

**FISCAL YEARS 2016-17 AND 2017-18
GRANT SOLICITATION**

**LOW CARBON TRANSPORTATION
GREENHOUSE GAS REDUCTION FUND
INVESTMENTS**

**AGRICULTURAL WORKER VANPOOLS
PILOT PROJECT**

Mobile Source Control Division
California Air Resources Board
February 21, 2018



AGRICULTURAL WORKER VANPOOLS PILOT PROJECT

Table of Contents

I.	SUMMARY	1
II.	BACKGROUND	1
III.	FUNDING	2
IV.	OPTION FOR NEW GRANT AGREEMENT FOR FY 2018-19	6
V.	ELIGIBLE GRANTEES	6
VI.	DISADVANTAGED COMMUNITY BENEFITS	7
VII.	OUTREACH AND EDUCATION	8
VIII.	ESTIMATED EMISSION REDUCTIONS FOR SCORING	8
IX.	SCOPE OF WORK	8
X.	ELIGIBLE VEHICLES AND ELECTRIC VEHICLE SUPPLY EQUIPMENT	17
XI.	ELIGIBLE EXPENSES	19
XII.	DEFINITIONS	20
XIII.	APPLICATION INSTRUCTIONS	21
XIV.	APPLICANT TELECONFERENCE	22
XV.	REQUIRED ELEMENTS	23
XVI.	PROJECT EVALUATION AND SCORING	24
XVII.	GRANTEE SELECTION	30
XVIII.	ADMINISTRATION	30

CONTINUED ON NEXT PAGE

Appendices

APPLICATION	Appendix A
Attachment 1: Required Elements Checklist	
Attachment 2: Applicant Qualifications and Project Team Capabilities	
Attachment 3: Proposed Budget	
Attachment 4: Project Implementation Plan	
Attachment 5: Estimated Emission Reductions for Scoring	
Attachment 6: Conflict of Interest Declaration	
Attachment 7: Letters of Support for Project	
Attachment 8: California Environmental Quality Act Worksheet	
SAMPLE GRANT AGREEMENT.....	Appendix B
Exhibit A: Grant Provisions	
Exhibit B: Work Statement	
Exhibit C: Grant Solicitation	
Exhibit D: Grantee Application Package	
Exhibit E: Sample Air District Advance Payment Request Form	
CALIFORNIA ENVIRONMENTAL QUALITY ACT (CEQA)	
COMPLIANCE AND PERMITTING REQUIREMENTS	Appendix C

I. SUMMARY

The California Air Resources Board (CARB) is soliciting a Grantee to implement the Agricultural Worker Vanpools Pilot Project (Agricultural Vanpools Pilot Project or project). Funding is provided by Low Carbon Transportation Investments, which are funded from the Greenhouse Gas Reduction Fund (GGRF) with proceeds from the State's Cap-and-Trade Program.

The overarching goal of this project is to reduce greenhouse gas (GHG) emissions and also achieve other co-benefits, such as reducing the emission of criteria pollutants, by providing access to advanced technology vehicle vanpools for agricultural workers in disadvantaged communities, with a focus on the San Joaquin Valley. Disadvantaged communities are identified by the California Environmental Protection Agency's California Communities Environmental Health Screening Tool 3.0 (CalEnviroScreen 3.0)¹ that assesses all census tracts in the State to identify areas disproportionately burdened by and vulnerable to multiple sources of pollution. The Agricultural Vanpools Pilot Project will result in immediate emission reduction benefits and allow residents of these communities to become familiar with advanced technology vehicles without the responsibility of vehicle ownership costs. The project will also gather data to support future advanced technology vehicle vanpool projects.

The Agricultural Vanpools Pilot Project will be a partnership between CARB and a Grantee that is selected via an open competitive solicitation process. Applications are due to CARB no later than **5:00 p.m. PDT, Friday March 23, 2018**.

II. BACKGROUND

In 2007, Governor Schwarzenegger signed into law the *California Alternative and Renewable Fuel, Vehicle Technology, Clean Air, and Carbon Reduction Act of 2007* (Assembly Bill [AB] 118, Chapter 750, Statutes of 2007). AB 118 created the Air Quality Improvement Program (AQIP), a voluntary incentive program administered by CARB to fund clean vehicle and equipment projects, air quality research, and workforce training.

In 2014, Governor Brown and the Legislature appropriated GGRF monies to CARB for Low Carbon Transportation investments. These investments are being administered through the framework of annual funding plans. The Fiscal Year (FY) 2016-17 Funding Plan for Low Carbon Transportation and Fuels Investments and the Air Quality Improvement Program (FY 2016-17 Funding Plan)² and the FY 2017-18 Funding Plan for Clean Transportation Incentives³ include several pilot projects for light-duty vehicles, including the Agricultural Vanpools Pilot Project, that are GGRF-funded and focused on

¹ <https://www.arb.ca.gov/cc/capandtrade/auctionproceeds/communityinvestments.htm>

² The approved FY 2016-17 Funding Plan is available at:
https://www.arb.ca.gov/msprog/aqip/fundplan/funding_plan_archive.htm

³ The approved FY 2017-18 Funding Plan is available at:
<https://www.arb.ca.gov/msprog/aqip/fundplan/fundplan.htm> .

the deployment of advanced technologies that provide immediate benefits in disadvantaged communities.

III. FUNDING

This solicitation provides up to \$6 million in FY 2016-17 and FY 2017-18 funds for agricultural worker vanpools. The FY 2016-17 Funding Plan provides up to \$3 million⁴ for agricultural worker vanpools in the San Joaquin Valley. The FY 2017-18 Funding Plan provides up to \$3 million⁵ for agricultural worker vanpools, and it focuses funding within the San Joaquin Valley, while allowing expansion to other disadvantaged communities if appropriate. Funding will be awarded by CARB in the following manner:

CARB GGRF project funding for projects in disadvantaged communities in the San Joaquin Valley Air Pollution Control District	Up to \$3 Million in FY 2016-17 funding
CARB GGRF project funding for projects in disadvantaged communities, with a focus on the San Joaquin Valley Air Pollution Control District, with projects in other disadvantaged communities if appropriate	Up to \$3 Million in FY 2017-18 funding
Total	Up to \$6 million

Geographic Requirements Based on Fiscal Year of Funding: A single Applicant can apply for up to \$6 million, and the following requirements apply:

- All projects must be in disadvantaged communities.
- If an Applicant applies for an amount of funding that is less than or equal to \$3 million, then the Applicant must be applying for FY 2016-17 funds that must be spent on projects in the San Joaquin Valley Air Pollution Control District.
- If an Applicant applies for an amount of funding that is greater than \$3 million, then the Applicant must be applying for \$3 million in FY 2016-17 funds and an additional amount from FY 2017-18 funds. In this case, the Applicant must commit to spending **over** \$3 million dollars of the funds it is applying for, on projects in the San Joaquin Valley Air Pollution Control District, which means that the Applicant must commit to spending some (or all) FY 2017-18 funds in the San Joaquin Valley Air Pollution Control District.

Project applications will be ranked per their scores, highest to lowest. CARB will offer a grant(s) to the highest ranked project(s). CARB reserves the right, in its sole discretion, to award to a single or multiple Grantees, cancel the solicitation, re-solicit, or direct funding to another project. If additional funding is provided from FY 2016-17 funding,

⁴ Chapter 370, Statutes of 2016 (AB 1613)

⁵ Chapter 254, Statutes of 2017 (AB 134)

FY 2017-18 funding, or in a subsequent fiscal year, CARB reserves the right to fund additional projects from applications received in response to this solicitation without issuing a new solicitation. Additional funding can include, but is not limited to, FY 2018-19 GGRF funding that is allocated CARB, approved in the State budget, and approved by the Board for this use.

CARB may authorize advance payment to California Air Districts (District). No other entity will be authorized advanced payment of CARB grant funding. If an entity other than a District is awarded CARB grant funding, any reference to Advance Payment within the sample grant agreement (Appendix B) is not applicable.

