**GRANT FUNDING OPPORTUNITY**

**California’s Fifth Climate Change Assessment**

**Tribal Research Grant Program**

**GFO-xx-xxx**

https://www.energy.ca.gov/funding-opportunities/solicitations

**State of California**

**California Energy Commission**

**Month Year**



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# I. Introduction

**NOTE: This solicitation is for the Fifth California Climate Change Assessment Tribal Research Grant Program. The solicitation documents are unique and different from other California Energy Commission solicitations. Please do not use attachments from other Energy Commission grant solicitations (e.g., EPIC and FPIP programs).**

California is experiencing climate change effects throughout its diverse geography, environments, and human communities. Expected future trends for climate impacts in California include:

* Rising temperatures and more frequent extreme heat events
* Rising sea levels
* Declining snowpack
* Increasing heavy precipitation events and flooding
* Increasing drought
* Increasing area burned by wildfire

These climate impacts are resulting in cumulative adverse impacts to the environment, human health, and critical infrastructure.

Indigenous peoples are on the frontlines of those experiencing and adapting to climate change. California’s Fourth Climate Assessment began to explore this connection and showed us that California Native American tribes (Tribes) are actively managing climate change with innovative strategies that utilize the blending of traditional knowledge(s) with other ways of knowing, including Western science. Through the Fifth Assessment Tribal Research program, California is investing in tribally led climate change research initiatives. While no one definition of traditional knowledge (also referred to as Traditional Ecological knowledge, Tribe Traditional Knowledge, Indigenous Traditional Ecological knowledge) is widely adopted, for the purposes of the Fifth Assessment, the working definition of traditional knowledge is, "a cumulative body of knowledge, practice, and belief system, evolving by adaptive processes and handed down through generations by cultural transmission, about the relationship of living beings (including humans) with one another and their environment."

## Background

With the passage of SB 1320, and funding from the 2021 Climate Budget, the Fifth Climate Change Assessment (Fifth Assessment) will implement the Legislature’s direction on Climate Change Research, including building out much needed information on the economic costs of climate impacts and the benefits of adaptation actions. It will also continue to elevate equity and environmental justice issues, as well as California’s leadership in building research partnerships with Tribes.

The Fifth assessment will support on-the-ground implementation and decision-making at the local, regional, tribal, and state levels, especially focusing on the needs of vulnerable communities. The Fifth Assessment will include:

* The next generation of downscaled climate projection data
* Primary research that addresses California-specific research needs and questions.
* A Tribal Research Program focused on supporting tribally led, climate research
* A suite of regional, topical, and statewide synthesis reports that translate this cutting-edge research to the needs and context of every region across the state
* And lastly, but importantly, tools and resources that ensure all this information is driving climate action on the ground.

To implement this cross-cutting suite of research products, the assessment is supported by a collaborative multi-agency team to leverage existing expertise and roles across state agencies, including the Governor’s Office of Planning and Research, California Natural Resources Agency, California Energy Commission, and California Strategic Growth Council.

## Purpose of Solicitation

The purpose of this solicitation is to provide funding for Tribes and tribal organizations to conduct tribally led climate change research, assessments, and similar projects deemed a priority by the applying tribe. Senate Bill 170 (Skinner, Chapter 240, Statutes of 2021) appropriated $3.625 million in grant funds for the California Energy Commission (CEC) to administer pursuant to this purpose.

Funding through the Fifth California Climate Change Assessment (Fifth Assessment) Tribal Research Grant Program is available to all federally and non-federally recognized California Native American tribes to conduct climate research. The results of this research may be used in the Tribal Research Program efforts and regional and topical reports of the Fifth Assessment; however, during agreement development, CEC and the awardee will prepare a data sharing agreement that defines how project results and deliverables will be used.

## Project Focus

The Tribal Research Grant Program will accommodate a diversity of geographies, environments, project types, and climate impacts with tribal governments and related tribal communities.

An emphasis for this program is to fund tribally led projects that have a Traditional knowledge(s) (including TEK) focus, a research area and way of knowing that has historically been underfunded in climate initiatives. **The Fifth Assessment will not ask for sensitive or confidential information at any stage of this program and will respect the data sovereignty of the Tribe.** If requested, a data sovereignty agreement can be included in final grant agreement documents.

The Fifth Assessment team encourages opportunities that align and coordinate the Fifth Assessment Tribal Research Grant Program with other Tribal and State climate change funding programs. Each grant application may include capacity for participation and engagement.

#### Tribal Research Grant Program Goals

In addition to the six distinct groups listed and explained below, each project will need to align with the following objectives of the program:

* Support tribally led efforts, projects, and research related to climate change
* Support one or more of the broader Fifth Assessment goals to:
  + Produce actionable science and data, specific to California, that depict current and future climate change impacts and trends. Fifth Assessment Research Priorities can be found in Attachment XX.
  + Conduct and compile original research—informed by foundational climate projections—that supports climate resilient policy and practice in California
  + Translate climate projections, data, and research into regionally and topically specific products with the primary audience of local and regional decision-makers and State agencies to guide climate resilient planning, investments, and implementation
  + Support tribally led processes to address California Native American tribe’s research needs and questions related to climate change
* Supports a priority or need identified by the applying Tribe or Tribes

#### Project Groups and Categories

The Fifth Assessment Tribal Research Program has identified six (6) distinct groups and categories of fundable projects. Each project must align with at least one group below, however if more than one group applies to your project, you may identify one (1) primary group and secondary group(s). All applications will be evaluated, scored, and ranked against all other applications submitted within a Grant Round.

**Project Groups**

**Group 1:** Research. Grants in this group may focus on one or more climate change topics of concern to the Tribe. Applications in Group 1 can propose research on traditional knowledge, climate change impacts, or climate change responses and mitigation. An example of a research project focusing on traditional knowledge might include creating a register—for the tribe’s use only—of traditional ecological knowledge bearers and their areas of expertise. Other traditional knowledge grants might interview traditional knowledge bearers on a single topic, such as traditional burning, as a step toward wider use of traditional ecological knowledge. Applicants may propose grants to conduct a literature review of one or more kinds of climate change impact of interest to the tribe (sea level rise, flash flooding, changes in vegetation patterns, etc.). Studies of the state-of-the-art in climate change assessments and adaptive responses would also fall under Group 1.

