below, as defined by the California Adaptation Planning Guide.

While the following eligible activities are outlined in phases, eligible projects can occur at any stage of this planning framework.

PHASE 1: EXPLORE, DEFINE, AND INITIATE

- Identification of goals, objectives, and scope of work for an adaptation planning activity or set of activities through community visioning and engagement activities.
- Development of educational resources, training, and workshops for decision-makers, planners, and community members to provide the knowledge and resources necessary for preparing and/or contributing to a useful and meaningful planning product or suite of products.
- Design or enhancement of community outreach and engagement approach that results in the innovative and meaningful program(s) and/or practice(s) built upon the input and expertise of diverse stakeholders, including public entity staff, community-based organizations, workforce development boards, and overburdened individuals and groups.
- Mobilizing volunteer efforts, CalVolunteers programs, or other community service programs in support of other planning activities.

- Creation or enhancement of collaboratives, working groups, and advisory bodies to build community capacity for participating in an adaptation planning activity or set of activities.
- Identification of goals, objectives, and scope of work for a hazard mitigation planning activity, Local Hazard Mitigation Plan (LHMP), or set of activities through community visioning and engagement activities.
- Identification of a federal climate resilient infrastructure funding program to apply for. Examples include but are not limited to FEMA's Hazard Mitigation Assistance Program (HMGP), Building Resilient Infrastructure and Communities (BRIC), Flood Mitigation Assistance (FMA), Fire Management Assistance Grant (FMAG), and HUD's Community Development Block Grant Mitigation (CDBG-MIT) program.
- Creation or enhancement of collaboratives, working groups, and public-private partnerships to build community capacity for participating in a hazard mitigation planning activity or set of activities through community visioning and engagement activities.

Learn more about Phase 1 [here](#).

PHASE 2: ASSESS VULNERABILITY

- Development of a climate vulnerability assessment or suite of assessments that identify and characterize the climate hazards and other climate effects a community and/or place faces. This includes identification of exposure and sensitivity to climate hazards, assessment of potential impact and adaptive capacity, and then identification of vulnerability to climate impacts. If a public entity is a lead applicant, the applicant should review all requirements implemented by SB 379 and SB 1035 (chaptered at GC 65302(g)(4)) to ensure compliance with these statutes.
- Development of a risk assessment that includes information on previous occurrences of hazard events and the probability of future hazard events, and an overall summary of each hazard and its impact on a community.
- Community engagement and collaboration with diverse stakeholders to identify neighborhood strengths, assets, and climate change effects (ex. participatory asset mapping, storytelling timelines, and community-based participatory research), and incorporation of these community-driven identifications into a vulnerability assessment or suite of assessments.
- Execution of studies and analyses (e.g., analysis of fiscal impacts) that inform a community's efforts to address the impacts of climate change.

Development of a FEMA-approved Benefit-Cost Analysis (BCA) to quantify the future risk reduction benefits of a hazard mitigation project. A project is considered cost-effective when the Benefit-Cost Ratio (BCR) is 1.0 or greater.

Learn more about Phase 2 [here](#).

PHASE 3: DEFINE ADAPTATION FRAMEWORK AND STRATEGIES

- Preparation, adoption, and implementation of a general plan or general plan element(s) that incorporate(s) climate risk, aligned with GC § 65302(g)(4).
- Preparation, adoption, and implementation of another plan or suite of plans that incorporate climate risk (ex. community plans, specific plans, corridor plans).
- Preparation, adoption, and implementation of climate action and/or adaptation plan.
- Preparation, adoption, and implementation of a mitigation strategy that identifies a comprehensive range of specific mitigation actions and potential projects to reduce the effects of natural hazards, with an emphasis on new and existing buildings and infrastructure.
- Community engagement to identify strategies and actions responsive to local climate risks.
- Incorporation of shared data, vision, strategies, and processes across suites of plans to promote alignment and integration.

Learn more about Phase 3 [here](#).

PHASE 4: IMPLEMENT, MONITOR, EVALUATE, AND ADJUST

- Preparation of an action plan, or funding plan to put a strategy or set of strategies into action.
- Preparation of federal implementation grant applications or other similar grant funding opportunities.
- Preparation of a Local Hazard Mitigation Plan (LHMP) to be eligible for FEMA hazard mitigation assistance funding.
- Complete application development for a federal climate resilient infrastructure or hazard mitigation funding program.
- Creation of a monitoring program to track future strategy implementation, and establishment of an accompanying evaluation process to assess how long the strategy(ies) and accompanying vulnerability assessment(s) will serve the community.
- Evaluation, update, and streamlining of various policies and codes currently enforced by local departments (e.g., public works, health and safety, fire, parks, and open space, etc.) to incorporate climate risk and resilience.
- Identifying and preparing project sites for implementation of a community adaptation strategy or set of strategies, including site identification, feasibility studies, and planning for project readiness.
- Community engagement and collaboration activities in support of any of the above.

Learn more about Phase 4 [here](#).

Ineligible Activities

Some activities, tasks, project components, etc. are not eligible under this grant program. If an application has any of the following elements, it will be disqualified.

- Implementation of construction projects, including:
 - Direct and indirect construction costs
 - Initiation documents
 - Engineering plans and design specification work
 - Capital costs or maintenance costs
- Environmental studies, plans, or documents normally required for project development under the California Environmental Quality Act (CEQA) or National Environmental Policy Act (NEPA).

C. Threshold Criteria

Applications should meet the threshold criteria below to be considered eligible for funding:

1. Fully completed application form on the Departments of Water Resources GRanTS portal. (See [Appendix D: Application](#) for template).
2. Applicant Eligibility:
 - a) Lead applicant and co-applicants are eligible organizations (see eligible applicants for details).
3. Proposed Project Description:
 - a) See application components for details.
4. Applicant labeled, structured, and stored required application documents (see application components for details):
 - a) Budgets contain sufficient detail and are accompanied by all necessary supporting documentation. Three to fifteen percent (3-15%) of the budget is allocated for evaluation; three to fifteen percent (3-15%) is allocated for peer-to-peer learning; three to fifteen percent (3-15%) is allocated to new partner development (see [Budget Template](#)).
 - b) Work plans adhere to the thirty-month anticipated end date and contain sufficient detail (see [Work Plan Template](#)).
 - c) Up to three letters of support from the community, local, and/or regional decision-makers and leaders.

D. Application

Planning grants will be evaluated and awarded through a competitive process. Applicants will submit applications electronically through the Department of Water Resources GRanTS portal with the application materials. Application portal will close at exactly 5:00 p.m. on the application deadline and no additional materials will be accepted after this point. All applications and submitted materials are subject to the Public Records Act ([GC § 6250](#)) requirements and certain information may be publicly disclosed pursuant to those requirements. ICARP will post a summary of all applications received prior to funding decisions.

Questions

During the application process, direct questions to ICARP staff through the address or contact information listed below:

Integrated Climate Adaptation and Resiliency Program (ICARP)
Governor's Office of Planning and Research
1400 Tenth Street Sacramento, California 95814

Telephone: (916) 758-0597

E-mail: icarp.grants@opr.ca.gov

Applicants may ask questions at the webinars or can submit written questions via mail or electronic mail. However, all technical questions must be received by the deadline listed in the program timeline. Non-technical questions (e.g., questions concerning format requirements or attachment instructions) may be submitted to ICARP staff at any time prior to the deadline for applying.