A. Definitions and allowable expenditures for costs associated with the grant are defined below (see Section XI. Eligible Expenses, below):

1. Project Implementation Costs include:
 - Personnel costs and fringe benefits
 - Operating costs (i.e. rent, supplies, and equipment)
 - Indirect costs (e.g., general administrative services, office space, and telephone services)
 - Travel expenses and per diem rates set at the rate specified by California Department of Human Resources (CalHR)⁶
 - Overhead
 - Consultant fees (if pre-approved by CARB), and
 - Printing, records retention, and mailing

Project implementation costs should be detailed such that they include all necessary staff and tasks to implement the project. If appropriate, this includes activities such as outreach and education, and research, data management, and reporting. In no event shall administrative costs, which are included within the project implementation costs, exceed five percent of the total grant amount. Administrative costs are indirect costs, which are not tied directly or solely to the project, such as distributed administration and general administrative services; non-project related contracts or subscriptions; rent and office space, phones and telephone services, printing, or mailing services not associated with staff working on the project; or any other costs that are not directly and fully incurred to support the grant.

2. Technology Costs: Costs associated with vehicles, equipment, and infrastructure that is either used to demonstrate the ability of the technology to achieve emission reductions or to deploy technology to an end user (i.e. business, consumer, etc.) for the purpose of achieving emission reductions. This includes the direct maintenance of these components, if required by the project.
3. The Grantee is required to provide Match Funding to match a minimum of

⁶ CARB will only reimburse travel expenses and per diem rates that are set by CalHR. The Grantee will be responsible for travel expenses and per diem rates that exceed CalHR rates.

25 percent of the FY 2016-17 portion of the total project grant amount by the project completion deadline for FY 2016-17 funds (see Section III. Funding, B. Other, below) The Grantee is required to provide Match Funding to match a minimum of 25 percent of the FY 2017-18 portion (if applicable) of the total project grant amount by the project completion deadline for FY 2017-18 funds (see Section III. Funding, B. Other, below). Furthermore, the Grantee must meet the Cash Match and In-Kind Match percentages separately for each fiscal year of funding. Match Funding must be provided in the following manner:

- i. A minimum of 10 percent of the FY 2016-17 portion of the total project grant amount (and, if applicable, a minimum of 10 percent of the FY 2017-18 portion of the total project grant amount) must be in the form of Cash Match committed by the Grantee (exclusive of providing in-kind contributions). Cash Match includes labor and project equipment capital outlays during the term of the Grant Agreement.
 - ii. A minimum of 15 percent of the FY 2016-17 portion of the total project grant amount (and, if applicable, a minimum of 15 percent of the FY 2017-18 portion of the total project grant amount) may be met through some combination of in-kind contributions such as labor, equipment, materials, equipment transportation, private financing, and federal or non-GGRF sourced State funds. While other publicly funded projects may work in tandem or as part of a project funded under this program, none of the funds or anything funded by those projects may be included in fulfilling any of the 25 percent match requirement; however, assets from publicly funded projects can be counted toward the match if the contract requirements are complete at the time of the application. For example, EVSE infrastructure funded under another State-funded project may be leveraged to support the project but may only be used to meet part of the Grantee match requirements if the contract requirements with the State for that EVSE infrastructure are no longer in effect. Project facilities or property will not be considered as part of a proposed in-kind match whether owned or leased by the Grantee.
- **Cash Match versus In-Kind Match.** The ten percent required cash match may include money spent by the Grantee or any project team member on specific project-related labor and purchases during the term of the grant agreement. It could also include cash donated to the project to cover any project-related purchases or expenses. Unlike cash match, in-kind match may include labor paid in advance of the execution of the grant agreement that is being donated to the project, as well as project-related supplies, materials, and equipment already owned by project participants and donated to the project that will be used during the term of the grant agreement. For example,

cash used for labor to maintain EVSE purchased specifically for the project during the term of the agreement could be considered cash match, while the monetary value associated with labor to maintain an EVSE that existed before the project could be considered in-kind match. Finally, any match funding that is considered cash match can also be considered in-kind match, and must be distinguished in the project budget.

- iii. A Match Funding Scenario: If, for example, an applicant requests \$3,000,000 in FY 2016-17 funding and \$2,000,000 in FY 2017-18 funding, then the applicant would be required to commit to:
 - Providing a minimum of \$750,000 in Match Funding (with at least \$300,000 of that amount required to be Cash Match) for the FY 2016-17 funded portion of the project by the completion deadline for FY 2016-17 funds.
 - Providing a minimum of \$500,000 in Match Funding (with at least \$200,000 of that amount required to be Cash Match) for the FY 2017-18 funded portion of the project by the completion deadline for FY 2017-18 funds.
- iv. If a third party, (i.e., a party other than the Grantee) proposes to provide any part of the required match, the Grantee must include a letter from each third party stating that it is committed to providing a specific dollar value of cost sharing and the source of such funds.

B. Other

1. Applications must include a Project Implementation Plan with a supporting Project Budget and Project Schedule that provides dates and details for key deliverables as anticipated by the applicant. CARB, at its sole discretion, may require alterations to the proposed budget, the project implementation plan, and the project schedule.
2. If the Applicant applies for FY 2016-17 and FY 2017-18 funds, then the project budget, project implementation plan, and project schedule must clearly differentiate between FY 2016-17 and FY 2017-18 funds, and between funds to be spent inside and outside of the San Joaquin Valley Air Pollution Control District.
3. The FY 2016-17 funded portion of the project must be completed no later than December 31, 2019 (project completion date). Quarterly Status Reports must be submitted to CARB for approval throughout the project life. A Final Report must be submitted to CARB within 90 days of project completion or no later than March 31, 2020, whichever comes first. After the project completion date, and until December 31, 2020, the Grantee will be required to continue to implement the project. The Grantee will be required to submit quarterly usage reports for the 2020 calendar year.
4. Any FY 2017-18 funded portion of the project must be completed no later than December 31, 2020 (project completion date). Quarterly Status Reports must be submitted to CARB for approval throughout the project life. A Final Report must be submitted to CARB within 90 days of project

completion or no later than March 31, 2021, whichever comes first. After the project completion date, and until December 31, 2021, the Grantee will be required to continue to implement the project. The Grantee will be required to submit quarterly usage reports for the 2021 calendar year.

5. CARB will withhold up to 10 percent of the total grant amount for submittal and approval of the last Final Report that is due under the grant agreement.
6. All vehicles and EVSE that are funded with FY 2016-17 funds must be domiciled (vehicles) or installed (EVSE) within the San Joaquin Valley Air Pollution Control District. If an Applicant applies for FY 2016-17 and FY 2017-18 funds, then the project implementation plan and project schedule should demonstrate that FY 2016-17 funded vans and EVSE will be deployed first.
7. Expenses must be identified in the proposed project budget and are subject to CARB approval. Only expenses that are necessary to support project implementation and support the project's GHG reductions are eligible for payment. Eligible expenses are listed in Section XI. Eligible Expenses, below. A determination that use of GGRF monies is not consistent with the approved project budget may occur during an audit or project review conducted by the State or a third-party auditor. Depending on the outcome of those proceedings or review, Grantee may be required to return monies to CARB.
8. The Application package including the Budget submitted by an applicant, if selected for funding, will be incorporated by reference as part of the Grant Agreement. Costs associated with labor and implementation detailed in the Application must consider the timeframe of the proposed project and may cover an increase in costs that take into account inflation or planned cost of living increases. The application submitted will be the actual costs for the project and will not be amended due to faulty estimations by the applicant, increases in costs due to inflation, or other reasons that have not been covered in the proposed budget.

IV. OPTION FOR NEW GRANT AGREEMENT FOR FY 2018-19

CARB, in its sole discretion, may award a new Grant Agreement for FY 2018-19 under the same terms and conditions applicable to FY 2017-2018 funds. The Grantee understands and agrees that this is no guarantee that the subsequent FY 2018-19 Grant Agreement will be awarded.

V. ELIGIBLE GRANTEES

This competitive solicitation is open to federal, State, or local government entities, other California-based public entities, or for non-profit organizations⁷ that have tax-exempt status with the Internal Revenue Service under Internal Revenue Code Section 501

⁷ Non-profit organizations must at all times be registered with and in active/good standing with the California Secretary of State.

(only 501(c)(3) organizations are allowed) and are also tax-exempt under California state law. A Grantee may implement the project or make use of a subcontractor to implement the project.