**Group 2:** Assessment. Applications for grants under Group 2 consist of tribal climate assessments. Climate assessments must focus on a specific geographic area on tribal lands or areas that affect tribal lands/members. Climate assessments may be as narrow or as broad as the applicant tribe requires. For instance, a tribe with ties to the coast might focus its climate assessment on sea level rise but could also assess salinity in water sources, the effects of overall warmer temperatures, and other topics. Other relevant concerns to Group 2 grants consist of culturally significant resources, whether plant, animal, or mineral. A map of the assessment area, excluding sensitive information, must be submitted for assessment grants. We encourage partnerships when and as deemed appropriate by the Tribe.

**Group 3:** Implementation. This group includes climate change adaptation and mitigation grants. Implementation grants shall identify the climate change impact(s) that the project would address, the geographic area under consideration, and description of adaptive or mitigative activities. The application must demonstrate that the tribe has control over or permission to work on the implementation site. An executive summary, previous work products, and map of the project area (if applicable) excluding sensitive information, must be submitted for implementation projects. A straightforward example of an implementation project is a proposal to initiate reforestation of tribal lands affected by a catastrophic wildfire.

**Group 4:** Information Sharing. Information sharing maintains and advances practical and culturally relevant knowledge in traditional and Western scientific practices alike. The interchange of teaching and learning is important among peer groups (tribal elders, tribal youth, tribal government workers, and non-tribal agency personnel) and especially between generations. Group 4 grants are intended to improve and support knowledge sharing within tribes, among tribes, and between tribes and agencies (as tribes deem appropriate). Information-sharing grants in the Tribal Research Grant Program shall focus on communicating climate change research or traditional knowledges. Examples of Information Sharing proposals that the CEC could fund in Round 1 of the Tribal Research Grant Program funding include elder–youth interviews, traditional knowledge workshops, the creation of videos for storytelling, intertribal conferences, and proposals to organize and lead tribal-agency partnership workshops on TEK-western science engagement. Applicants could elect to partner with an agency as well. The geographic scope of Information Sharing can range from local to interregional.

**Group 5:** Tool Development. California Native American tribes each have unique levels of involvement with climate change research. Although information about climate change in California is fast accumulating, it is not always easily accessible or understood. Group 5 grants would address imbalances in tribal access and use of climate change data by developing tools to bridge the gaps. Possible grants under Group 5 include tracking the condition of culturally significant plant stands in a geographic information system (GIS) or creating user guides (where they do not exist or are inaccessible to tribes) for complex databases (for example, a database of tribal health information and climate impacts/adaptations), or decision trees for interpreting and acting on existing climate change data. Applications must include plans for sustaining online tools over time.

**Group 6:** Other. The Fifth Assessment team cannot anticipate all possible types of climate change and traditional knowledge projects that the Tribal Research Grant Program could fund. We encourage applicants that have a relevant proposal that does not clearly fit into groups 1–5 to submit applications under Group 6. Applications in Group 6 can include the implementation of traditional knowledges that have no or few known parallels in Western science traditions but that accord with tribes’ understanding of human-environment interactions. One example could be the restoration of a traditional ceremony that establishes or renews the correct relationship between the applicant tribe (and others, as might be applicable) and the natural world. The Fifth Assessment team will uphold tribes’ right to protect this knowledge as well as to share it as the tribes see fit.

For all groups, the application must provide evidence that required tribal, federal, state, and local environmental impact requirements for the project have been satisfied (examples include the California Environmental Quality Act and National Environmental Policy Act) or that the implementation project is exempt from such requirements. See Attachments 1 and 6.

If requesting funding for environmental analysis, your application must describe how the funds will be used to comply with environmental impact analysis and whether you are obtaining additional funds from other sources to conduct the environmental impact analysis.

**Funding Categories**

A mixture of small, medium, and large grants will provide different funding options for varying Tribal needs and priorities. These options are intended to assist Tribes to ramp up over successive years, from smaller grants to larger grants, such as progressing from limited research, to feasibility planning, to project implementation. Tribes could also start with a larger project and reapply in successive years with smaller grants that explore findings or related lines of inquiry stemming from the larger project. Some examples of projects that would be considered eligible for funding under the different funding amounts are listed below. If you have an idea for a project that is not listed but has been identified as a priority by your Tribe, we encourage you to contact the Commission Agreement Officer (contact listed in the Questions section of the solicitation) as it may still be eligible.

**Small Grant (up to $20,000).** Examples include, but are not limited to:

* Single subject focused research (e.g., fire)
* Specific task or focus of a larger on-going climate change related project, including a project already funded by this grant program
* Match for another topically related grant not funded by this program
* Specific individual oral history recording or other knowledge sharing project concerning climate change topics (i.e., inter-generational knowledge sharing, youth mentorship, developing and hosting TEK workshop)
* Convening of a tribally led inter-tribal or state agency gathering

**Medium Grant (up to $100,000).** Examples include, but are not limited to:

* Multi-subject focused research (e.g., fire, flooding, and plants that prevent erosion).
* Large specific or several tasks or foci of a larger on-going climate change related project, including a project already funded by this grant program
* Match for another topically related grant not funded by this program
* Multiple individual oral history recording concerning climate change topics
* Development of a tribally led extensive knowledge sharing program concerning climate change topics and traditional ecological knowledge (i.e., establishing a youth conservation corps, developing, and implementing a TEK educational program)

**Large Grant (up to $200,000).** Examples include, but are not limited to:

* Large multi-subject ecological research (e.g., fire, flooding, botany and erosion, basketry materials and hunting, as relates Native American community resiliency)
* Large on-going climate change related project, including a project already funded by this grant program
* Match for another topically related grant not funded by this program
* Community oral history recording concerning climate change topic(s) or other knowledge sharing programs
* Development of a tribally led extensive knowledge sharing program concerning climate change topics and traditional ecological knowledge (i.e., establishing a youth conservation corps, developing, and implementing a TEK educational program)

**Collaborative Grant (up to $400,000) Must include at least two tribes and all tribes must play an active role in the project.** Examples include, but are not limited to:

* Collaboration with multiple tribes ex) Tribal Climate Stewardship Network
* Landscape or regional scale assessment or climate change project
* Inter-tribal knowledge sharing program

## Funding and Activity Schedule

#### Amount Available and Minimum/Maximum Funding Amounts

There is up to **$3,625,000** available for grants awarded under this solicitation, which is expected to be awarded over three rounds of grant funding. Funding levels vary based on project type, from $20,000 to $400,000 per awarded applicant. It is estimated that $1 million to $1.4 million may be distributed in each round.

| Grant Type | Maximum Funding Award Amount |
| --- | --- |
| Small Grants | $20,000 |
| Medium Grants | $100,000 |
| Large Grants | $200,000 |
| Collaborative Grants | $400,000 |

| Round | Estimated Amount |
| --- | --- |
| Grant Round 1: 2023-2024 | $1,200,000 |
| Grant Round 2: 2024-2025 | $1,400,000 |
| Grant Round 3: 2025-2026 | $1,000,000 |

#### Funding Determination

Funding determination will be based on the scores produced by a scoring committee, using scoring criteria in Section IV.