ICARP will respond to all technical questions with a question-and-answer (Q&A) document that will be posted on the APGP webpage and announce the release of this document through ICARP e-blasts. If an ambiguity, conflict, discrepancy, omission, or other error is discovered in the Q&A at any time prior to the submission deadline, the applicant may notify ICARP staff in writing, via email, or phone call, and request modification or clarification of the solicitation. ICARP, at its discretion, may provide modifications or clarifications either by an addendum to the solicitation or by written notice to all parties who requested the solicitation. At its discretion, ICARP may re-open the question/answer period to provide all applicants the opportunity to seek any further clarification required. Any verbal communication with ICARP staff concerning this solicitation is not binding on the State and will in no way alter a specification, term, or condition of the solicitation. Therefore, all communication should be directed in writing to assigned ICARP staff using the contact information above.

Application Review Process

OPR APGP staff will first evaluate applications to ensure that they are both eligible and complete. The staff and an interagency review panel will evaluate applications using the

scoring criteria below. Applicants will receive a single score out of 100 points. APGP staff will recommend awards based on these scores.

Consideration of Vulnerable Communities

Vulnerable communities experience heightened risk and increased sensitivity to climate change and have less capacity and fewer resources to cope with, adapt to, or recover from climate impacts. These disproportionate effects are caused by physical (built and environmental), social, political, and/or economic factors (s), which are exacerbated by climate impacts. These factors include, but are not limited to, race, class, sexual orientation and identification, national origin, and income inequality. For more information, please see the [Defining Vulnerable Communities in the Context of Climate Adaptation](#) resource found on the [Adaptation Clearinghouse website](#).

OPR will consider whether an applicant is located in or represents a vulnerable community, including rural communities and tribal lands, in reviewing grant applications and will prioritize funding applications from those communities.

OPR recognizes that natural and working lands are a critical yet currently vulnerable sector in the climate adaptation and resilience landscape. The preservation and protection of rural, working lands are critical priorities for California.

Furthermore, the APGP recognizes the critical role that tribes play in transforming the State's climate adaptation potential and respects the sovereignty of California Native American tribes and their decision on how they engage with the program. The APGP team is working to ensure funds are accessible and can support tribal-led climate adaptation and resilience projects.

Application Components

Below is a summary of the application components to be completed in the GRanTS portal:

ELIGIBILITY

- Documentation that the application meets all eligibility requirements described in the Eligible Applicants and Examples of Eligible Activities sections.

PROJECT DESCRIPTION

- Description of how the project vision, goals, and objectives advance an integrated approach to climate adaptation.
- Description of how the project will identify, prioritize, and address an unmet planning need.
- Description of how the project will lead to multiple benefits across sectors and resilience across multiple climate stressors.
- Description of how the project will bolster the adaptive capacity of the community.
- Description of a community partnership between two or more parties that outlines the responsibilities of each of the parties as well as the long-term goals of the collaboration.

- *If the partnership is not already established, the applicant provides a detailed plan for the future partnership or an explanation as to why a partnership is not feasible.*
- Description of how the applicants' organizational capacity, including administrative experience and programmatic expertise, will enable them to complete the project.

ADDITIONAL CRITERIA

- Description of how the proposed project is consistent with the [State's Planning Priorities](#), [State Hazard Mitigation Plan](#), and/or the [2021 California Climate Adaptation Strategy's priorities](#), or other sector and climate impact-specific statewide plans.
- List of state, regional, tribal, and local plans, policies, or programs that will be addressed by the proposed project.
- Documentation of intention to utilize local and/or regional climate projections to identify climate risks and exposures, describe the impact of climate change risks and exposures on the community, and identify and prioritize climate adaptation measures and objectives that address such impacts (See [Appendix C](#) for additional guidance and resources).

ADDITIONAL DOCUMENTATION

- Budgets contain sufficient detail, broken down by task and line item, and are accompanied by all necessary supporting justifications. Three to fifteen percent (3-15%) of the budget is allocated for evaluation, three to fifteen percent (3-15%) is allocated for peer-to-peer learning, three to fifteen percent (3-15%) is allocated to new partner development.
- Work plans adhere to the thirty-month anticipated end date and contain clear timelines, discrete tasks, and detailed deliverables.
- Up to three letters of support from the community, local, and/or regional decision-makers and leaders.

E. Scoring Criteria

Project Vision

10 points

Develop a vision statement that conceptualizes the collective goals, objectives, and aspirations of the proposed project. This vision statement should:

- Align with or advance an integrated approach to climate adaptation by describing the project in terms aligned with the approach to climate adaptation described in the [2017 ICARP Vision Statement](#), a resilient Californian community, and ICARP's seven adaptation principles to guide actions for achieving this vision.
- Reflect on the goals, objectives, and principles of the APGP, as outlined in [Section I.C.](#)

Communicate a concise set of desired outcomes that would result from actions taken by the applicant(s) and/or community partners to build climate adaptation and resilience through project activities.

Project Objectives

10 points

Proposed planning activities will address objectives to:

- Develop actionable plans that build and integrate climate resilience considerations in decision-making and provide multiple benefits.
- Explicitly include [vulnerable communities](#) and prioritize actions that promote equity, foster community resilience, and protect those [vulnerable communities](#).
- Protect critical green/physical infrastructure while building social infrastructure.
- Prioritize natural and green infrastructure solutions to enhance and protect natural resources, as well as urban environments.
- Take all opportunities to identify and avoid investment decisions that could lead to maladaptation, worsen the situation, or transfer the challenge from one area, sector, or social group to another.
- Base everyday planning, policy, and investment decisions on the best available science, including local and traditional knowledge, including consideration of future climate conditions out to 2050 and 2100, and beyond.
- Utilize localized climate projections to identify climate risks and exposures, describe the impact of climate change risks and exposures on the community, and identify and prioritize climate adaptation measures and objectives that address such impacts (See [Appendix C](#) for additional guidance and resources).

- Employ adaptive and flexible governance approaches by utilizing collaborative partnerships across scales (from household to regional scales) and between sectors to accelerate effective problem-solving.
 - Take immediate actions to reduce present and near future (within 20 years) climate change risks while also thinking in the long term and responding to continual changes in climate, ecology, and economics using adaptive management that incorporates regular monitoring.
 - Remain consistent with the State Planning Priorities and/or the [2021 California Climate Adaptation Strategy](#) priorities.
-

Community Need and Priorities

20 points

Applicant(s) demonstrate a process by which to identify projects based on the community need and prioritize these projects based on feasibility.

Key considerations include:

- What efforts have been made to engage the community, including vulnerable populations or organizations representing vulnerable populations, in scoping the project design and identifying community priorities prior to submission of the proposal?
- Does the project have strong community support, including, but not limited to, support from elected officials, neighborhood associations, business and civil leadership organizations, environmental advocacy, environmental justice groups, etc.?

Will the project directly and meaningfully benefit vulnerable communities, involve or build on community priorities based on a substantial public engagement process involving members of these communities, and help build or support climate leadership and resilience efforts in those communities?

Co-Benefits

10 points

Proposed planning activities should provide climate mitigation co-benefits (which can range from social equity to environmental co-benefits) by:

- Effectively incorporating nature-based solutions which can reduce a range of climate risks (e.g., drought, heat, flooding, sea-level rise, extreme precipitation/weather, wildfire, etc.) while providing co-benefits (e.g., public health and safety are enhanced while also improving environmental conditions).

- Prioritizing social services that support climate adaptation and co-benefits such as education access, poverty alleviation, economic inclusion, and food security.
- Building climate-responsive energy solutions that improve community capacity to respond to supply deficits and provide mitigation co-benefits.

Investigating innovative financing solutions to provide co-benefits of enhanced air quality, water quality, and increased water supply.

Adaptive Capacity

10 points

Adaptive capacity is the ability of humans, institutions, systems, and other organisms to adjust to potential damage, take advantage of opportunities, or respond to consequences. Vulnerable communities have less adaptive capacity to cope with, adapt, and recover from climate impacts. Adaptive capacity can be assessed by using publicly accessible tools (See *Appendix C*).