Note that Grantee and subcontractor relationships that are anticipated must be disclosed in the application and the grant agreement. If subcontractors are subject to a public process for approval, that process must be fully disclosed in the Project Implementation Plan, including who must approve contracts, the process for approval, and the anticipated timelines for approvals.

The public agency or non-profit organization grantee will be required to submit a resolution of its governing board prior to execution of the Grant Agreement that commits the agency/organization to comply with the requirements of the project; to accept grant funds from CARB; and to allocate any funding that the Grantee has committed to be part of a project application. It is recommended that the resolution allow for grant amendments without governing board approval, if possible. If the public agency or non-profit organization does not have a governing board, then a binding written commitment from an official of the agency/organization that has authority to enter into contractual obligations will be required to fulfill the aforementioned commitments.

If the public agency or non-profit organization that is submitting the project proposal contributes a match to the project, the governing board resolution shall authorize the Air Pollution Control Officer or other legally authorized official to supply sufficient funding to meet the stated match commitment. If the public agency or non-profit organization does not have a governing board, then a binding written commitment from an official of the agency/organization that has authority to enter into contractual obligations will be required to fulfill the aforementioned commitment.

Signed Grant Agreements and approved governing board resolutions (or the alternate documentation described in this section) need to be in place on or before the deadline listed in the Solicitation Timeline in Section XIII. Application Instructions, below.

VI. DISADVANTAGED COMMUNITY BENEFITS

In April 2017, the California Environmental Protection Agency (CalEPA) released its list of disadvantaged communities for the purpose of GGRF investments, as required by Senate Bill 535 (De Leon, Chapter 830, Statutes of 2012).^{8,9} **All Agricultural Vanpools Pilot Project vehicles and EVSE must be domiciled (vehicles) or installed (EVSE) within disadvantaged communities, which are census tracts in the top 25 percent of CalEnviroScreen 3.0 scores, plus those census tracts that score in the highest five percent of CalEnviroScreen's Pollution Burden without an overall CalEnviroScreen score.**¹⁰ Vehicles and EVSE must meet the criteria for being located within a disadvantaged community, as provided in Volume 2 of CARB's

⁸ <http://calepa.ca.gov/EnvJustice/GHGInvest/>

⁹ https://leginfo.legislature.ca.gov/faces/billNavClient.xhtml?bill_id=201120120SB535

¹⁰ <https://www.arb.ca.gov/cc/capandtrade/auctionproceeds/communityinvestments.htm>

Cap-and-Trade Auction Proceeds Funding Guidelines for Agencies that Administer California Climate Investments¹¹.

In addition, all Agricultural Vanpools Pilot Project vehicles and EVSE that are funded with FY 2016-17 funds must be domiciled (vehicles) or installed (EVSE) within the San Joaquin Valley Air Pollution Control District. Some FY 2017-18 funds must be spent on vehicles that are domiciled in the San Joaquin Valley Air Pollution Control District. IMPORTANT NOTE: The San Joaquin Valley Air Pollution Control District includes the entire counties of San Joaquin, Stanislaus, Merced, Madera, Fresno, Tulare, and Kings and **part** of Kern County. Details are available on the web site of the San Joaquin Valley Air Pollution Control District.¹²

VII. OUTREACH AND EDUCATION

Applicants must describe the plan and strategy to engage the identified disadvantaged communities through outreach and education about the project; identify key staff and partners, their roles for outreach and education, and their knowledge and experience within the community; and list project website and materials that will be developed, who will be responsible for their development, and that they will be translated into non-English language(s). Outreach and education deliverables should align with the project budget.

VIII. ESTIMATED EMISSION REDUCTIONS FOR SCORING

The Agricultural Vanpools Pilot Project must reduce GHG emissions. The worksheet in Appendix A, Application, Attachment 5: Estimated Emission Reductions for Scoring, will provide Applicants the ability to demonstrate estimated annual GHG, oxides of nitrogen (NO_x), particulate matter 2.5 (PM 2.5), and reactive organic gases (ROG) emission reductions for a proposed project. Once a project(s) is selected, the grantee(s) must use CARB-approved quantification methodologies to revise and report GHG, NO_x, PM 2.5, and ROG emission reductions as directed by CARB using project data once it becomes available.

IX. SCOPE OF WORK

The scope of work describes the Grantee's anticipated minimum duties and requirements once a Grant Agreement is fully executed for a project. The Grantee's responsibilities include project development, outreach and education, project implementation, and project reporting. The applicant is responsible for identifying any changes to the minimum duties and responsibilities and all such changes are subject to CARB's sole approval and will be reflected in the Grant Agreement. Depending on the

¹¹ <https://www.arb.ca.gov/cc/capandtrade/auctionproceeds/arb-funding-guidelines-for-ca-climate-investments.pdf>

¹² http://www.valleyair.org/General_info/aboutdist.htm,
http://www.valleyair.org/General_info/images/KernMap/KernBoundary.htm, and
http://www.valleyair.org/General_info/images/KernMap/KernBoundary_Description.htm

Grantee's application, program duties and requirements include, but are not limited to, the following tasks:

- A. Project Design: The proposed design of an Agricultural Vanpools Pilot Project must provide access to advanced technology vehicle vanpools for agricultural workers in disadvantaged communities, following the geographic requirements for FY 2016-17 and FY 2017-18, respectively, as described in Section III. Funding and Section VI. Disadvantaged Community Benefits.
 - 1. A project must provide a route, driver, and rider registration and tracking system.
 - 2. A project must provide a fleet of vans appropriate for transporting agricultural workers to and from work locations, which typically include farms, packing sheds, transshipment warehouses, or other agriculture related workplaces.
 - 3. Vans must be domiciled in disadvantaged communities, and EVSE must be installed in disadvantaged communities, both following the geographic requirements for FY 2016-17 and FY 2017-18, respectively, as described in Section III. Funding and Section VI. Disadvantaged Community Benefits.
 - 4. The vans may be equipped and outfitted to carry tools, water, shade, first aid supplies, and other equipment or supplies necessary to safely, legally, and appropriately transport agricultural workers to and from their workplaces and support the work activities; and may have flooring changed for increased durability.

- B. The Grantee's key project personnel will participate in an initial meeting with CARB staff before work on the project begins. The Grantee is required to present the overall plan, details of performing the tasks, the project schedule, and any issues that may need to be resolved. The Grantee's key project personnel will also participate in meetings with CARB to discuss progress, to be held at least quarterly beginning three months after the initial meeting. Additional meetings may be scheduled at the sole discretion of the CARB Project Liaison. Meetings may be conducted by phone if deemed appropriate by the CARB Project Liaison.

- C. Prepare outreach and educational materials in consultation with CARB and conduct public outreach, press releases, and press events necessary for the project to be successful. The Grantee shall clearly identify an outreach plan that contains, at a minimum:
 - 1. The types of outreach planned (e.g., printed materials, web-based, social media, holding public meetings, attending community events, arranging ride-and-drive events, press releases, and holding press events, etc.).
 - 2. An approximation of the number of community events, the geographic locations that will be attended, and the expected audiences.
 - 3. A strategy to build a team of support organizations and groups that are representative of disadvantaged communities in the San Joaquin Valley

Air Pollution Control District, and other areas as applicable, and that are connected to a network of similar organizations and culturally relevant institutions and community service providers to provide education and technical assistance.

4. A strategy to engage input and participation of residents of disadvantaged communities through activities relevant to the communities being served, including through the use of language-specific and culturally-appropriate outreach and education materials.
5. All outreach and education materials, such as fact sheets, infographics, multimedia tools such as videos, and websites must display the California Climate Investments logo. The California Climate Investments logo and name serve to bring under a single brand the many investments whose funding comes from the GGRF. The logo represents a consolidated and coordinated initiative by the State to address climate change by reducing GHGs, while also investing in disadvantaged communities and achieving many other co-benefits. The Grantee agrees to acknowledge the California Climate Investments program as a funding source from CARB's Low Carbon Transportation program whenever projects funded, in whole or in part by this Agreement, are publicized in any news media, websites, brochures, publications, audiovisuals, or other types of promotional material. The acknowledgement must read as follows: 'This publication (or project) was supported by the "California Climate Investments" (CCI) program.' Guidelines for the usage of the CCI logo can be found at www.arb.ca.gov/ccifundingguidelines.