#### Statutory Funding Deadlines

Funding through the Tribal Research Grant Program is available for encumbrance (funding reservation) until June 30, 2026.

#### Change in Funding Amount

Along with any other rights and remedies available to it, the (CEC) reserves the right to:

* Increase or decrease the available funding and the minimum/maximum award amounts described in this section.
* Allocate any additional or unawarded funds to passing applications, in rank order.
* Reallocate funding between any of the grant types or grant rounds.
* Reduce funding to an amount deemed appropriate if the budgeted funds do not provide full funding for agreements. In this event, the Recipient and Commission Agreement Manager will reach agreement on a reduced Scope of Work commensurate with available funding.

#### 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.

* **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:** 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, with the exception of “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 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.
* **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.
* **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, trainings, 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, access to proprietary data.
* **Environmental Analysis**: Environmental studies, plans, or documents normally required for project development under the California Environmental Quality Act (CEQA) or National Environmental Policy Act (NEPA) or the tribe’s own ordinances as applicable.
* **Facilitation for meetings:** 
  + Rental costs of equipment, facilities, or venues
  + Transportation stipends and provision of transportation services for community residents, such as a vanpool

#### 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
* 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 Tribal Research Grant Project

#### Invoicing and Payment

* Payment is issued as reimbursement for eligible costs.
* The Commission Agreement Manager will provide template invoice spreadsheet to Recipient.
* If invoicing for in-house staff time, the template invoice spreadsheet must identify the employee’s name, hours worked, and billing rate to be included as a reimbursable expense.
* To avoid processing and workload delays, CEC staff highly encourage a frequency of no more than quarterly.
* Reimbursement is for:
* Paid Costs. Paid costs are expenses which the Recipient has already made payment.
  + For invoicing, Recipient must submit paid invoices/receipts, or other supporting documentation for line-item expenses over $500.
  + For expenses under $500, Recipients will have to retain documentation in case it is requested by CEC staff, such as part of an audit.

#### Match Funding Requirement

There is no match share requirement under this solicitation, however if you are leveraging other funding and State programs, we encourage you to identify that.

## Program Timeline

The proposed timeline below is for Grant Round 1 and is subject to change. An addendum will be released if the dates change for activities that appear in bold. An addendum will be released for subsequent Grant Round Dates.

|  |  |
| --- | --- |
| **Milestones** | **Round Dates** |
| Grant Funding Opportunity Public Comment Period | November 9, 2022-February 1, 2022 |
| Solicitation Release | February 16, 2023 |
| Pre-Application Webinars and Meetings | February 16, 2023-May 14, 2023 |
| **Deadline for Written Questions** | **March 10, 2023** |
| Anticipated Distribution of Questions and Answers | Week of April 3, 2023 |
| **Deadline for Submitting Applications by 5:00 p.m. Pacific Time** | **May 12, 2023** |
| Anticipated Notice of Proposed Award Posting Date | June-July 2023 |
| Anticipated CEC Business Meeting | July-September 2023 |
| Anticipated Agreement Start Date | October 1, 2023 |
| Anticipated Agreement End Date | TBD, 2025 |
| Final Invoice Deadline | March 31, 2026 |

## Notice of Pre-Application Workshop

CEC and OPR staff will hold Pre-Application Workshops to discuss the solicitation with potential applicants. Participation is optional but encouraged. The Fifth Assessment Tribal Research Program team is determining the possibility of having a third-party Technical Assistance Provider or if we will host Office Hours and publish Q&A documents. This will be decided and included in the final Grant Funding Opportunity.

## Questions

During the solicitation process, direct questions to the Commission Agreement Officer (CAO) listed below:

xxxxxxx Commission Agreement Officer

California Energy Commission

715 P Street, MS-1

Sacramento, California, 95814

E-mail: xxxxxx@energy.ca.gov

Applicants may ask questions at the Pre-Application Workshop, and may submit written questions via email. However, all **technical** questions must be received by the deadline listed in the “Program Timeline” above. Questions received after the deadline may be answered at the CEC's discretion. **Non-technical** questions (e.g., questions concerning application format requirements or attachment instructions) may be submitted to the Commission Agreement Officer (CAO) at any time prior to 5:00 p.m. of the application deadline date.

The questions and answers will also be posted on the Commission’s website at: https://www.energy.ca.gov/funding-opportunities/solicitations

If an applicant discovers a **conflict, discrepancy, omission, or other error** in the solicitation at any time prior to 5:00 p.m. of the application deadline date, the applicant may notify the CEC in writing and request modification or clarification of the solicitation. The CEC, at its discretion, will provide modifications or clarifications by either an addendum to the solicitation or by written notice to all entities that requested the solicitation. At its discretion, the CEC may, in addition to any other actions it may choose, re-open the question/answer period to provide all applicants the opportunity to seek any further clarification required.

**Any verbal communication with a Commission employee or anyone else 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 the assigned CAO.**

# II. Eligibility Requirements

## Applicant Requirements

#### Eligibility

This solicitation is open to all California Native American tribes, California tribal organizations, and tribal-serving non-governmental organizations (NGOs). California Native American tribes includes federally and non-federally recognized tribes on the Native American Heritage Commission list. A California tribal organization is a corporation, association, or group controlled, sanctioned, or chartered by a California Native American tribe that is subject to its laws, the laws of the State of California, or the laws of the United States.

It is recommended, but not required, that the primary eligible grant applicants are California Native American tribes.

Grant applications must be completed and signed by an authorized representative of the applicant.

Tribes entering into agreement with the CEC will NOT be required to provide an authorized limited waiver of sovereign immunity covering the scope of the grant agreement.

#### Terms and Conditions

Each grant agreement resulting from this solicitation will include terms and conditions that set forth the recipient’s rights and responsibilities. By signing the Application Form (Attachment 1), each applicant agrees to enter into an agreement with the CEC to conduct the proposed project according to the terms and conditions, without negotiation. Standard terms and conditions are included as Attachment X. Failure to agree to the standard terms and conditions by taking actions such as failing to sign the Application Form or indicating that acceptance is based on modification of the terms will result in **rejection** of the application. Applicants **must** **read** the terms and conditions carefully.The CEC reserves the right to modify the terms and conditionsprior to executing grant agreements.