Proposals can bolster the adaptive capacity of their community by:

- Prioritizing building and/or reconfiguring infrastructure and services that enhance the adaptive capacity of the most vulnerable.
- Development-oriented projects should prioritize climate resilient development, centering the common goals to achieve multiple benefits.
- Preventing climate-related displacement and involuntary migration of vulnerable communities by developing social safety nets that support climate adaptation.

Enhance the adaptive capacity of ecological systems by preserving and restoring habitat and prioritizing green infrastructure.

Community Partnership

10 points

The community partnership structure is how the applicant, partners, and other stakeholders organize themselves, facilitate project management, and work to build network capacity.

- Partnership structure is composed of a diverse representation of residents and key stakeholders (e.g., community leaders, California Native American tribes or tribal-serving organizations, labor unions, non-profits, faith-based groups, community-based organizations, academics, economic development institutions, workforce development groups, businesses, representatives from local School District, Community College District, and others).

- The partnership agreement and letters of commitment demonstrate that members of the partnership bring unique strengths and approaches with proven track records of serving communities in those ways.
- The processes, strategies, and features that guide the functioning of the partnership structure can provide reviewers with a sense of the community partnership's commitment to equity, ability to self-govern, and the likelihood of sustaining itself beyond the grant term.

While applicants are strongly encouraged to include robust, diverse, multi-stakeholder partnerships, this is not always possible for communities. In such instances, the applicant should explain why partnership is not feasible at this time and/or outline in their application a plan to engage with and build partnership opportunities.

Organizational Capacity

10 points

Organizational capacity to implement the proposed activities above is critical to the success of the overall proposal.

- Applicants demonstrate readiness and capacity to implement the proposed work on time and within budget.
- Applicants demonstrate the experience and organizational capacity necessary to implement the APGP proposal.
- Applicants demonstrate an ability to project manage grants, coordinate amongst diverse partners, and demonstrate an ability for fiscal and project management including internal processes for financial tracking and accountability.
- Applicants demonstrate an ability to provide advanced payment to co-applicants (only if the proposal includes advanced pay as a mechanism of payment).
- Lead applicant resume demonstrates fiscal agent's expertise in gathering and reporting information on implementing the proposal.

Budget

20 points

The proposed budget narrative will accompany the proposed budget and will provide a written explanation of budget allocations, describing details and rationale for proposed expenditures. The proposed budget narrative and proposed budget should:

- Reflect the APGP objectives and align with the project vision, objectives, and activities outlined within the application and work plan.

- Provide detail adequate to understand proposed planning activities, including allocation of resources across entities within the collaborative to lead or support specific activities that reflect their strengths and experience.
- Presents reasonable tasks and deliverables, feasible financial projections, and timelines within the grant term that reflect the APGP objectives and vision.

See [Project Budget](#) for more details.

F. Program Elements

Adaptation Planning Grant Action Plan

To orient, the efforts of grantees, grantees and their partners should use the beginning of the grant term to develop an action plan that specifies key activities, identifies roles and responsibilities, and establishes timelines. Action plans should be informed by an analysis of intended outcomes, capacity-building needs, and ways to maximize the impact of activities conducted through the grant. Phase 1 of the [California Climate Adaptation Planning Guide](#) is a critical resource for developing action plans and is full of helpful budgeting tips, identifying roles, preliminary research considerations, and more.

Action plans should include, at a minimum:

- Roles and responsibilities for different members of the community partnership in achieving elements of the overall work plan.
- Additional detail on activities conducted as part of the grant term.
- Analysis that identifies the necessary additional inputs, such as data or other resources, to successfully implement and maximize the impact of activities conducted as part of the grant. This may include:
 - An analysis used to identify the strengths, barriers, assets, relationships, and resources available to the community partnership to accomplish the project work plan.
 - A review and/or analysis of existing plans, community engagement, and needs assessments to help focus areas for additional engagement.
 - An assessment of local policies to identify opportunities to facilitate implementation of community priorities.

Grantees should develop action plans in partnership with community organizations and use decision-making processes established in the governance structure detailed in the community partnership agreement. The APGP action plan should build on the activities and roles submitted as part of the work plan and community partnership components of the APGP application. The action plan will serve as a tool to guide project implementation and to hold partners accountable to one another and the community around activities and outcomes.

Evaluation Activities

Applicants will incorporate evaluation within their scope of work, allocating three to fifteen percent (3-15%) of their total project budget. By factoring evaluation into routine functions, grantees will be able to better monitor impact and assess alignment with program objectives on an ongoing basis. The purpose of this is to ensure community partnerships are meaningfully serving vulnerable communities. (See [Section H. Tips for a Successful Adaptation Planning Grant](#) for tips and resources.)

Grantee(s) will produce a project case study - collecting data, and documenting lessons learned and effective practices through this project (See case study section above and [Appendix E: Work Plan](#)). Grantee(s) will also receive support from program staff and TA providers (See [Technical Assistance](#)) to develop evaluation plans and assess progress throughout the grant term. At designated points throughout the fiscal year, the APGP staff will evaluate progress against goals and objectives, discuss new strategies to improve program outcomes, and align available funding to maximize results for the state.

In the application, applicants should provide a narrative description of how their community partnership structure will use evaluation to measure their progress towards achieving program objectives and how they intend to use the findings.

PROGRESS REPORTS

Grantees are responsible for two categories of formal progress reports over the length of the grant term –a mid-term progress report and a final progress report.

- The mid-term progress report will track the work completed during the first half of the grant term. They will include high-level questions not captured during APGP workshops, webinars, and informal meetings.
- The final progress report will report on the overall status of the grant and track the work completed during the entire grant term.

Furthermore, both categories of progress reports should be submitted to OPR and include the following:

- The members of the community partnership, including any new members.
- Populations served
- An outline of all the activities and the outcome of each activity conducted as part of the project work plan
- Project and grant development, application, and completion
- Meetings and actions were taken by the grantee(s)
- An accounting of the administration of and expenditures made by the grantee(s).
- The efficacy of climate adaptation planning is based on indicators included within the proposed evaluation plan.

- Feedback for program staff including current barriers, challenges, and opportunities.

OPR anticipates capturing this information in the tracking of indicators and metrics as a part of the project evaluation and will work with grantees to align interim evaluation findings with the progress reports. (See the [‘Evaluation’](#) section below for more detail on data collection and tracking).

RECURRING TOUCHPOINTS

In addition to providing formal progress reports, all grantees can expect to participate in regular touchpoint meetings with APGP staff. The lead applicant, as the liaison between OPR and the community partnership, will participate in more frequent check-in meetings with OPR. The grantee check-in meeting schedule will align with the invoicing frequency. Partners can expect to participate in two full collaborative check-ins each grant year.

These touchpoints are to provide a more expansive opportunity for grantees to describe their work and receive iterative feedback and guidance on draft deliverables. During each check-in meeting, APGP staff will take notes on accomplishments, challenges, and learnings to help capture emerging trends, best practices, opportunities for greater support, and success stories.

CASE STUDY

To facilitate knowledge exchange and advance community planning and capacity, at the end of the grant term applicants are responsible for submitting a narrative case study to reflect on and share project outcomes and lessons learned, how the project responds to climate change impacts, and any resources that helped along the way. Case studies will be reviewed and curated for possible inclusion in the Adaptation Clearinghouse to help support a community of practice across the state. (See [Appendix E: Work Plan](#) for more information). Grantees will receive technical assistance for support in developing case studies. (See [Program Technical Assistance](#) for more info)

New Partnerships

Applicants may set aside three to fifteen percent (3-15%) of grant funds from the budget to account for new Partners added during the grant term.