- D. Establish secure and safe vehicle parking where the vehicles are domiciled within disadvantaged communities.
- E. Develop a policy and process to evaluate potential vehicle drivers and riders, as follows:
 1. Enroll vehicle drivers¹³ and ensure they meet the requirements listed below:

¹³ Neither CARB funds nor Match Funds may be used to pay drivers.

- i. Possess a current California Class C Driver's license.
 - ii. Receive education on the operation of advanced technology vehicle(s).
 - iii. Meet minimum requirements to drive a project vehicle as required by Grantee and the insurance provider, to be developed in conjunction with CARB.
 - iv. Are offered an Initial Participant Survey upon enrollment and are offered an End-of-Project Participant Survey.
 - v. Complete trip surveys and participate in research as requested by Grantee and CARB.
2. Enroll vanpool riders (non-driver participants) and ensure that they:
 - i. Are offered an Initial Participant Survey upon enrollment and are offered an End-of-Project Participant Survey.
 - ii. Complete trip surveys and participate in research as requested by Grantee.
3. Participants (vehicle driver and rider participants) become ineligible upon any of the following events:
 - i. Vehicle driver participant becomes ineligible per terms of insurance.
 - ii. Vehicle driver participant's driver's license lapses or is revoked.
 - iii. Vehicle driver participant is determined to be an unsafe or impaired driver by the Grantee.
 - iv. Vehicle driver or rider participant causes damage to a vehicle, EVSE or other project property, at the discretion of Grantee or CARB.
 - v. Non-compliance with project requirements, at the discretion of Grantee or CARB.

F. While differentiating between FY 2016-17 and FY 2017-18 as separate funding sources (if applicable) the Grantee will conduct Initial Participant Surveys and End-of-Project Participant Surveys, provide Quarterly Status Reports, respond to ad hoc CARB and public queries, and provide an end-of-project Final Report(s), as follows:

1. Initial Participant Survey and End-of-Project Participant Survey:
 Grantee will implement an Initial Participant Survey and an End-of Project Participant Survey of project participants to collect vehicle usage data and other information. If the Grantee receives FY 2016-17 and FY 2017-18 funds, then the Grantee will conduct end-of-project participant surveys for both funding sources in time to meet the project completion deadline for each funding source. The Initial Participant Survey must be offered to all participants before they participate in the project. The End-of-Project Participant Survey is expected to be offered to all participants but results may be a representative sample, because it is more difficult to conduct End-of-Project Participant Surveys than it is to conduct Initial Participant Surveys. CARB will coordinate with Grantee to identify survey parameters and determine the most effective mechanism for obtaining information and

measures to safeguard confidential individual information. Data collected may include:

- i. Transportation to work patterns and average annual work commute miles experienced in the two years prior to participation in the project.
- ii. Unmet work commute needs.
- iii. Feedback from participants regarding effectiveness of outreach efforts and materials.
- iv. Other participant information (number of participants and other demographic information as developed with CARB).

2. Quarterly Status Reports:

Grantee will provide Quarterly Status Reports to CARB, beginning after grant execution and continuing through the end of the project. If the Grantee receives FY 2016-17 and FY 2017-18 funds, then the Grantee will clearly differentiate its Quarterly Status Reports by the fiscal year of the funding source. Deliverables include:

- i. Expenditures in detail to date and for the quarterly period.
- ii. Schedule of community outreach and education conducted, materials used, and number of people contacted.
- iii. Participant information (total number of participants, added and withdrawn participants, and other demographic information as mutually agreed upon between Grantee and CARB).
- iv. Vehicles and EVSE information.
- v. Trip and fuel usage information (number and types or purposes of trips taken, trip beginning and end points [Residential/home addresses must be kept confidential.], miles traveled, fuel and electricity used, and other information mutually agreed upon between Grantee and CARB).
- vi. Estimated GHG, NO_x, PM 2.5, and ROG emission reductions achieved using the most up-to-date quantification methodology as provided and directed by CARB.
- vii. Survey updates, as mutually agreed upon between Grantee and CARB.
- viii. Other co-benefits to the identified disadvantaged community.
- ix. Accounting records, including expenditure and income information and supporting documentation.
- x. CARB reserves the right to require the Grantee to submit itemized invoices (invoices must include enough details to ensure that only eligible costs are paid for), and any other appropriate documentation required by CARB, with reports.
- xi. Other data and analysis as mutually agreed upon between Grantee and CARB.
- xii. Best practices and lessons learned.

3. Final Report(s):

For FY 2016-17 funds, the Grantee will provide a Final Report within 90 days of project completion or by March 31, 2020, whichever comes first. For FY 2017-18 funds, if applicable, the Grantee will provide a Final Report within 90 days of project completion or by March 31, 2021, whichever comes first. Final reports will contain the following information (at a minimum):

- i. Expenditures in detail to date and for the period between the last quarterly report and the Final Report.
- ii. Overview of the project from inception through project end, including project background, partnerships, and funding sources.
- iii. Table and narrative of Project Milestones.
- iv. Results of Initial Participant Survey and updates.
- v. Changes in participant knowledge of and acceptance of advanced technology vehicles.
- vi. Electricity and fuel usage information for project vehicles and EVSE (if applicable).
- vii. Estimated GHG, NO_x, PM 2.5, and ROG emission reductions achieved.
- viii. Other co-benefits to the identified disadvantaged community(ies) as mutually agreed upon between Grantee and CARB.
- ix. Accounting records, including expenditure and income information and supporting documentation.
- x. CARB reserves the right to require the Grantee to submit itemized invoices (invoices must include enough details to ensure that only eligible costs are paid for), and any other appropriate documentation required by CARB, with reports.
- xi. Other data and analysis as mutually agreed upon between Grantee and CARB.
- xii. Best practices and lessons learned.

G. Insurance Requirements – Grantee must comply with all requirements outlined in the General Provisions and Insurance Requirements outlined in this section. No payments will be made under this grant until Grantee fully complies with all insurance requirements.

1. General Provisions Applying to All Policies:

- i. Coverage Term – Coverage needs to be in force for the complete term of the grant. If insurance expires during the term of the grant, a new certificate must be received by the State at least ten days prior to the expiration of this insurance. Any new insurance must comply with the original grant terms.
- ii. Policy Cancellation or Termination and Notice of Non-Renewal – Grantee is responsible to notify the State within five business days of any cancellation, non-renewal or material change that affects

required insurance coverage. New certificates of insurance are subject to the approval of the Department of General Services and Grantee agrees no work or services will be performed prior to obtaining such approval. In the event that Grantee fails to keep in effect at all times the specified insurance coverage, the State may, in addition to any other remedies it may have, terminate this grant upon the occurrence of such event, subject to the provisions of this grant.

- iii. Premiums, Assessments and Deductibles – Grantee is responsible for any premiums, policy assessments, deductibles or self-insured retentions contained within their insurance program.
- iv. Primary Clause – Any required insurance contained in this grant shall be primary, and not excess or contributory, to any other insurance carried by the State.
- v. Insurance Carrier Required Rating – All insurance companies must carry an AM Best rating of at least “A–” with a financial category rating of no lower than VI. If Grantee is self-insured for a portion or all of its insurance, review of financial information including a letter of credit may be required.
- vi. Endorsements – Any required endorsements requested by the State must be physically attached to all requested certificates of insurance and not substituted by referring to such coverage on the certificate of insurance.
- vii. Inadequate Insurance – Inadequate or lack of insurance does not negate Grantee’s obligations under the grant.
- viii. Satisfying a self-insured retention (SIR) - All insurance required by this contract must allow the State to pay and/or act as the contractor’s agent in satisfying any SIR. The choice to pay and/or act as the contractor’s agent in satisfying any SIR is at the State’s discretion.
- ix. Available Coverages/Limits - All coverage and limits available to the contractor shall also be available and applicable to the State.
- x. Use of Subcontractor - In the case of Grantee’s utilization of Subcontractors to complete the grant scope of work, Grantee shall include all Subcontractors as insured’s under Grantee’s insurance or supply evidence of Subcontractor’s insurance to the State equal to policies, coverages, and limits required of Grantee.