# III. Application Organization and Submission Instructions

## Application Format

The application formatting and page limit **recommendations listed in Section VII. Please use the templates provided in section VII: Application Package and Templates for submission.**

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**
* Signatures: Wet or electronic signatures
* File Format: MS Word version 2007 or later (.doc or .docx format), excluding Excel spreadsheets and commitment or support letters (PDF files are acceptable fo**r the letters)**

## Application Content

* For all hard copy submissions, submit attachments in the order specified below.
* Label the proposal application cover “Grant Funding Opportunity GFO-xx-xxx” and include: (a) the title of the application; and (b) the applicant’s name.
* Separate each section of the application by a tab or page that is labeled with the attachment number and section title indicated below.
* All instructions and descriptions on what to include are provided in the corresponding attachment in Section VII of this document.

| Attachment Number | Title of Section |
| --- | --- |
| 01 | Application Form ***(requires signature)*** |
| 02 | Project Narrative |
| 03 | Project Team |
| 04 | Scope of Work and Schedule |
| 05 | Budget |
| 06 | CEQA/Environmental Compliance |
| 07 (if applicable) | Previous Work Products |
| 08 | Letter of Support ***(requires signature)*** |
| 09 | Applicant Declaration ***(requires signature)*** |

## Application delivery

#### Preferred Delivery Method

The preferred method of submitting applications to this solicitation is the CEC Grant Solicitation System (GSS), available at: https://gss.energy.ca.gov/. This online tool allows applicants to submit their electronic documents to the CEC prior to the date and time specified in this solicitation. Electronic files must be in Microsoft Word XP (.doc format) or newer and Excel Office Suite formats unless originally provided in the solicitation in another format. Attachments requiring signatures may be scanned and submitted in PDF format. Completed Budget Forms (Attachment 5) must be in Excel format.

The deadline to submit grant applications through the CEC’s GSS is 5:00 p.m. If the full submittal process has not been completed before 5:00 p.m., your application will not be considered. NO EXCEPTIONS will be entertained.

The CEC strongly encourages Applicants to upload and submit all applications well before 5:00 p.m. on the due date because CEC staff may not be immediately available when needed, and will not be available on weekends to assist with the upload process. And please note that while we endeavor to assist all would-be applicants, we can’t guarantee staff will be available for consultation on the due date, so please plan accordingly.

Please give yourself ample time to complete all steps of the submission process: do not wait until right before the deadline to begin the process. Due to factors outside the CEC’s control and unrelated to the GSS system, upload times may be much longer than expected. For example, some past applicants experienced unexpected issues on their end, causing long delays that prevented timely submission. They spent significant time and resources on applications the CEC will not consider. Please plan accordingly. For instructions on how to apply using the GSS system, please see the How to Apply document available on the CEC website at: https://www.energy.ca.gov/media/1654.

First time users must register as a new user to access the system. Applicants will receive a confirmation email after all required documents have been successfully uploaded. You may contact the Commission Agreement Officer identified in the Questions section of the solicitation for more assistance.

#### Hard Copy Delivery

Application hard copies will be accepted via U.S. Mail, Federal Express (FedEx), United Parcel Service (UPS), or in-person delivery.

Applications submitted in hard copy must be delivered via U.S. Mail, FedEx, UPS, or in person to the CEC’s Contracts, Grants and Loans Office during normal business hours and prior to the date and time specified in this solicitation. Applications received after the specified date and time are considered late and will not be accepted. There are no exceptions. Postmark dates of mailing, e-mail, and facsimile (FAX) transmissions are not acceptable in whole or in part, under any circumstances.

There is no need to submit a hard copy of an application that is submitted through the Grant Solicitation System as it may cause confusion.

Number of Copies: Applicants submitting a hard copy application are only required to submit one paper copy.

**Packaging and Labeling**

All hard copy applications must be labeled "Grant Funding Opportunity GFO-xx-xxx," and include the title of the application.

Include the following label information on the mailing envelope:

|  |  |
| --- | --- |
| Applicant’s Project Manager  Applicant’s Name  Street Address  City, State, and Zip Code |  |
|  | GFO-xx-xxx  Attn: xxxxxxxxx  California Energy Commission  715 P Street, MS-1  Sacramento, California, 95814 |

**Applications must be postmarked by the due date to be considered eligible for funding.** You may contact the Commission Agreement Officer identified in the Questions section of the solicitation for more assistance.

# IV. Evaluation and Award Process

## Application Evaluation

Applications will be evaluated and scored based on responses to the information requested in this solicitation and on any other information available, such as on past performance of CEC agreements. To evaluate applications, the CEC will organize an Evaluation Committee that consists of State staff. Applications will be evaluated in two stages:

#### Stage One: Application Screening

The Evaluation Committee will screen applications for compliance with the Screening Criteria in **Section E** of this Part. **Applications that fail any of the screening criteria will be rejected.** The Evaluation Committee may conduct optional telephone or email **Clarification Interviews** with applicants during the screening process to clarify and/or verify information submitted in the application. However, these interviews may not be used to change or add to the content of the original application. Applicants will not be reimbursed for time spent answering clarifying questions.

#### Stage Two: Application Scoring

Applications that pass Stage One will be submitted to the Evaluation Committee for review and scoring based on the Scoring Criteria in **Section F** of this Part.

* All applications will be evaluated, scored, and ranked against all other applications submitted within a Grant Round.
* The scores for each application will be the average of the combined scores of all Evaluation Committee members.
* Clarification Interviews: The Evaluation Committee may conduct optional telephone or email interviews with applicants during the evaluation process to clarify and/or verify information submitted in the application. However, these interviews may not be used to change or add to the content of the original application. Applicants will not be reimbursed for time spent answering clarifying questions.
* **A minimum score of 70%, or 70.0 points,** is required to be eligible for funding.

## Ranking, Notice of Proposed Award, and Agreement Development

1. **Ranking and Notice of Proposed Award**

Applications that receive at least the minimum required score for all criteria will be ranked according to their score.

* CEC staff will post a **Notice of Proposed Award (NOPA)** that includes: (1) the total proposed funding amount; (2) the rank order of applicants; and (3) the amount of each proposed award. The CEC will post the NOPA on its website.. Proposed awards must be approved by the CEC at a business meeting.
* **Debriefings:** Unsuccessful applicants may request a debriefing after the release of the NOPA by contacting the Commission Agreement Officer listed in Section I.
* In addition to any of its other rights, the CEC reserves the right to:
  + Allocate any additional funds to passing applications, in rank order; and
  + Negotiate with successful applicantstomodify the project scope, schedule, project team entity that will receive the award, location and/or level of funding.