The list below provides eligible costs for using grant funds. Applicants should ensure that the costs proposed in the project budget are eligible for funding. Costs deemed ineligible in the application review process will be removed and the project’s recommended total award will be adjusted accordingly.

Technical Assistance

ICARP staff will provide technical assistance in the application development, project development, implementation, and evaluation of projects. Unfortunately, third-party technical assistance is not currently available for applicants to the APGP. In subsequent rounds of the APGP, ICARP intends to allocate additional funding to provide third-party technical assistance providers to assist with application development, implementation, and evaluation.

APPLICATION TECHNICAL ASSISTANCE WEBINAR

To support the development of competitive proposals, ICARP will hold one Technical Assistance Application Webinar to review the guidelines and answer questions from potential applicants. ICARP staff will also host two targeted, application workshops, one for rural and one for tribal communities. Participation is optional but encouraged. Attendees may participate via the internet (Zoom), or via conference call on the date, time, and location listed on the APGP webpage. The Technical Assistance Application Webinar will be recorded and made available on the APGP webpage. Additional questions may be submitted to ICARP staff via the [Application Questions](#) process outlined above.

PROGRAM TECHNICAL ASSISTANCE

All awarded grantee(s) will receive implementation technical assistance from ICARP program staff, as well as other State and Federal agencies, and other possible third-party entities throughout the grant term. Each grantee(s) will participate in regular check-in meetings with APGP staff (see recurring touchpoints above). Through these regular check-in meetings, program staff will support grantees in meeting the various administrative criteria and building connections between grantee(s) and State and Federal agencies.

Grantees will have access to workshops throughout the grant term geared towards building short-term capacity to support grant implementation and long-term technical capacity for adaptation planning. Workshops will cover a collection of topics and resources tailored to the needs of grantees during the given stage of the grant term.

Technical assistance and workshop topics include the following:

- **Peer-to-Peer Learning:** ICARP staff or partners will host quarterly peer-to-peer learning sessions. Grantees are encouraged to meet with peer jurisdictions more frequently than quarterly if helpful in advancing the work plan. Applicants should set aside three to fifteen percent (3-15%) of their total budget for peer-to-peer learning and knowledge exchange through existing networks and relationships and/or facilitated opportunities (e.g., meetings, events, roadshows, and convenings of communities of practice). Peers can range from similar groupings and organizations, such as neighboring jurisdictions, community-based organizations, and climate adaptation practitioners, to those who have not historically engaged in climate adaptation planning or practice.
- **Climate Adaptation 101: Visioning, Pre-planning, and Getting Started**
 - This topic includes introductory information about climate adaptation planning. Learn how to refine the project motivation and scope, identify necessary teams and resources, and get started with identifying climate effects and community elements. Learn about introductory best practices and explore example projects and plans.
 - Resources: California 2020 Adaptation Planning Guide and the State Adaptation Clearinghouse.
- **Introduction to Integrated Planning and Plan Alignment**

- This topic includes training on Plan Alignment, specifically resources, best practices, and frameworks for successful whole-community planning approaches and collaboration.
- Resources: ICARP Climate Resilience Plan Alignment Toolbox.
- **Climate Impacts, Vulnerability, and Risk**
 - This topic includes an introduction to understanding and working with climate change impact information and conducting climate vulnerability assessments.
 - Resources: Cal-Adapt Enterprise; ICARP Guide to Defining Vulnerable Communities; OPC Sea Level Rise Guidance; and other resources.
- **Developing Climate Adaptation Strategies and Actions**
 - This topic includes introductions to frameworks for developing, organizing, and prioritizing strategies and actions, as well as examples from around the state.
 - Resources: State Adaptation Clearinghouse, California Adaptation Planning Guide, OPR General Plan Guidelines, etc.
- **Pathways Towards Funding and Implementing Adaptation**
 - **Planning Implementation, Funding, Monitoring, and Evaluation**

This topic covers how to prepare an implementation program, including how to identify resources, track progress, and adjust over time.
 - **Navigating Federal Hazard Mitigation Assistance (HMA) Grant Funding Opportunities**
 - This topic includes information on eligibility requirements, best practices, and tips for navigating HMA funding opportunities.
 - **Navigating State Grants and Applications**

This topic includes both informational and skills-building exercises to find and navigate appropriate state funding programs and build capacity for applying for state implementation funds.

Reporting Templates and Forms

OPR will provide templates for the progress reports, work plan, budget, invoice form, and reimbursement request forms. These documents will record the project's expenditures and assess general progress on deliverables.

G. Submission of Proposals

The method of delivery for responding to these guidelines is through the Department of Water Resources' Grants Review and Tracking System (GranTS), a web-based grants application tool, available at: <https://www.water.ca.gov/Work-With-Us/Grants-And->

[Loans/GRanTS/](#). This online tool allows applicants to submit their electronic documents to OPR before the date and time specified in this solicitation. Electronic files must be in Microsoft Word XP (.pdf format) and Excel Office Suite formats. Attachments requiring signatures may be scanned and submitted in PDF format. Completed Budget Forms must be in Excel format. The system will not allow users to submit a planning application after the due date and time.

First-time users of the GRanTS platform must register as new users to access the system. Applicants will receive an email after documents have been submitted and received by the State. This email indicates that OPR has received something from the applicant and is NOT a confirmation that all submitted or required documents were received. The applicant is solely responsible for ensuring all required documents are received through the GRanTS platform. A tutorial of the system is available online, and the system will be discussed at the Technical Assistance Application Webinar, which will be recorded and made available on the OPR website.

As part of completing the Application Questionnaire (See [Appendix D: Application](#)) in the GRanTS Application system, applicants will be asked to develop a project narrative based on five specific criteria. Below is a description of each section of the submission package. Completeness in submitting all the information in each attachment will be factored into the scoring.

H. Tips for a Successful Adaptation Planning Grant

Some guidance is provided below. However, it is not intended to be all-inclusive.

- Integrate APGP Goals (See [Section C. Program Goals](#) for the complete lists of APGP Goals).
- Incorporate and align planning activities and objectives for a variety of sectors, such as transportation, housing, land use planning, public health, etc.
- Encourage broad stakeholder collaboration:
 - Some sections of the grant application may seem redundant when discussing community partnership, vulnerable communities, overall public engagement, and stakeholder involvement. Although the general public and vulnerable communities are stakeholders in any project, for application purposes, the strategy and methods for engaging these groups will be different, as described below.
 - Overall public engagement will describe the general strategy to engage the public at large.
 - Vulnerable Community engagement will explain how the project will go above and beyond business as usual to address the specific needs of climate-

- vulnerable communities and use unique methods to involve these groups in the decision-making process.
- Stakeholder engagement will explain how partner agencies, businesses, and/or non-profit community-based organizations will be involved throughout the project.
 - Review [Community Engagement Best Practices](#).
- Adopt an equitable planning framework:
 - Integrate an [Equity Checklist](#) and [Equity Resilience Indicators](#) into your workplan.
 - Consider disaster resilience and recovery by supporting planning activities that facilitate recovery in communities that suffered from the effects of catastrophic climate events.
 - Balance planning activities that advance equitable outcomes in the short term and long term– for example, public service availability to vulnerable populations, access to social services, uptake for disaster relief, while working toward physical infrastructure resilience.
 - Center community-driven climate resilience planning frameworks. [Here](#) are a few examples of community-driven climate resilience planning frameworks at work.
 - Each application should discuss how the proposed project will facilitate recovery activities that incorporate long-term climate resilience.
 - Consult with your local public entity for technical assistance before the application deadline.
 - Use the Samples and Checklists provided for the Application, Scope of Work, and Cost and Schedule.
 - Include ICARP staff as active partners in the application process.
 - Provide additional tailored letters of support and other media (i.e., diagrams, graphics, photographs) to enhance the application. If applicants do not have the time/resources to provide additional tailored letters of support, a petition signed by supporters in a simple table format that lists the supporters and specifically how supporters will benefit from the proposed project will suffice.