2. Grant Insurance Requirements:

Grantee shall display evidence of the following on a certificate of insurance evidencing the following coverages:

- i. Commercial General Liability – Grantee shall maintain general liability on an occurrence form with limits not less than \$1,000,000 per occurrence for bodily injury and property damage liability combined with a \$2,000,000 annual policy aggregate. A “per project aggregate” endorsement is required. The policy shall include coverage for liabilities arising out of premises, operations, independent Grantees, products, completed operations, personal and advertising injury, and liability assumed under an insured contract or grant. This insurance shall apply separately to each insured against whom claim is made or suit is brought subject to Grantee’s limit of liability. **The policy must name the State of California, its officers, agents, and employees as additional insured, but only with respect to work performed under the grant.**
 - ii. Automobile Liability – Grantee shall maintain business automobile liability insurance as broad as Form CA0001 for limits not less than \$5,000,000 combined single limit. Such insurance shall cover liability arising out of any and all motor vehicles owned, hired or non-owned. “Any Auto” symbol 1 is required. The policy must name the State of California, its officers, agents, and employees as additional insured, but only with respect to work performed under the grant.
 - iii. Workers’ Compensation and Employer’s Liability – Grantee shall maintain statutory workers’ compensation and employer’s liability coverage for all its employees who will be engaged in the performance of the grant. In addition, employer’s liability limits of \$1,000,000 are required. **A Waiver of Subrogation or Right to Recover endorsement in favor of the State of California must be attached to certificate.**
- H. Professional Liability: Grantee shall obtain, at Grantee’s expense, and keep in effect during the term of this Grant, Professional Liability Insurance covering any damages caused by an error, omission or any negligent acts related to the services to be provided under this grant by the Grantee and Grantee’s subcontractors, agents, officers and employees in an amount of not less than \$1,000,000 per occurrence, incident or claim. Annual aggregate limit shall not be less than \$2,000,000.
- I. Develop policies and procedures documents and process flow charts that describe Grantee’s administrative actions for evaluating and processing driver

and rider participants, reservations, vehicle maintenance, and data gathering and reporting. Examples include, but are not limited to:

1. Organizational charts.
 2. Details on how key project processes are conducted and how associated documentation of data, signatures, and authorizations are gathered and recorded, including, but not limited to:
 - i. Outreach and education.
 - ii. Participant surveys, enrollment, and tracking.
 - iii. Vehicle reservations, tracking, and maintenance.
 - iv. Data collection and reporting.
 3. Develop and maintain accounting procedures to track expenditures by:
 - i. Grant agreement number.
 - ii. Fiscal year.
 - iii. Funding source.
 4. Provisions to protect against conflict of interest.
 5. Provisions to protect against fraud, and to identify, respond to, and report if fraud has occurred.
- J. Establish and maintain records of participants, vehicles, EVSE, fuel, maintenance, and other records, as follows:
1. Identify participant data that are confidential and develop measures to keep these data confidential.
 - i. Residential/home addresses must be kept confidential.
 2. Record the physical address and census tracts geographic identifier (GEOID) of each location project vehicles are domiciled and each location EVSE is installed. The census tracts GEOID is an 11-digit number; however, the Grantee may remove the initial zero and report it as a 10-digit number. For further explanation of census tract GEOIDs, and how to obtain them, see the Application (Application, Attachment 4. Project Implementation Plan, F. Disadvantaged Communities).
 3. Develop a systematic process and schedule to back-up participant reservation database(s) on a daily basis at a minimum.
 4. Develop and enforce security measures to safeguard project database(s).
 5. Store all records in a secured and safe storage facility that maintains confidentiality and provides fire and natural disaster protection.
 6. Retain files during the term of the Grant Agreement plus three years.
 - i. Transfer all project records to CARB once the three years are up.
- K. Ensure that drivers are not paid with CARB funds or Match funds to drive project vehicles.
- L. Fulfilling CEQA requirements.

X. ELIGIBLE VEHICLES AND ELECTRIC VEHICLE SUPPLY EQUIPMENT

- A. A Grantee must purchase eligible medium-duty (also known as light-heavy duty 1 and 2) passenger or shuttle vans that are zero-emission or near zero-emission vehicles. These vehicles have gross vehicle weight ratings (GVWR) of 8,501-14,000 pounds (lbs.), and may include hybrid vehicles (HV), plug-in hybrid electric vehicles (PHEV), battery electric vehicles (BEV), and hydrogen fuel cell vehicles (HFCV). Vehicles funded by this grant comprise a fleet that must be maintained throughout the term of the grant agreement. Changes to the fleet during project implementation are subject to prior approval by CARB. Additional vehicle requirements:
1. Vehicles must be purchased.
 2. Vehicles must be designed for carrying more than 10 but not more than 15 persons including the driver.
 3. The Grantee must ensure that it is legal for each vehicle to be driven by a person with a California Class C Driver's license.
 4. Vehicles/technologies must be eligible for the California Hybrid and Zero-Emission Truck and Bus Voucher Incentive Project (HVIP), but they cannot participate in that project, i.e., they cannot receive vouchers from HVIP¹⁴.
 - i. Although Agricultural Vanpools Pilot Project vehicles/technologies cannot receive HVIP vouchers, Applicants must still ensure that the vehicles/technologies they propose to use meet HVIP eligibility requirements, including, but not limited to, the eligibility of specific engine and vehicle model years, and mileage requirements.
 5. Vehicles must be either HVIP-eligible new vehicles or HVIP-eligible vehicle conversions.
 - i. HVIP-eligible new vehicles
 - Must meet the requirements of the most recent HVIP Implementation Manual¹⁵ that is applicable as of the date the Grantee enters into an agreement/contract with, or submits a purchase order to, a vehicle seller.
 - Must meet the engine model year and vehicle model year requirements that are applicable as of the date the Grantee enters into an agreement/contract with, or submits a purchase order to, a vehicle seller. On the HVIP web site, click on the image of a vehicle/technology to see model years.
 - ii. HVIP-eligible vehicle conversions
 - Must meet the requirements of the most recent HVIP Implementation Manual that is applicable as of the date the vehicle converter receives a purchase order from, or enters into an agreement/contract with, the Grantee or with another entity, such as a vehicle seller, working on behalf of the Grantee.
 - Must meet the engine model year, vehicle model year, and

¹⁴ www.californiahvip.org/

¹⁵ <https://www.californiahvip.org/how-to-participate/>

mileage requirements that are applicable as of the date the vehicle converter receives a purchase order from, or enters into an agreement/contract with, the Grantee or with another entity, such as a vehicle seller, working on behalf of the Grantee. On the HVIP web site, click on the image of a vehicle/technology to see model years; see the HVIP Implementation Manual for mileage requirements.

- CARB reserves the right, in its sole discretion to:
 1. Determine the acceptability of alternate documentation for the purchase orders, agreements, and contracts described above.
 2. Allow flexibility for different permutations of the vehicle seller, converter, and purchaser relationship.
- 6. Vehicles must be registered in California.
- 7. No retrofits or other hardware or software modifications which significantly impact the vehicle's emissions characteristics are permitted. (California Vehicle Code Section 27156).
- 8. Vehicle title cannot be salvaged (as defined in California Vehicle Code section 544).

B. The purchase and installation of EVSE to provide electricity for BEVs, PHEVs, and HFCVs, as applicable, are eligible expenses. EVSE equipment:

1. May be installed in commercial or residential locations.
2. May be Level 2 (rated up to 240 volts AC, up to 70 amps, and up to 14.4 kW)
3. May be Level 3 (high voltage AC or DC with the capability to charge a vehicle to approximately 80 percent capacity within 30 minutes).
4. Proposals containing the installation of EVSE infrastructure must adhere to the CEQA and permitting requirements described in Appendix C California Environmental Quality Act (CEQA) Compliance and Permitting Requirements, and the project must comply with all applicable federal, state, and local laws and requirements for acceptable installation and usage of the infrastructure. Any proprietary protocol may additionally be superimposed on the system provided the site owner is able to revert to the open standard protocol. The proposal must include a maintenance plan for continued reliable operation and unforeseen breakdowns of the charging infrastructure.
5. Public or private party access to charging at proposed charging infrastructure is not required; however, projects that are designed to allow non-project entities to charge during or following the completion of the pilot project will receive higher scoring.