1. **Agreements**

Applications recommended for funding will be developed into a proposed grant agreement to be considered at a CEC Business Meeting. Recipients may begin the project only after full execution of the grant agreement (i.e., approval at a CEC business meeting and signature by the Recipient and the CEC).

* **Agreement Development:** The Contracts, Grants, and Loans Office will send the Recipient a grant agreement for approval and signature. The agreement will include the applicable terms and conditions and will incorporate this solicitation and the application by reference. The CEC reserves the right to modify the award documents (including the terms and conditions) prior to executing any agreement.
* **Failure to Execute an Agreement:** If the CEC is unable to successfully execute an agreement with an applicant in a timely manner, it reserves the right to cancel the pending award and use the funds elsewhere, such as to fund the next highest-ranked, eligible application.

## Grounds to Reject an Application or Cancel an Award

Applications that do not pass the screening stage will be rejected. In addition, the CEC reserves the right to reject an application and/or to cancel an award for any reason, including any of the following:

* The application contains false or intentionally misleading statements or references that do not support an attribute or condition contended by the applicant.
* The application is intended to erroneously and fallaciously mislead the State in any way.
* The application does not comply or contains caveats that conflict with the solicitation, and the variation or deviation is material.
* The applicant has received unsatisfactory agreement evaluations from the CEC or another California state agency.
* The applicant is a business entity required to be registered with the California Secretary of State and is not in good standing.
* The applicant has not demonstrated that it has the financial capability to complete the project.
* The applicant fails to meet environmental compliance under tribal ordinances, CEQA, and/or NEPA within sufficient time for the CEC to meet its encumbrance deadline or any other deadlines, as the CEC in its sole and absolute discretion may determine.
* The applicant has included a statement or otherwise indicated that it will not accept the terms and conditions, or that acceptance is based on modifications to the terms and conditions.
* The application contains confidential information or identifies any portion of the application as confidential.

## Miscellaneous

1. **Solicitation Cancellation and Amendment**

It is the policy of the CEC not to solicit applications unless there is a bona fide intention to award an agreement. However, if it is in the State’s best interest, the CEC reserves the right, in addition to any other rights it has, to do any of the following:

* Cancel this solicitation;
* Revise the amount of funds available under this solicitation;
* Amend this solicitation as needed; and/or
* Reject any or all applications received in response to this solicitation.

If the solicitation is amended, the CEC will send an addendum to all entities that requested the solicitation, and will also post it on the CEC’s website at: https://www.energy.ca.gov/funding-opportunities/solicitations. The CEC will not reimburse applicants for application development expenses under any circumstances, including cancellation of the solicitation.

1. **Modification or Withdrawal of Application**

Applicants may withdraw or modify a submitted application before the deadline to submit applications by sending a letter to the Commission Agreement Officer listed in Section I. Applications cannot be changed after that date and time. An application cannot be “timed” to expire on a specific date. For example, a statement such as the following is non-responsive to the solicitation: “This application and the cost estimate are valid for 60 days.”

1. **Confidentiality**

Though the entire evaluation process from receipt of applications up to the posting of the NOPA is confidential, **all submitted documents will become publicly available records** after the CEC posts the NOPA or the solicitation is cancelled. **The CEC will not accept or retain applications that identify any portion as confidential.** If your proposal is working with culturally sensitive or confidential information, we highly recommend that you redact that information and provide a general summary, removing any sensitive information. A data sovereignty agreement will be included in the grant agreement if requested in order to protect sensitive and confidential information.

1. **Solicitation Errors**

If an applicant discovers any ambiguity, conflict, discrepancy, omission, or other error in the solicitation, the applicant should immediately notify the CEC of the error in writing and request modification or clarification of the solicitation. The CEC will provide modifications or clarifications by written notice to all entities that requested the solicitation. The CEC will not be responsible for failure to correct errors.

1. **Immaterial Defect**

The CEC may waive any immaterial defect or deviation contained in an application. The CEC’s waiver will not modify the application or excuse the successful applicant from full compliance with solicitation requirements.

1. **Disposition of Applicant’s Documents**

Upon the posting of the NOPA, all applications and related materials submitted in response to this solicitation will become property of the State and publicly available records. Unsuccessful applicants who seek the return of any materials must make this request to the Commission Agreement Officer listed in Section I, and provide sufficient postage to fund the cost of returning the materials.

## Stage One: Application Screening

| **Screening Criteria**  *The Application must pass ALL criteria to progress to Stage Two.* | **Pass/Fail** |
| --- | --- |
| 1. The application is received by the CEC by the due date and time specified in the “Program Timeline” in Section I of this solicitation and is received in the required manner (CEC Grant Solicitation System or hard copy). | Pass  Fail |
| 1. The Application Form (Attachment 1) is signed where indicated. | Pass  Fail |
| 1. The Applicant Declaration Form (Attachment 9) is signed where indicated. | Pass  Fail |
| 1. The applicant is a California Native American tribe, tribal-serving non-governmental organization, or a California Tribal Organization. | Pass  Fail |

The CEC may have waived the requirement for a signature on application materials for this solicitation. If a notice regarding CEC’s waiver of the signature requirement appears here: https://www.energy.ca.gov/funding-opportunities/solicitations, the waiver applies to this solicitation. In the event of a conflict between the notice and any language in this solicitation regarding signatures, the notice will govern.

## Stage Two: Application Scoring

Proposals that pass all Stage One Screening Criteria and are not rejected as described in Section IV.C. will be evaluated based on the Scoring Scale below and the Scoring Criteria on the following pages. Each criterion has an assigned number of possible points and is divided into multiple sub-criteria. The sub-criteria are not equally weighted. The Project Narrative (Attachment 2) must respond to each sub-criterion, unless otherwise indicated.