III. Grant Administration

A. Funding Availability

OPR will award \$6,600,000 million in FY 2022-23 to implement the program through the provision of grants, staff support, and third-party technical assistance. Grant awards will cover 30 months.

- The application submission period will begin in Fall/Winter 2022 and close by December 16, 2022.
- The minimum grant award is \$25,000.
- The maximum grant award amount is \$600,000.
- Awarded projects should be completed no later than 30 months after the start of the grant agreement. The anticipated grant agreement start date is April 1, 2023.

The period of grant fund availability spans approximately 30 months for grant project activities after the grant agreement is executed and OPR issues a Notice to Proceed. Refer to [Section D. Program Timeline](#). for details regarding the anticipated grant project start and expiration dates.

Award Amount

Applicants have the flexibility to request the amount of funding needed to carry out the work described in their proposal for the two-and-a-half-year grant term. Requests should fall within the range of \$25,000 to \$600,000.

Minimum and maximum award amounts will be determined based on the entity type of the applicant and the scope of their project. Minimum and maximum awards ranges are as follows:

ENTITY	MINIMUM AWARD AMOUNT	MAXIMUM AWARD AMOUNT
<i>Regional Government / CBOs Planning Activities</i>	\$300,000	\$500,000 (single organization); above \$600,000 to be considered for partnership applications
<i>Local Governments / CBOs Planning Activities</i>	\$150,000	\$400,000 (single organization); above \$400,000-500,000 to be considered for partnership applications)

<p><i>California Native American tribe and Community Planning Activities</i></p>	<p>\$25,000</p>	<p>\$300,000 (single organization); \$300,000-400,000 thousand to be considered for partnership applications</p>
--	-----------------	--

Funding Targets

CALIFORNIA NATIVE AMERICAN TRIBES

The APGP program intends to target two (or more) planning projects from California Native American tribes, an eligible entity having co-ownership with a California Native American tribe, or an eligible entity established by a California Native American tribe to undertake climate adaptation planning projects.

This funding target is intended to prioritize a portion of APGP funding for tribal entities and is intended to be designed with maximum flexibility to meet the needs of California Native American tribes and tribal communities in their climate adaptation processes. The APGP recognizes the critical role that tribes play in transforming the State’s climate adaptation potential and respects the sovereignty of California Native American tribes and their decision on how they engage with the program. The APGP team is working to ensure funds are accessible and can support tribal-led climate adaptation and resilience projects.

To the extent applications received are not sufficient to meet eligibility requirements, OPR reserves the right to waive these funding targets.

LIMITED WAIVERS OF SOVEREIGN IMMUNITY

Federally recognized tribes serving in the role of Lead or Co-Applicant will not be required to submit a limited waiver of sovereign immunity to OPR.

RURAL COMMUNITIES

The APGP program intends to target two (or more) planning projects from rural communities.

This funding target is set to prioritize a portion of APGP funding for rural communities because the APGP recognizes that natural and working lands are a critical yet currently under-resourced sector in the climate adaptation and resilience landscape. The preservation and protection of rural, working lands are critical priorities for California. Furthermore, rural, natural resource-dependent communities are particularly vulnerable to the effects of climate change, as they are often those most closely linked to natural ecosystems for their economic, social and environmental well-being.

To the extent applications received are not sufficient to meet eligibility requirements OPR reserves the right to waive these funding targets.

FEMA HMA FUNDING

The APGP intends to target two (or more) project applications for FEMA's Hazard Mitigation Assistance (HMA) funding programs from either Federally Recognized tribes or economically disadvantaged rural communities (EDRC) as defined by FEMA. EDRCs are identified as communities with a population of 3,000 or less, with residents having an average per capita annual income not exceeding 80 percent of the national per capita income, based on the best available data.

This funding target is intended to prioritize a portion of APGP funding for Federally Recognized tribes and EDRCs to support vulnerable communities and build capacity against climate-driven natural disasters. APGP recognizes that FEMA HMA funding can be challenging to navigate for many under-resourced communities that lack the technical expertise, partnerships, and resources to track and apply to competitive federal funding opportunities. Furthermore, federally recognized tribes and EDRCs experience a heightened risk of climate change and limited resources to cope with, adapt to, and recover from climate-related disasters.

To the extent applications received are not sufficient to meet eligibility requirements OPR reserves the right to waive these funding targets.

Project Budget

The project budget should provide detail and align with the project vision, objectives, and activities outlined within the application and work plan. A strong project budget will clearly outline proposed planning activities, including allocation of resources across co-applicants and partners to lead or support specific activities, reasonable tasks and deliverables,

It is important that the project budget reflects organizational strengths and experiences, and represents feasible financial projections within the 2.5-year grant period

Key considerations when developing a project budget:

- Number of funded partners
- Number and complexity of activities
- Consultant services and other contracting needs
- Feasibility of activities to complete within the 30-month grant period
- Community engagement and participation costs
- Evaluation costs (3-15% of total budget)
- Peer-to-Peer Learning (3-15% of total budget)
- New partnership development (3-15% of total budget)

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

- Concerns regarding the feasibility of all proposed activities within the grant term

- Removal of ineligible costs that are included in the proposal
- If funding remains after awarding the highest scoring
- Applicant, partial awards may be made to the next best-scored applicant(s)

Match Funding and Cost Sharing

Grants will be awarded at a 100% agreed grant rate for a maximum amount of \$600,000. Therefore, no match funding is required.

The APGP wishes to fund viable projects. The APGP funding may be used to provide the required match funding to release other funding or grant opportunities. If additional funding is needed in addition to the APGP funding for the project to be executed, details must be provided in the budget and work plan, including the likely timescale for securing the additional funding. Additional funding should be included and referenced in letters of support from project partners and local community organizations.

Eligible Costs

The list below provides eligible costs using grant funds. Applicants should ensure that costs proposed in the project budget are eligible for funding. Costs deemed ineligible in the application review process will be removed and the project's recommended total award will be adjusted accordingly.

- **Staff Costs:** Grant recipients, subgrantees, and their contractors' staff costs, including salary at an hourly rate, benefits, taxes, and leave. Staff may be full or part-time employees. If applicants wish to use grant funds to pay for interns, fellows, or other positions that are not on an organization's payroll, these costs should be classified in the budget as a direct cost via a consultant contract.
- **Program Meeting/Workshop Attendance:** Applicants are required to hold up to fifteen percent (15%) of their total project budget to participate in program meetings and workshops, including regular check-in meetings. Peer-to-peer learning sessions, and virtual technical assistance events.
- **Travel Costs:** Travel reimbursements should adhere to the State rates and conditions established on the CalHR website, except for "incidentals" and out-of-state travel, which will not be reimbursable under this grant.
- **Language Access:** Translation and interpretation for meetings and written materials
- **Evaluation Activities:** Costs associated with the evaluation of project activities.
- **Administrative Costs:** Costs incurred by the recipient to administer the grant, or costs incurred by subgrantees to perform the tasks necessary to fulfill the deliverables outlined in these guidelines. Administrative costs include, but are not limited to:

- Operating expenses and equipment costs not included as part of direct project costs (functions such as accounting, budgeting, audits, business services, information technology, janitorial; and rent, utilities, supplies, etc.).
- Tools, subscriptions, and software (subscriptions to tools and other software that will help increase capacity, facilitate communication, or otherwise facilitate implementation of the project such as project management software, videoconferencing technology subscriptions, and mapping software.
- Prorated general liability, workers' compensation (may be included in payroll), and automotive insurance.
- **Engagement, Outreach, Education, and Training:** Costs related to the development and administration of engagement, outreach, education, and training activities under the grant, including, but not limited to:
 - Materials developed for outreach events, training, and other grant activities
 - Access to proprietary data or research materials to conduct research, market, and feasibility studies, compiling and analyzing community needs-related information studies, and access proprietary data.
 - Facilitation of meetings
 - Marketing and advertisements
 - Participant compensation that is an exchange of payment for services rendered in the development of community work products, and appropriately documented with deliverables such as sign-in sheets or written surveys
 - Transportation stipends and provision of transportation services for community residents, such as a vanpool
 - Rental costs of equipment, facilities, or venues
 - Provision of childcare services for community residents at Collaborative sponsored events
 - Food and refreshments that are determined to be an integral part of the event. Examples of activities where it would be appropriate to approve food purchases would include a design charrette held in the evening, where the meal is consumed as part of the event and replaces a meal otherwise missed by attending the event
- **New Partnerships:** Applicants may set aside up to fifteen percent (15%) of grant funds from the budget to account for new Partners added during the grant term.

Ineligible Costs

Grant funds may not be used for the following costs and are not reimbursable:

- Costs that occur outside of the grant agreement term
- Direct lobbying
- Office furniture purchases, or other capital expenditures
- Acquisition of vehicles or shuttle programs
- Organizational membership fees
- The following costs associated with community engagement and outreach:
 - Direct cash benefits or subsidies to participants
 - Alcoholic refreshments
 - Participant incentives, such as door prizes, which are unrelated to specific community work
 - General meetings that do not specifically discuss or advance implementation of the APGP Project
- Anything listed under ineligible activities (See [Section B. Ineligible Activities](#))

Review Process and Grant Agreements

All proposals submitted for the APGP 2022 Grant Program will be reviewed by the APGP Interagency Review Panel and administrative staff, who will review applications for eligibility, content, submission of proper documentation, meeting technical criteria, overall relationship to statewide planning efforts, and compliance with state planning requirements.

Applications will be evaluated based on how well they describe the project, justify the need for the project and the APGP funding, reflect the program evaluation criteria, and articulate a concrete work plan and project timeline.

APGP staff encourages those public entities that have not yet progressed climate resilience planning in their jurisdiction to apply, as well as those who are further ahead. Projects that reach vulnerable communities and meet multiple criteria will be evaluated favorably.

Interagency review panel recommendations will be presented to the ICARP leadership for their consideration. APGP staff will make a final determination on all grants in the Winter of 2022.

The Grant Agreement is considered fully executed once signed by OPR's authorized signatory; this is when work can commence. Grantees cannot request reimbursement for any costs incurred or work completed before grant execution.

OPR, through its programs, is dedicated to transparency and compliance with state auditing requirements and applicable records retention/disclosure rules. Applicants should expect that grant agreements will reflect consistency with these standards and ensure compliance with applicable rules and requirements.

Disbursement and Accounting Funds

- The APGP is a reimbursement grant program. ICARP will provide the grant recipient with the necessary grant award and invoicing documents for the reimbursement process.
- OPR will withhold the last five percent (5%) of the grant, to be paid once the State has determined that the grant terms have been fulfilled.
- The grantee cannot request reimbursement for any work completed before the execution of the grant agreement.
- Grantees may request reimbursement from OPR every quarter (every three months).
- Partners should invoice the grantee before the grantee submits an invoice to OPR.
- The grantee will be responsible for compiling all invoices, supporting documentation, and reporting materials for themselves and the partners into a single package. Once the package has been approved for payment, funds will be dispersed to the grantee.
- The grantee is responsible for dispersing payment to their partners.
- OPR is not authorized to provide advance payments for the Adaptation Planning Grant Program.

B. Errors

If a participating applicant discovers an ambiguity, conflict, discrepancy, omission, or other error in the solicitation, the applicant should immediately notify OPR of such error in writing and request modification or clarification of the document. Modifications or clarifications will be given by written notice to all parties who requested the solicitation, without divulging the source of the request for clarification. OPR shall not be responsible for failure to correct errors.

C. Modification or Withdrawal of Proposal

A participating applicant may, by e-mail to ICARP Adaptation Planning Grants Program staff at icarp.grants@opr.ca.gov, withdraw or modify a submitted proposal before the deadline to submit proposals. Proposals cannot be changed after that date and time. A proposal cannot be “timed” to expire on a specific date. For example, a statement such as the following is non-responsive to the solicitation: “This proposal and the cost estimate are valid for 60 days.”

D. Immaterial Defect

OPR may waive any immaterial defect or deviation contained in an applicant's proposal. The OPR waiver shall in no way modify the proposal or excuse the successful participating applicant from full compliance.

E. Responsibilities and Grant Agreement

These guidelines contain instructions governing a firm quotation to be submitted by interested eligible applicants, the format in which the technical information is to be submitted, the material to be included, eligibility information, and responsibilities. Applicants should take the responsibility to carefully read the entire solicitation, ask appropriate questions promptly, submit all responses completely by the required date and time, and make sure that all procedures of the solicitation are followed and appropriately addressed.

The content of these guidelines shall be incorporated by reference into the final agreement. OPR reserves the right to negotiate with grant recipients to modify the project work plan, the level of funding, or both. If OPR is unable to successfully negotiate and execute a funding agreement with a grant recipient, OPR, at its sole discretion, reserves the right to cancel the pending award and fund the next highest ranked eligible project.

Grant recipients that receive funding under these guidelines should provide an authorizing letter of commitment approved by their governing authority to agree with OPR and designate an authorized representative to sign. Applicants are encouraged to provide authorizing commitment letters at the time of proposal submission, but authorization should be submitted no later than 60 days after the notice of award.

OPR will send the approved agreement, including the general Terms and Conditions and any additional terms and conditions, to the grant recipient for review, approval, and signature. Once the grant recipient signs, OPR will fully execute the agreement. Recipients are approved to begin the proposal activities only after the full execution of the agreement.

F. No Agreement Until Signed or Approved

No agreement between the OPR and the grant recipient is in effect until the agreement is signed by the Recipient and the OPR representative. No work shall begin until an agreement has been fully executed. OPR reserves the right to modify the award documents prior to executing the agreement.

IV. Appendix

Appendix A: Application Checklist

Use the checklist below to ensure all materials have been submitted as part of the Application.

- Completed Application Form
- Supporting Documentation attached to Application Form
 - Project Budget (see [Appendix G](#))
 - Work Plan (see [Appendix F](#))
 - Letters of Support (see [Threshold Criteria](#))

Appendix B: Glossary and Acronyms

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

Applicant - The lead applicant and co-applicants are collectively referred to as “applicants.”

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

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

Benefit-Cost Analysis Toolkit – The BCA is used to calculate the future risk reduction benefits of a hazard mitigation project and compares the benefits to its cost. A project is considered cost-effective when the Benefit-Cost Ratio (BCR) is greater than 1.0 (FEMA).

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

California Native American Tribe – California Native American tribes include either a federally-recognized California tribal government listed on the most recent notice of the Federal Register or a non-federally recognized California tribal government on the

California tribal Consultation List maintained by the California Native American Heritage Commission.

Climate Adaptation - Adjustment in natural or human systems to a new or changing environment. Adaptation to climate change refers to adjustment in natural or human systems in response to actual or expected climatic stimuli or their effects, which moderates harm or exploits beneficial opportunities.