Applicants are encouraged, but not required, to pursue other funding sources for EVSE or develop partnerships with existing providers.

XI. ELIGIBLE EXPENSES

- A. Eligible Expenses: See also Section III, Funding A. for broader descriptions of project implementation costs and technology costs. Details from the application will be included once an applicant is selected and will depend on the proposed project model. Project fund expenditures that are eligible for reimbursement include:
1. Vehicle acquisition (purchase) costs.
 2. Costs to outfit vans with necessary and appropriate workplace and safety equipment.
 - i. Costs for the purchase and installation of equipment in or on vehicles to: contain or secure tools, equipment, or other materials; carry water; and provide shade.
 - ii. Costs for the purchase and installation in or on vehicles of first aid kits and fire extinguishers.
 - iii. Costs to have vehicle flooring changed or replaced for increased durability.
 3. EVSE acquisition (purchase) and installation costs.
 4. Vehicle and EVSE direct maintenance costs.
 5. Vehicle, driver, passenger, and facilities insurance costs.
 6. Reservation system development and on-going direct maintenance costs.
 7. Cost for the preparation of materials for and conduct of community outreach and education to target disadvantaged communities, enroll project rider and driver participants, perform initial and end-of-project surveys, and collect project data, including travel, printing, mailing, education classes, and other expenses directly attributed to outreach and education.
 8. Hosting project launch press event.
 9. Administrative costs, as defined in Section III. Funding. A.
 10. Fuel and electricity costs are not reimbursable.
- B. Ineligible Expenses
1. Neither CARB funds nor Match Funds may be used to pay drivers.
- C. The Grantee will pay out CARB funds to other entities on a reimbursement basis only.
- D. Supporting Documentation: The Grantee must maintain documentation to support expenses incurred for technology, non-administrative project implementation costs, and administrative costs separate from one another.
1. For technology costs, acceptable supporting documentation shall include invoices, and other appropriate supporting documentation as approved by CARB. Documentation substantiating these costs must be maintained by the Grantee and provided to CARB upon request.
 2. Invoices used to justify project implementation cost funds must provide documentation in accordance with Sample Grant Section I, Fiscal

Administration 6. Documentation of Project Implementation Cost Funds for costs for work completed in the following categories:

- i. Labor expenses (including total staff time and labor costs).
- ii. Consultant fees for completed work (if applicable).
- iii. Printing, mailing, travel, records retention, and education classes.
- iv. Administrative costs.

Documentation substantiating these costs must be maintained by the Grantee and provided to CARB upon request.

XII. DEFINITIONS

Descriptions offered below are for the purposes of this solicitation only.

“Advanced Technology Vehicle” means HV, PHEV, BEV, or HFCV.

“Battery Electric Vehicle (BEV)” means any vehicle that operates solely by use of a battery or battery pack, or that is powered primarily through the use of an electric battery or battery pack but uses a flywheel or capacitor that also stores energy produced by the electric motor or through regenerative braking to assist in vehicle operation.

“Domiciled” means home based. Home based means where project vehicles are parked when not in use after the work period is over. Although the term “home” is used, it is not necessary for project vehicles to be home based in residential locations.

“Electric Vehicle Supply Equipment (EVSE)” means a portable, pedestal-mounted, or wall-mounted unit that delivers electricity to BEVs, PHEVs, or HFCVs. EVSEs establish two-way communication with the on-board charger in the car. EVSE may be solar array enhanced.

“Fleet” means vehicles funded by this grant.

“Hybrid Vehicle (HV),” for the purposes of this project, means any vehicle that can draw propulsion energy from both of the following on-vehicle sources of stored energy: 1) consumable fuel, and 2) a rechargeable energy storage system.

“Hydrogen Fuel Cell Vehicle (HFCV),” for the purposes of this project, means a zero-emission vehicle that is fueled primarily by hydrogen, but may also have off-vehicle charge capability.

“Plug-In Hybrid Electric Vehicle (PHEV)” (also known as a Grid-connected HEV or GHEV), for the purposes of this project, means a hybrid electric vehicle that has:

- o zero emission vehicle range capability

- on-board electrical energy storage device with useful capacity equivalent to greater than or equal to ten miles of Urban Dynamometer Driving Schedule range on electricity alone
- is equipped with an on-board charger, and is
- rechargeable from an external connection to an off-board electrical source

“**Zero-Emission Vehicle (ZEV)**” means any vehicle certified to zero-emission standards.

XIII. APPLICATION INSTRUCTIONS

This application packet contains the forms and information necessary for submittal of a complete application. CARB will select Grantee(s) based upon the scoring criteria identified in Section XVI. Project Evaluation and Scoring. **All information and data submitted as a response to this solicitation are the property of CARB and will become a public record once a Grantee(s) is selected. Do not include any personally identifiable information such as project staff home addresses, personal phone numbers, or personal email addresses.**

If you need this document in an alternate format or language, contact Ms. Kimya Lambert at (916) 323-2507 or Kimya.Lambert@arb.ca.gov. TTY/TDD/Speech to Speech users may dial 711 for the California Relay Service.

An application package consists of one signed original, four copies, and one compact disk (CD) or flash drive containing copies of the application and all required documents; **the application will be rejected if all of the Required Elements (Section XV) are not included.** Application packages must be received by CARB no later than **5:00 p.m. PDT, Friday, March 23, 2018** (delivery service provider tracking number may be used to verify date of receipt). Nothing can be added to an application after the closing time and date. Mail to the following address:

Ms. Kimya Lambert
California Air Resources Board MSCD
Post Office Box 2815
Sacramento, California 95812

Applications may be submitted in person to the following address:

Ms. Kimya Lambert
California Air Resources Board MSCD
1001 I Street
Sacramento, California 95814

Send an email to Ms. Kimya Lambert, Kimya.Lambert@arb.ca.gov, to confirm the application has been mailed or hand-delivered to CARB. CARB will send a

confirmation email to the applicant once the hard copy of the application has been received.

No applications may be submitted by fax or email.

CARB strongly encourages applications to be accurate, brief, and clear. Applications will be initially screened for completeness. **Applications must include all of the Required Elements (see Section XV.) identified in this solicitation or the application will be rejected (for example, an application is improperly signed or does not include a proposed budget).**

Solicitation Timeline¹

Key Actions	Dates	Time
Public Release of Solicitation	2/21/2018	—
Applicant Question Deadline	3/5/2018	5:00 p.m. PST
Applicant Teleconference	3/8/2018	9:00 a.m.-11:00 a.m. PST
Application Submittal Deadline	3/23/2018	5:00 p.m. PDT
Posting of Executive Summaries of Applications Received	3/30/2018	5:00 p.m. PDT
Posting of Preliminary Grantee Selection	Early April 2018	
Final CEQA Documentation Submittal Deadline ²	4/20/2018	5:00 p.m. PDT
Execute Grant Agreement and Return to CARB ³	Within 10 Calendar Days of Receipt; CARB must receive it by May 15, 2018	

(1) Timelines are subject to change at CARB's sole discretion.

(2) This step only applies for projects containing infrastructure proposals where an agency other than CARB is the lead CEQA agency for the project.

(3) Includes governing board resolution.

XIV. APPLICANT TELECONFERENCE

CARB will hold one applicant teleconference with CARB staff available to provide clarification, if any, and to answer questions potential applicants may have regarding eligibility, application completion, and other requirements. The teleconference will take place on:

Applicant Teleconference	
Date	Thursday, March 8, 2018
Time	9:00 a.m.-11:00 a.m. (PST)
Phone Number	800-369-1981
Passcode	6122754

The teleconference will be open to all interested parties. The intent is to provide potential project applicants with an opportunity to ask clarifying questions regarding general application requirements or terminology definitions. Written questions

submitted before the teleconference will be given priority. Questions may be emailed to Ms. Kimya Lambert at kimya.lambert@arb.ca.gov up to 5:00 p.m. PST on Monday, March 5, 2018.