**Scoring Scale**

|  |  |  |
| --- | --- | --- |
| **% of Possible Points** | **Interpretation** | **Explanation for Percentage Points** |
| 0% | Not Responsive | Response does not include or fails to address the requirements being scored. The omission(s), flaw(s), or defect(s) are significant and unacceptable. |
| 10-30% | Minimally Responsive | Response minimally addresses the requirements being scored. The omission(s), flaw(s), or defect(s) are significant and unacceptable. |
| 40-60% | Inadequate | Response addresses the requirements being scored, but there are one or more omissions, flaws, or defects or the requirements are addressed in such a limited way that it results in a low degree of confidence in the proposed solution. |
| 70% | Adequate | Response adequately addresses the requirements being scored. Any omission(s), flaw(s), or defect(s) are inconsequential and acceptable. |
| 80% | Good | Response fully addresses the requirements being scored with a good degree of confidence in the applicant’s response or proposed solution. No identified omission(s), flaw(s), or defect(s). Any identified weaknesses are minimal, inconsequential, and acceptable. |
| 90% | Excellent | Response fully addresses the requirements being scored with a high degree of confidence in the applicant’s response or proposed solution. Applicant offers one or more enhancing features, methods or approaches exceeding basic expectations. |
| 100% | Exceptional | All requirements are addressed with the highest degree of confidence in the applicant’s response or proposed solution. The response exceeds the requirements in providing multiple enhancing features, a creative approach, or an exceptional solution. |

**Technical Evaluation CRITERIA**

All attachments provided by the applicant will be considered against each criterion below. The responses must directly relate to the solicitation requirements as stated in the solicitation.

| **Technical Evaluation Criteria** | **Maximum Points** |
| --- | --- |
| 1. **Demonstrated Need or Value** 2. Clearly identifies and provides detailed justification for the need and/or value of the proposal, as well as justification for the need and/or value of each of the technical tasks or activities proposed. 3. Reflects the goals and needs of the Tribe. 4. Identifies and discusses any benefits of the proposed activities and who will receive those benefits. 5. Identifies whether the Tribe contains or constitutes a tribal community that is vulnerable to wildfire, sea-level rise, or other climate-change impacts. 6. If the proposal is for a collaborative grant, demonstrates how the project would benefit each participating tribe. | **25** |
| 1. **Climate, Resilience, and Energy Goals** 2. Demonstrates how the proposed plan would progress the Tribe toward current and future climate, resilience, and energy goals, as relevant. 3. Demonstrates how the proposed plan aligns with the overall goals of California’s Fifth Climate Assessment and the Tribal Research Program | **25** |
| 1. **Scope of Work and Proposed Tasks** 2. Describes a Scope of Work with quantifiable/measurable technical, administrative, and economic performance goals and objectives for the proposal, including what criteria will be used to determine plan successes and failures. 3. Proposal tasks are stated as separate and distinct, clearly defined and logically presented, with appropriate goals, objectives, and interim and final products. 4. Proposal package includes a realistic schedule for completion of the proposal tasks during the contract period, as well as clearly described interim and final products for each task and an appropriate budget. 5. The Tribe demonstrates a plan to successfully complete proposal tasks and deploy results. 6. Proposal Package is complete and organized correctly. | **20** |
| 1. **Team Qualifications** 2. Explains how the various tasks will be managed and coordinated, and how the project manager’s expertise will support the effective management and coordination of all activities in the proposal by the end of the grant period. 3. Resumes are included for the project team as required under Section III. | **15** |
| 1. **Budget and Cost Effectiveness** 2. Overall proposal cost is consistent with the proposed work and products to be provided. 3. Personnel rates/costs, operating expenses, and indirect rates/costs are reasonable for the proposed work and consistent with the experience of the project team. | **15** |
| **Total Possible Points** | **100** |
| **Minimum Passing Score (70%)** | **70** |

# V. Applicants’ Admonishment & Responsibility

This solicitation manual contains application requirements and instructions. Applicants are responsible for **carefully reading** the solicitation, asking appropriate questions in a timely manner, ensuring that all solicitation requirements are met, submitting all required responses in a complete manner by the required date and time, and **carefully rereading** the solicitation before submitting an application.

Applicants are solely responsible for the cost of developing applications. This cost cannot be charged to the State of California. **Applicants should not submit any confidential information in their applications.** All submitted documents will become public records upon its inclusion in the ongoing posting of the Notice of Proposed Award.

In addition to any other right reserved to it under this solicitation or that it otherwise has, if the CEC determines, in its sole and absolute discretion, that an agreement is not being successfully executed with an applicant in a timely manner, the CEC may cancel a proposed award and award funds to another applicant, if applicable.

# VI. Key Words/Terms

| **Word/Term** | **Definition** |
| --- | --- |
| Adaptation | Adaptation is an action or set of actions that reduce climate risk (adapted from 2021 CA State Adaptation Strategy). |
| Applicant | The entity that submits an application to this solicitation. |
| Application | An applicant’s written response to this solicitation. |
| Authorized Representative | *Authorized Representative*, the person signing the application form who has authority to enter into an agreement with the CEC. |
| California Native American tribe (Native American tribe or Tribe) | A Native American Tribe located in California that is on the contact list maintained by the Native American Heritage Commission for the purposes of Chapter 905 of the Statutes of 2004. |
| California Tribal Organization | A corporation, association, or group controlled, sanctioned, or chartered by a California Native American tribe that is subject to its laws, the laws of the State of California, or the laws of the United States. |
| CAM | *Commission Agreement Manager,* the person designated by the CEC to oversee the performance of an agreement resulting from this solicitation and to serve as the main point of contact for the Recipient. |
| CAO | *Commission Agreement Officer*, the person designated by the CEC as the main point of contact under this solicitation |
| CEC | State Energy Resources Conservation and Development Commission or, the California Energy Commission. |
| CEQA | *California Environmental Quality Act*, California Public Resources Code Section 21000 et seq. |
| Days | Days refers to calendar days. |
| Energy Commission or Commission | State Energy Resources Conservation and Development Commission or, the California Energy Commission |
| Mitigation | A human intervention to reduce the human impact on the climate system; it includes strategies to reduce greenhouse gas sources and emissions and enhancing greenhouse gas sinks. |
| NOPA | *Notice of Proposed Award,* a public notice by the CEC that identifies award recipients. |
| Project Manager | The person designated by the applicant to oversee the project and to serve as the main point of contact for the CEC. |
| Project Partner | An entity or individual that contributes financially or otherwise to the project (e.g., match funding, provision of a test, demonstration or deployment site), and does not receive CEC funds. |
| Recipient | An entity receiving an award under this solicitation. |
| Resilience | Resilience describes a state of readiness to face climate risks. (2021 CA State Adaptation Strategy) |
| Solicitation | This entire document, including all attachments, exhibits, any addendum and written notices, and questions and answers (“solicitation” may be used interchangeably with “Grant Funding Opportunity”). |
| State | State of California |
| Tribal Community | A group of people living within reservation or allotment boundaries, living on land that otherwise falls under the ownership or jurisdiction of a California Native American Tribe, or that is served by a California Native American tribe or other California Tribal Organization, regardless of whether or not those people are tribal members of one or another tribe or are not tribal members. |

# VII. Application Package and Attachments

Each Attachment in this section contains a suggested template and a detailed description of the information requested in that attachment. Completeness in submitting all the information requested in each attachment will be factored into application scoring. All word limits are recommendations, and we anticipate more complex, larger projects to use the upper limit, while less complex smaller projects to utilize the lower limit.