Climate Equity - The central equity challenges for climate change policy involve several core issues: addressing the impacts of climate change, which are felt unequally; identifying who is responsible for causing climate change and for actions to limit its effects; and understanding how climate policy intersects with other dimensions of human development, both globally and domestically.

Climate Mitigation A human intervention to reduce the human impact on the climate system; it includes strategies to reduce greenhouse gas sources and emissions and enhance greenhouse gas sinks.

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

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

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

Community-Based Organization - A public or private nonprofit organization of demonstrated effectiveness that is representative of a community or significant segments of a community and provides educational or related services to individuals in the community

Community Engagement - The process of working collaboratively with and through groups of people affiliated by geographic proximity, special interest, or similar situations to address issues affecting the well-being of those people.

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

Disadvantaged Communities - Designation of census tracts and physical locations used to identify the areas most affected by pollution and the people most vulnerable to its effects, based on geographic, socioeconomic, public health, and environmental hazards criteria. The California Environmental Protection Agency (CalEPA) historically bases designations on

analyses conducted by the California Communities Environmental Health Screening Tool (CalEnviroScreen) but can also exercise discretion in developing other criteria and methods.

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

Economically Disadvantaged Rural Community – An EDRC is defined as a community of 3,000 or fewer individuals identified by the economically disadvantaged applicant, with residents having an average per capita annual income not exceeding 80% of the national per capita income, based on the best available data (FEMA).

Encumbrance - Encumbrances are obligations of all or part of an appropriation.

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

Grant Agreement - Arrangement between the State and grantee specifying the payment of funds to be used for grants by the State for the performance of specific Adaptation Planning Grant Program Objectives within a specific grant performance period by the grantee.

Grantee - Designated Lead applicant that has an agreement for grant funding with the State

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

Hazard Mitigation Assistance Grant Programs – Grant funding administered by the Federal Emergency Management Agency (FEMA) to support pre- and post-disaster mitigation activities to reduce the risk of loss of life and property due to natural hazards.

Hazard mitigation planning – A process used by governments to identify risks, assess vulnerabilities, and develop long-term strategies for protecting people and property from the effects of future natural hazard events.

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

Indirect Costs - Expenses of doing business that is of a general nature. These costs are not directly tied to the grant but are necessary for the general operation of the organization. Examples of indirect costs may include but are not limited to: personnel costs associated with administrative, supervisory, legal, and executive staff; personnel costs associated with support units, including clerical support, housekeeping, etc.; and operating expenses and equipment costs not included as part of direct project costs.

Interagency Review Panel - Comprised of the Coastal Commission, Ocean Protection Council, California Natural Resources Agency (CNRA), Department of Forestry and Fire Protection (CAL FIRE), Office of Emergency Services (OES), Federal Emergency Management Agency (FEMA), California Department of Transportation (Caltrans), California Department of Housing and Community Development (HCD), Governor's Office of Planning and Research's Planning Team, Governor's Office of Planning and Research's Climate Team, Strategic Growth Council's Resilient Climate Collaboratives Program (RCC), Strategic Growth Council's Health and Equity program (HEP), California Department of Public Health (CDPH), and the California Environmental Protection Agency (CalEPA). The panel is responsible for the review of APGP guidelines and applications.

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

Mitigation – An effort to reduce the loss of life and property by lessening the impact of disasters (FEMA).

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

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

Partner - Entities other than the Grantee that enter into a partnership with the Grantee and other organizations to implement Adaptation Planning grant activities. Referred to as "Co-Applicants" during the application stage.

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

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

Post-award Consultation - Prior to the execution of the grant agreement, a period where terms and conditions of the grant agreement are determined and finalized.

Program Objective - Program objectives are statements that describe the desired outcomes of the program. The Adaptation Planning Grant Program includes the following four program objectives: develop actionable projects and plans; build social infrastructure; center community engagement and decision-making; and develop equity-centered processes.

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

Risk - The likelihood of loss of life, injury, or destruction and damage from a disaster in a given period (FEMA).

Technical Assistance - The process of providing the necessary education and resources for climate change mitigation and adaptation projects for any of the following:

- Project development
- Grant development and writing for state and federal grant programs.
- The successful and appropriate expenditure of grant money for the successful completion of climate change mitigation and adaptation projects.
- Post-application and project implementation assistance

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

Appendix C: Climate Adaptation and Resilience Resources

Information on how to assess adaptive capacity, and identify the climate change risks and exposures within the project, may be obtained using:

- Cal-Adapt.org, an online platform that can help identify, map, and model specific climate change exposures:

<https://cal-adapt.org/>

- Using the results of a local or regional vulnerability assessment or action plan
- Other tools and data resources, such as those on the State Adaptation Clearinghouse Tools and Data page and Find a Tool feature:

<https://resilientca.org/tools/find/>

- Any other locally developed projection model

Information on how to describe the impact of climate change risks and exposures on the community, particularly vulnerable populations, may be obtained using:

- The Guide to Defining Vulnerable Communities in the Context of Climate Change:

http://www.opr.ca.gov/docs/20200720-Vulnerable_Communities.pdf

- Climate Change and Health Profile Reports, created by the California Department of Public Health, which describe the impact of climate risks and exposures for vulnerable populations in each county:

<https://www.cdph.ca.gov/Programs/OHE/Pages/ClimateHealthProfileReports.aspx>

- Climate Change and Health Vulnerability Indicators for California (CCHVI) developed by the CalBRACE Project

<https://www.cdph.ca.gov/Programs/OHE/Pages/CC-Health-Vulnerability-Indicators.aspx>

- Healthy Places Index (HPI), Transformative Climate Communities Program Round 4 Guidelines April 28, 2022, Page C-14

<https://www.healthyplacesindex.org/>

- Mapping Resilience: A Blueprint for Thriving in the Face of Climate Disasters:

https://apen4ej.org/wpcontent/uploads/2019/07/APEN-Mapping_Resilience-Report.pdf

- CalEnviroScreen:

<https://oehha.ca.gov/calenviroscreen>

- Regional Opportunity Index (ROI) developed by the UC Davis Center for Regional Change

<https://regionalchange.ucdavis.edu/projects/regional-opportunity-index>

Resources to identify and prioritize climate adaptation measures and projects that address anticipated climate impact can be found here:

- The 2020 Adaptation Planning Guide guides on assessing climate impacts and adaptation strategies to address them:

<https://resilientca.org/apg/>

- The State Adaptation Clearinghouse hosts a range of case studies, adaptation plans and strategy documents, and state guidance:

- Topic Pages include sector-specific climate change background information, featured state guidance documents, example strategies from Appendix D of the Adaptation Planning Guide (also available in the guide PDF), and a curated search function for each topic:

- www.resilientca.org/topics

- <https://www.caloes.ca.gov/HazardMitigationSite/Documents/CA-Adaptation-Planning-GuideFINAL-June-2020-Accessible.pdf#search=adaptation%20planning%20guide>

- The Climate Equity Topic page provides information on equitable planning and achieving climate equity in adaptation and resilience efforts:

<https://resilientca.org/topics/climate-equity/>

- The Resilient CA Adaptation Planning Map (RAP-Map) provides links to local government adaptation planning documents:

<https://resilientca.org/rap-map>

- The Case Studies page includes summaries of the processes for developing plans and projects across the state:

<https://resilientca.org/case-studies/>

Appendix D: GRanTS

Planning grant applications will be submitted through the online Grants Review and Tracking System (GRanTS), a web-based grant application and management tool that is managed by the Department of Water Resources. This submittal process takes advantage of an interagency collaborative effort, improves transparency, and significantly reduces costs associated with staff time as well as the amount of printing and paper consumed in the application and review processes.