The questions and answers from the applicant teleconference, including questions received via email and answers, will be posted on the CARB solicitation website: www.arb.ca.gov/msprog/aqip/solicitations.htm. CARB will not answer questions regarding the solicitation after the applicant teleconference. Any verbal communication with a CARB employee concerning this solicitation is not binding on the State and shall in no way alter a specification, term, or condition of the solicitation.

XV. REQUIRED ELEMENTS

A. Project Applications:

The application is included as Appendix A of this solicitation. Applications must demonstrate meeting the specific requirements as described in this solicitation and Appendix B, the Sample Grant Agreement. CARB may request clarification regarding application responses during the application review process. CARB will evaluate and score application responses for each of the following elements. A complete application package includes all the required elements, information, dates, and signatures, including:

- The application package consists of one signed original, four copies, and one compact disk (CD) or flash drive containing copies of the application and all required documents.
- The application meets the minimum Match Funding requirements.
- Appendix A: Application Cover Page is signed, and dated
 - Attachment 1: Required Elements Checklist (not required to be submitted to CARB)
 - Attachment 2: Applicant Qualifications and Project Team Capabilities
 - Attachment 3: Proposed Budget
 - Attachment 4: Project Implementation Plan
 - A. Executive Description of Project
 - B. Expanded Project Description Narrative
 - C. Project Schedule
 - D. Outreach and Education
 - E. Project Data, Reporting Procedures, and Handling Confidential Information
 - F. Disadvantaged Communities
 - Attachment 5: Estimated Emission Reductions for Scoring (Estimated Vanpool Emissions Calculations Worksheet for Project Scoring)
 - Attachment 6: Conflict of Interest Declaration
 - Attachment 7: Letters of Support for Project

Attachment 8: California Environmental Quality Act Worksheet

- NOTE: The Sample Air District Advance Payment Request Form (Sample Grant Agreement, Exhibit E), is not required to be submitted with the Application.

XVI. PROJECT EVALUATION AND SCORING

CARB will evaluate each application based on the criteria described below. The maximum score is 100 points; the highest overall score(s) will be considered for selection as Grantee(s). If an agreement with the highest scoring Grantee cannot be reached by the specified date established by CARB, then CARB may withdraw the award offer and offer a grant award to the next highest scored project, and so on, until an agreement is reached. CARB reserves the right, in its sole discretion, to award to a single or multiple Grantees, cancel the solicitation, re-solicit, or direct funding to another project. Preliminarily selected projects that involve the installation of EVSE/charging infrastructure must abide by all California Environmental Quality Act (CEQA) requirements (see Appendix C, California Environmental Quality Act (CEQA) Compliance and Permitting Requirements) before a Grant Agreement can be fully executed. The selected applicant will be required to sign a Grant Agreement with CARB to fulfill the duties of Grantee.

CONTINUED ON NEXT PAGE

Summary of Scoring Criteria for Demonstration Projects

	Scoring Criteria	Points
1	Applicant Qualifications and Project Team Capabilities	30
2	Proposed Budget	20
3	Project Implementation Plan and Project Schedule	25
4	Outreach and Education	10
5	Provisions for Data Collection, Storage, and Reporting	5
6	Estimated Emission Reductions	10
	Total	100

Scoring Scale

Using the scoring table below, the evaluation team will score eligible applications for each scoring criterion described below.

1. Applicant Qualifications and Project Team Capabilities – Maximum 30 points

Applicant Qualifications and Project Team Capabilities will be scored and will earn a point value that falls within one of the three ranges below, with a maximum of 30 points. Scoring of the applicant’s qualifications will be based upon applicant’s ability to successfully act as Grantee. Evaluation will consider the applicant’s experience and expertise implementing similar projects or working with CARB, local air districts, transit agencies, local governments, community groups, and other stakeholders to implement public benefit programs. Greater scoring will be associated with project team and partners that have appropriate experience to perform the tasks in their areas of responsibility, and especially the team’s knowledge and experience in providing vanpools for agricultural workers within the target communities and experience conducting community specific outreach and education.

Application Characteristics	Points Earned
<ul style="list-style-type: none"> Applicant lacks experience/expertise applicable to the project requested and/or lacks relevant experience handling similar sized funding projects. 	0 – 5 points
<ul style="list-style-type: none"> Applicant demonstrates experience/expertise to complete the tasks required to implement the project and/or has some relevant experience successfully running vanpool programs. 	6 – 15 points
<ul style="list-style-type: none"> Applicant demonstrates extensive and strong experience/expertise required to effectively and successfully complete the tasks of the project and significant relevant experience successfully running agricultural worker vanpool programs. 	16 – 30 points

2. Proposed Budget – Maximum 20 points

Proposed budgets will be scored and will earn a point value that falls within one of the first three ranges below; the point total is the sum of points earned and additional scoring for optional components, if any, for a maximum of 20 points. Applicants must identify a budget for completing the tasks of the project, consistent with the Sample Grant Agreement, the Project Implementation Plan and Project Schedule, and the requirements of this solicitation. The budget must list the proposed totals for Project Implementation Costs Funding (including a sub-total for Administrative Costs) and Technology Costs Funding, CARB GGRF grant, Cash Match and In-Kind Match, and Project Cost, and must clearly differentiate between FY 2016-17 and FY 2017-18 funds (if applicable), and funds spent inside and outside (if applicable) of the San Joaquin Valley Air Pollution Control District. **The application will be rejected if it doesn't meet the minimum Match Funding requirements.** The budget must also include a cost breakdown per vehicle and EVSE acquisition/installation, other equipment and reservation costs, outreach and education component, and administrative costs.

Evaluation of Proposed Budget	Points Earned
<ul style="list-style-type: none"> • Budget categories or dollar amounts are incomplete, unclear, or insufficiently explained. • Budget is inconsistent with the Project Implementation Plan and the requirements of this solicitation. • Math or other errors. 	0 to 5 points
<ul style="list-style-type: none"> • Budget categories and dollar amounts are complete. • Budget aligns with the Project Implementation Plan and the requirements of this solicitation. • Math or other errors are minor. • The applicant commits to provide the Match Funding required by this solicitation. 	6 to 10 points
<ul style="list-style-type: none"> • Budget categories and dollar amounts are complete and very detailed explanations are provided. • Budget aligns completely with the applicant's Project Implementation Plan, Project Schedule, and the requirements of this solicitation. • No math or other errors. • The applicant commits to provide the Match Funding required by this solicitation. 	11 to 15 points
Additional Scoring for Optional Component	
<ul style="list-style-type: none"> • Budget provides Cash Match and/or In-kind Match Funding above project minimums. 	1 to 5 points

3. Project Implementation Plan and Project Schedule – Maximum 25 points

Project Implementation Plan and Project Schedule will be scored and will earn a point value that falls within one of the first two ranges below; the point total is the sum of points earned and additional scoring for optional components, if any, for a maximum of 25 points. Applicants will be evaluated based on the completeness of their plan for implementing the project to complete the work in a timely manner. The Project Implementation Plan and Project Schedule address how the all of the tasks required by this solicitation will be implemented. **Where applicable, the Project Implementation Plan and Project Schedule must clearly differentiate between FY 2016-17 and FY 2017-18 funds, and projects that will be inside and outside of the San Joaquin Valley Air Pollution Control District.**

Evaluation of Project Implementation Plan	Points Earned
<p>Project Implementation Plan is incomplete, lacks detail, or is unclear regarding:</p> <ul style="list-style-type: none"> • Executive overview. • Plan design. • Plan for implementation. • Number and type of vehicles, EVSE/chargers, and other equipment. • Number of community residents targeted to receive outreach and number of participants to be enrolled. • Project Schedule is incomplete or presents unreasonable or unlikely milestones. • Project Schedule key tasks and milestones do not contain details. • Project Schedule key tasks and milestones do not align with the Project Implementation Plan or the Project Budget. 	<p>0 - 10 points</p>
<p>Project Implementation Plan is complete and provides detail regarding:</p> <ul style="list-style-type: none"> • Executive overview • Detailed design of plan • Detailed plan for implementation • Number and type of vehicles, EVSE/chargers, and other equipment • Number of community residents targeted to receive outreach and number of participants to be enrolled. • Project Schedule is complete and presents reasonable and likely milestones. • Project Schedule key tasks and milestones contain details and align with the Project Implementation Plan and the Project Budget. 	<p>11 – 20 points</p>
<p>Additional Scoring for Optional Components</p>	
<ul style="list-style-type: none"> • Increased scoring is provided for projects that install public access EVSE within disadvantaged communities. • Explains how project will continue after State funding is completed. • Explains how project can be replicated in other disadvantaged communities. • Requests \$6 million in GGRF funding and explains how all funding will be spent on projects within the San Joaquin Valley Air Pollution Control District. 	<p>1 - 5 points</p>

4. Outreach and Education – Maximum 10 points

Outreach and Education will be scored and will earn a point value that falls within one of the two ranges below, for a maximum of 10 points.