**Please do not submit any culturally sensitive, confidential, or proprietary information with your application.** For example, do not include these types of information on tribal maps or project area maps, if maps are submitted.

## Attachment 1: Application Form

This form provides the Energy Commission with basic information about the applicant and the project. Each applicant must complete and sign this form. If an applicant submits multiple applications that address the same project option, each application must be for a distinct project (i.e., no overlap with respect to the tasks described in the Scope of Work, Attachment 4). By signing this document, the applicant attests that all information provided is true and correct, and the applicant agrees to the terms of this solicitation. This form must be signed for the project to be eligible.

**Applicant’s Identification Information**

| **Legal Name of Tribe or Organization** |  |
| --- | --- |
| **Please select applicable box for primary applicant** | Federally recognized tribe  Non-federally recognized tribe  California Tribal Organization  Tribal-serving Non-governmental Organization |
| **Federal Tax ID #** | XX**-**XXXXXXX |
| **Project Manager**  (serves as the point of contact for all communications) | Name:  Title:  Street Address:  City, State, and Zip Code:  Phone Number: ( ) –  Fax Number: ( ) -  E-Mail Address: |

| **Project Title** |
| --- |
|  |

**Proposed Term** *(must fall within the dates specified in the “Program Timeline” in Section I of the solicitation.)*

**Start Date: / /**

**End Date: / /**

**Primary Project Group** *(Place a check in the box applicable to the proposed project. Select only one primary group per application. IF you have secondary groups, please indicate them in the next section. See Section I of the solicitation for an explanation of each project option.)*

Option 1: Topic-specific Research

Option 2: Climate Assessment

Option 3: Project Implementation

Option 4: Information Sharing

Option 5: Tool Development

Option 6: Other

**Secondary Project Group** *(Place a check in the box(es) applicable to the proposed project. You may select multiple secondary groups, however selecting more or less secondary project groups will not affect the evaluation of your application.)*

Option 1: Topic-specific Research

Option 2: Climate Assessment

Option 3: Project Implementation

Option 4: Information Sharing

Option 5: Tool Development

Option 6: Other

**Project Location** (if applicable)

General description of project area:

Street Address: \_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_

Assessor’s Parcel Number: \_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_

City: ­­­­­­­­­­­­­­­\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_ State: \_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_ Zip Code: \_\_\_\_\_\_\_\_\_\_\_\_\_

| **Project Description** *(under 300 words)* |
| --- |
|  |

| Funding | *(See “Funding and Activity Schedule” in Section I of the solicitation)* |
| --- | --- |
| Amount Requested  **$20,000 to $400,000** | **$** \_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_ |

**California Environmental Quality Act** (CEQA) Compliance *(for an explanation of CEQA requirements, see CEQA Compliance Form Attachment or http://www.resources.ca.gov/ceqa/*. *Complete Attachment regardless of whether the answers to the questions below are “yes” or “no.”)*

**1.** **Are the proposed activities considered a “project” under CEQA (i.e., do they have the potential to cause a direct or a reasonably foreseeable indirect physical change in the environment)?** *See California Public Resources Code Section 21065 and 14 California Code of Regulations Section 15378 for a definition of “project.”*

Yes: skip to question 2.

No: complete the sentence below.

*The activities funded by the agreement will not cause a direct physical change in the environment or a reasonably foreseeable indirect physical change in the environment because* … *[complete the sentence]*.

**2. If the proposed activities are considered a “project” under CEQA and are not exempt, has the required environmental review been completed?**

Yes (provide the documentation required in CEQA Compliance Form Attachment)

No (explain why no documentation has been prepared where indicated on Attachment)

**National Environmental Policy Act** (NEPA)

Does NEPA or any other federal permitting regulations apply to this project? Yes or no? If yes, please list and provide associated documents or permits.

**Tribal Review**

Are there any regulations, processes, or procedures that you will need to undertake with your Tribe?

**Other Permitting Requirements**

Are there any other local, state, or federal permitting requirements that you will need to complete to implement the grant proposal?

| Subrecipients *(If subrecipients will perform work for the project, insert the legal name of*  *each subrecipient below.)* |
| --- |
|  |
|  |
|  |
|  |

**Climate-relevant Funding for Past Agreements** *(Complete the table below if the applicant and/or its subrecipients have any active or past (within the last ten years) agreements related to or in support of this application. If the number of agreements for the applicant or subrecipients exceeds five, list at least five of the applicant or subrecipients’ most relevant agreements, in order of date and relevance to the proposed project.)*

| Name of Applicant or Subrecipient | Name of Entity that Issued the Agreement, Contact Name, and Phone Number | Description of Project and Status |
| --- | --- | --- |
| *Agreement 1* |  |  |
| *Agreement 2* |  |  |
| *Agreement 3* |  |  |
| *Agreement 4* |  |  |
| *Agreement 5* |  |  |

Certifications

1. I am authorized to complete and sign this form on behalf of the applicant.
2. I authorize the California Energy Commission to make any inquiries necessary to verify the information presented in this application.
3. I have read and understand the terms and conditions contained in this solicitation. I accept the terms and conditions contained in this solicitation on behalf of the applicant, and the applicant is willing to enter into an agreement with the Energy Commission to conduct the proposed project according to the terms and conditions without negotiation.
4. To the best of my knowledge, and under penalty of perjury, the information contained in this application is correct and complete.

Signature of Authorized Representative: \_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_ Date: \_\_\_\_\_\_\_\_\_\_\_

Printed Name of Authorized Representative: \_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_

## Attachment 2: Project Narrative

The Proposal Narrative must include a detailed description of the proposed activities, as well as goals and objectives of the proposed activities and provide sufficient detail so that reviewers will be able to evaluate the proposal against each of the screening criteria, scoring scale, and the technical evaluation criteria. This narrative should concisely address each of the five sections below using the headings provided. The narrative should be written in straightforward language and be formatted using 11-point font and 1” margins. (Maximum 1000 words, no minimum. Please scale your proposal narrative to the complexity of your project.)