The GRanTS platform provides a quick reference guide, FAQs, and a project mapping tool available online. Visit www.water.ca.gov/grantsfor for information about the system and to review the support documentation.

System requirements and Compatibility:

Browsers: The platform can be viewed on Internet Explorer Edge and Google Chrome. If you are using a version of Internet Explorer greater than 9, please turn on “Compatibility View”. The system does not support Safari or Mozilla Firefox.

Create a User Account:

To register for a user account, select the Registration hyperlink on the login page and complete the three sections:

- **Contact Tab:** First Name, Last Name, and Office Phone Number are required fields.
- **Organization Tab:** Select an organization from the drop-down or create a new organization by selecting “Add New”. Note: Your organization may already be in GRanTS. Start by using the search function.
- **Account Tab:** Set your Username (email address), password, and security questions. Note: Password must be at least seven characters and contain at least three of the four groups listed below.

If you have questions or for further assistance, please call the GRanTS to support staff at the Department of Water Resources at: (888) 907-4267 or email GRanTSadmin@water.ca.gov Staff is available Monday thru Friday 8:00AM-8:00 AM-PM to respond to your requests.

Appendix E: Application

Available upon guidelines completion.

Formatting Requirements

- **Font:** 11-point, Arial (excluding Excel spreadsheets, original template headers and footers, and commitment or support letters).
- **Margins:** No less than one inch on all sides (excluding headers and footers).
- **Spacing:** Single spaced with a blank line between each paragraph.
- **Pages:** Numbered
- **File Format:** MS Word version 2007 or later (.doc or .docx format) or PDF files, excluding Excel spreadsheets and commitment or support letters.
- **File Storage:** Electronic files of the application package must be submitted as part of the **GRanTS** web-based grant application submission tool.

Submission Limitations

APPLICATION:

- **Program Vision** (approximately 750 words, 5,000 characters)
- **Program Objectives** (approximately 750 words, 5,000)
- **Community Need and Priorities** (approximately 750 words, 5,000 characters)
- **Co-Benefits** (approximately 750 words, 5,000 characters)
- **Adaptive Capacity** (approximately 750 words, 5,000 characters)
- **Community Partnership** (approximately 500 words, 3,500 characters)
- **Organizational Capacity** (approximately 500 words, 3,500 characters)
- **Consistency with State Priorities** (approximately 500 words, 3,500 characters)
- **Local Planning Alignment** (approximately 250 words, 2,000 characters)
- **Climate Projections and Climate Risk** (approximately 500 words, 3,500 characters)

ADDITIONAL DOCUMENTATION:

- **Letters of Support:** One page for each reference, a maximum of three letters (multiple organizations that are part of a coalition may sign and submit a single letter of support).
- **Attachments:** Applicants can attach up to ten separate files. Each attachment file size must be 2 GB or less. File Name Limit: 125 Characters. There are no page limits for the Budget or Work Plan.

Appendix F: Work Plan Template

Applicants must include a completed Work Plan that identifies the specific tasks required to complete all proposed project activities. It must include a project schedule (timetable) that lists all product and meeting deliverables, and corresponding due dates. The plan should include a milestone/outcomes chart that includes major metrics and milestones that the applicant will track to demonstrate project success. The Work Plan must include the development of a project case study that will be considered for upload in the State Adaptation Clearinghouse. OPR will provide grantees with a case study template. Case studies should be submitted along with the second to last quarterly report to allow ICARP staff the time to review the draft case study and provide feedback or answer questions from grantees. All work must be scheduled for completion by September 30, 2025.

Instructions:

The Work Plan Template contains a framework to use to complete a work plan for your proposed project. The following instructions will assist with the development of this document.

TASK LIST

Insert the task numbers and task names for the project. Add additional rows or columns as necessary. The work effort should be divided into a series of logical, discrete, and sequential tasks. Tasks may be divided into sub-tasks to better frame the work. Each task (and to a lesser extent, subtasks) will include the following components.

A. THE GOAL

The goal of this task is to ... (Complete the sentence with a brief description of the goal(s). Please be brief, two to three sentences maximum.)

B. TASK 1.0 ADMINISTRATION

The administrative tasks must be included in every agreement. Sub-tasks should include, at a minimum, project kick-off meetings, reporting activities, and project closeout.

C. SUBTASKS

Subtasks should be used to describe distinct efforts and activities that will be performed to complete a task. These tasks should provide information about:

1. High-Level Activities/Milestones

Using deliverables, benchmarks, and metrics; identify, discuss and quantify how progress will be measured and reported on for each task listed.

2. Responsible Parties (The recipient shall ...)

List each activity with a separate bullet if there are more than two individual activities and begin each bullet with a verb to complete the sentence beginning with "The Recipient shall." Organize activities in the order in which they will occur. Use this section to describe the essential elements of the process you will use to complete the project. The contents of each product shall also be described in this section.

3. Timetable (in months)

Provide anticipated start and end months for each task identified. All work should end before October 31, 2022.

4. Task Deliverables

Each task must include one or more deliverables that will be completed and submitted to OPR before closing out the task. Describe each deliverable and explain the method for submitting each deliverable.

SCHEDULE OF DELIVERABLES

Proposals must include a schedule of deliverables that lists, in chronological order, each deliverable and identifies the corresponding task number, and provides a description of the deliverable and the due date (anticipated date of submission).

Appendix G: Budget Template

Available upon guideline completion.

Appendix H: State Planning Priorities

Title 7, Division 1, Chapter 1.5, Article 5 of the Government Code

65041.1. The state planning priorities, which are intended to promote equity, strengthen the economy, protect the environment, and promote public health and safety in the state, including in urban, suburban, and rural communities, shall be as follows:

- (a) To promote infill development and equity by rehabilitating, maintaining, and improving existing infrastructure that supports infill development and appropriate reuse and redevelopment of previously developed, underutilized land that is presently served by transit, streets, water, sewer, and other essential services, particularly in underserved areas, and to preserving cultural and historic resources.
- (b) To protect environmental and agricultural resources by protecting, preserving, and enhancing the state's most valuable natural resources, including working landscapes such as farm, range, and forest lands, natural lands such as wetlands, watersheds, wildlife habitats, and other wildlands, recreation lands such as parks, trails, greenbelts, and other open space, and landscapes with locally unique features and areas identified by the state as a deserving special protection.
- (c) To encourage efficient development patterns by ensuring that any infrastructure associated with development, other than infill development, supports new development that does all of the following:
 - (1) Uses land efficiently.
 - (2) Is built adjacent to existing developed areas to the extent consistent with the priorities specified pursuant to subdivision (b).

- (3) Is located in an area appropriately planned for growth.
- (4) Is served by adequate transportation and other essential utilities and services.
- (5) Minimizes ongoing costs to the taxpayers.

Appendix I: California Climate Adaptation Strategy Priorities

Strategy Website: <http://climateresilience.ca.gov>

- **Strengthen Protections for Climate Vulnerable Communities.**
 - <https://climateresilience.ca.gov/priorities/strengthen-protections/>
- **Bolster Public Health and Safety to Protect Against Increasing Climate Risks.**
 - <https://climateresilience.ca.gov/priorities/public-health/>
- **Build a Climate Resilient Economy.**
 - <https://climateresilience.ca.gov/priorities/resilient-economy/>
- **Accelerate Nature-Based Climate Solutions and Strengthen Climate Resilience of Natural Systems.**
 - <https://climateresilience.ca.gov/priorities/natural-systems/>
- **Make Decisions Based on the Best Available Climate Science.**
 - <https://climateresilience.ca.gov/priorities/best-available-science/>
- **Partner and Collaborate to Leverage Resources.**
 - <https://climateresilience.ca.gov/priorities/partner-collaborate/>

=== END OF DOCUMENT ===