Plan for Outreach and Education to Disadvantaged Communities	Points Earned
<ul style="list-style-type: none"> • Plan for outreach and education is not clear and comprehensive. • Plan does not align well with the solicitation’s objectives and requirements. • Applicant and partners do not demonstrate experience with an understanding of the target communities. • Applicant and partners do not demonstrate knowledge of and ability to employ effective outreach tools and strategies. 	<p>0 – 5 points</p>
<ul style="list-style-type: none"> • Plan is clear and comprehensive. • Plan aligns well with the solicitation’s objectives and requirements. • Applicant and partners demonstrate experience with an understanding of the target communities. • Applicant and partners demonstrate knowledge of and ability to employ effective outreach tools and strategies. • Plan includes specific steps and strategies designed to introduce the Agricultural Vanpools Pilot Project to the target communities. • Plan demonstrates how it will meet the specific needs of the targeted communities, including provisions to translate the project website and materials into non-English language(s). • Plan seeks input from community-based organizations and residents to help design the project before implementation and adjust the project as it is implemented. Proposed outreach activities are appropriate and use both routine and innovative ways to engage target communities. • Methods and metrics are provided for measuring and reporting the outreach and education plan’s success in reaching the target community. • The outreach and education goals and milestones are described in the Project Schedule milestones. 	<p>6 – 10 points</p>

5. Provisions for Data Collection, Storage, and Reporting – Maximum 5 points

Provisions for Data Collection, Storage, and Reporting will be scored and will earn a point value for a maximum of 5 points.

Provisions for Data Collection, Storage, and Reporting	Points Earned
<ul style="list-style-type: none">• The Project Implementation Plan clearly identifies data the project will collect, including data related to vehicles, EVSE, fuel use, vehicle usage data, and benefits to the identified disadvantaged community.• Plan details how project data will be stored and secured.• Plan details how data will be reported to CARB.• Plan details what it considers confidential data and how it will be handled.	0 – 5 points

6. Estimated Emission Reductions – Maximum 10 points

Estimated Emission Reductions will be scored and will earn a point value for a maximum of 10 points.

Estimated Emission Reductions for Scoring	Points Earned
<ul style="list-style-type: none">• The Estimated Vanpool Emissions Calculations Worksheet for Project Scoring data input aligns with the Project Implementation Plan.• The Estimated Vanpool Emissions Calculations Worksheet for Project Scoring is completed and identifies GHG, NO_x, PM 2.5, and ROG emission reductions anticipated by the project.• The cost effectiveness calculation is completed.• Estimates of vehicle miles traveled are reasonable for the project design.	0 – 10 points

XVII. GRANTEE SELECTION

Prior to executing a Grant Agreement, preliminarily selected project applicants must demonstrate that they have secured the match funding detailed in their application and have completed all required CEQA review. For a project requiring CEQA review where an agency other than CARB is serving as lead CEQA agency, the applicant must submit any required final CEQA documents by Friday, April 20, 2018 (prior to execution of the Grant Agreement). If an applicant fails to meet these requirements, CARB may deny the grant application.

CARB will independently review any CEQA documentation provided by the applicant. CARB may modify any Grant Agreement based upon information produced from the CEQA environmental review process. If CARB in its sole discretion finds a project's CEQA documentation inadequate, CARB retains absolute sole discretion to either (1) modify the grant agreement as necessary to comply with CEQA, (2) select other feasible alternatives to avoid significant environmental impacts, or (3) deny the grant application. No legal obligations will exist unless and until the parties have executed and delivered a Grant Agreement, as informed by information produced from the CEQA environmental review process (to the extent applicable).

The selected project applicant(s) will be required to sign a Grant Agreement to fulfill the administrative duties and technical duties associated with the project. Signed Grant Agreements and approved governing board resolutions must be returned to CARB no later than the deadline in the Solicitation Timeline. If project Grant Agreements and approved governing board resolutions are not returned by the deadline, CARB, in its sole discretion, may deny the grant application and can redirect funds to another submitted application to this Solicitation or to another project in the Funding Plan as needed. If, in CARB's sole discretion, no project proposal meets the goals of this Solicitation, no selection of a Grantee or technology provider will be required to be made, and funding can be directed to another project identified in the Funding Plan as needed.

CARB, in its sole discretion, may make minor changes to proposed milestones, work plan, or disbursement schedules in consultation with the applicant, for inclusion in the Grant Agreement.

XVIII. ADMINISTRATION

- A. Cost of Developing Application:
The Applicant is responsible for the cost of developing an Application, and this cost cannot be charged to the State. In addition, CARB is not liable for any costs incurred during environmental review or as a result of withdrawing a proposed award or canceling the solicitation.

- B. Errors:
If an Applicant discovers any ambiguity, conflict, discrepancy, omission, or other error in the solicitation, the Applicant shall immediately notify CARB of such error in writing and request modification or clarification of the document. CARB shall not be responsible for failure to correct errors.
- C. Immaterial Defect:
CARB may waive any immaterial defect or deviation contained in an Applicant's application. CARB's waiver shall in no way modify the Application or excuse the successful Applicant from full compliance.
- D. Disposition of Applicant's Documents:
On the date that the Grant Agreement is signed, all applications and related material submitted in response to this solicitation become a part of the property of the State and public record.
- E. Applicant's Admonishment:
This solicitation contains the instructions governing the requirements for funding projects submitted by interested Applicants, including the format in which the information is to be submitted, the material to be included, the requirements that must be met to be eligible for consideration, and Applicant responsibilities. Applicants must take the responsibility to carefully read the entire solicitation, ask appropriate questions in a timely manner, submit the application with all required responses in a complete manner by the required date and time, and make sure that all procedures and requirements of the solicitation are followed and appropriately addressed.
- F. Agreement Requirements:
The content of this solicitation and each grant Recipient's application shall be incorporated by reference into a final grant agreement. CARB reserves the right to negotiate with Applicants to modify the project scope, the level of funding, or both. If CARB is unable to successfully negotiate and execute a funding agreement with an Applicant, CARB, at its sole discretion, reserves the right to withdraw the pending award and fund the next highest ranked eligible project. This does not limit CARB's ability to withdraw a proposed award for other reasons, including for no cause.
- G. No Agreement Until Signed:
No agreement between CARB and the successful Applicant is in effect until the agreement is signed by the Recipient and signed by the authorized CARB representative. Costs are only subject to reimbursement by CARB after execution; no costs incurred prior to execution of the agreement are reimbursable using CARB funds.
- H. No Modifications to the General Provisions:
The general provisions are a required component of this grant and are not negotiable. Applicants should not apply if they cannot meet the terms of the general provisions. CARB reserves the right to reject an application or withdraw a proposed award if an applicant attempts to negotiate, or

otherwise seeks modification of, the General Provisions (attached as Appendix B, Exhibit A, Sample Grant Agreement Section N).

I. Payment of Prevailing Wages:

All applicants must read and pay particular attention to Appendix B, Exhibit A, Sample Grant Agreement Section N.15. Prevailing wages and labor compliance. Prevailing wage rates can be significantly higher than non-prevailing wage rates. Failure to pay legally-required prevailing wage rates can result in substantial damages and financial penalties, termination of the grant agreement, disruption of projects, and other complications.

J. Solicitation Cancellation and Amendments:

CARB reserves the right to cancel this solicitation, revise the amount of funds available under this solicitation, amend this solicitation as needed, and reject any or all applications received in response to this solicitation.