Proposals should avoid the use of technical or discipline-specific jargon. Spell out any acronyms that are not universally understood.

1. Project Overview – Describe what the proposal intends to do. Describe the purpose, aims and objectives of the activities described in the proposed scope of work. As applicable, include:
   * Identify which project group this proposal falls into. You may submit more than one application, to either the same group or different groups. If a project falls within more than one group, applicant must identify one Primary Group and may indicate Secondary Group(s) if applicable. A description and examples of each group can be found in Section I.C.2 of this document.
   * How specified objectives will allow the Tribe to better understand and implement its climate and energy plans.
   * How the project addresses challenging issues and tackles or anticipates problems or barriers to move towards solutions.
2. Statement of Need - A clear, detailed justification statement that identifies the need and/or value of the proposal (for the Tribe), as well as additional needs and/or values that are reflected through the technical tasks or planning activities proposed. This statement should, at a minimum:
   * Identify the need and/or value of the proposal, as well as justification for the need and/or value of each of the technical tasks or activities proposed.
   * Reflect the Tribe’s goals as stated in its current planning or policy documents.
   * Reflect the needs of the Tribal community members.
   * Identify and discuss any benefits of the proposed planning activities and who will receive those benefits.
   * Identify whether the tribal community contains or constitutes a landscape that is vulnerable to wildfire, sea-level rise, or other climate-change impacts.
3. Climate, Resilience, and Energy Goals – A brief discussion about how the proposed plan aligns with **one or more** overall goals of California’s Fifth Climate Assessment and the Tribal Research Program as listed below. Applicants are only required to align with one bullet or sub-bullet below, but are encouraged to align with more if applicable.
   * This discussion should include how the project supports the broader Fifth Assessment goals to:
     + Produce actionable science and data, specific to California, that depict current and future climate change impacts and trends.
     + Conduct and compile original research—informed by foundational climate projections—that supports climate resilient policy and practice in California.
     + Translate climate projections, data, and research into regionally and topically specific products with the primary audience of local and regional decision-makers and State agencies to guide climate resilient planning, investments, and implementation.
     + Support tribally led processes to address California Native American tribes’ research needs and questions related to climate change.
   * Contributes to the Fifth Assessment reports. This may include regional, topical, or the Tribal and Indigenous Communities Report.
   * Supports a priority or need identified by the applying Tribe or Tribes.
4. Methodology and/or Technical Approach – A brief discussion on tactics, practices and processes that will be employed to ensure successful outcomes for the proposed project. Include the following, as relevant:
   * Describe the technique, approach, and methods to be used in performing the work.
   * Discuss how tasks and activities will be performed and coordinated with various participants and team members.
   * Identify and discuss the critical factors for success, in addition to any anticipated risks, barriers, and limitations. Responses should convey strategies or plans that will be developed to address these factors.
5. Reporting Requirements – Describe the reporting methods that will be used to share project updates and progress. Sharing of project deliverables (see Attachment 4: Scope of Work) is a built-in reporting aspect for the project. Other suggestions include, but are not limited to, the following examples:
   * Regular check-in calls and meetings are required so CEC staff may provide support if needed.
   * Sharing of any anticipated end products that will be created (excluding sensitive information) is encouraged but not required.

## Attachment 3: Project Team Form

Identify all key personnel assigned to the project using the table below. “Key personnel” are individuals who are critical to the project due to their experience, knowledge, and/or capabilities. Include at a minimum the project manager, principal investigator (if applicable), and staff of any subrecipients (if applicable). Attach a **resume** for each individual (**two pages** maximum, double-sided).

| Team Member #\_\_ of \_\_ |  |
| --- | --- |
| Name of Individual |  |
| Position Title |  |
| Employer’s Name and Address (street, city, and zip code) | Name:  Address: |
| Job Description |  |
| Role and Responsibilities in the Proposed Project |  |

ATTACH RESUME

***Cut and paste the chart as necessary to add team members.***

## Attachment 4: Scope of Work

Scope of Work Instructions and Form

The Scope of Work identifies the tasks required to complete the project. The following instructions will assist with the development of the Scope of Work. Please include both project related activities and grant reporting activities in this table. Electronic files for the Scope of Work must be in MS Word file format. There is no word limit for the Scope of Work but please scale your Scope of Work to the complexity of your project. Add additional Tasks and table rows as needed.

1. Task List – Insert the Task numbers and Task names for the project. 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.
2. Activities – List each individual activity with a separate bullet. 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 each project task.
3. Timetable (in months) – Provide anticipated start and end months for each task identified. All work should end before December 31, 2025. If you plan to use results of this grant to inform a grant application in Round 2, this deadline should be by March 2024, when Round 2 GFO will be released.
4. Task Deliverables – Provide a description of each deliverable and explain the method for submitting each deliverable. Some tasks may not have a deliverable associated with them; in this case indicate N/A.

**Tribe:**

**Proposal Title:**

|  |  |  |  |
| --- | --- | --- | --- |
| Tasks | Activities | Timetable  in months | Deliverable(s) |
| **Task 1.** |  |  |  |
| **Task 2.** |  |  |  |
| **Task 3.** |  |  |  |
| **Task 4.** |  |  |  |
| **Task 5.** |  |  |  |

## Attachment 5: Budget Forms

Budget Instructions

Use the Excel Budget forms provided in this solicitation. Please follow the instructions on the “Instructions” tab. In addition, each worksheet tab has additional instructions located below the form that are specific to that budget category.

**Read the instructions before completing the worksheets**. Complete and submit information on **all** budget worksheets. The salaries, rates, and other costs entered on the worksheets will be used to develop the final grant agreement.

1. All project expenditures (reimbursable, and match share if applicable) must be made within the approved agreement term. There is no match share requirement under this solicitation. However, if you are leveraging other funding and State programs, please identify this in the budget forms. The entire term of the agreement and any projected rate increases must be considered when preparing the budget.
2. The budget must reflect estimates for **actual** costs to be incurred during the agreement term. The CEC may only approve and reimburse for actual costs that are properly documented in accordance with the grant terms and conditions. Rates and personnel shown must reflect the rates and personnel the applicant would include if selected as a Recipient.
3. The proposed rates are considered capped and may not change during the agreement term. The Recipient will only be reimbursed for **actual** rates up to the rate caps.
4. The budget must NOT include any Recipient profit from the proposed project, either as a reimbursed item, match share, or as part of overhead or general and administrative expenses. Please review the terms and conditions and budget forms for additional restrictions and requirements.
5. The budget must allow for the expenses of all meetings and products described in the Scope of Work.

## Attachment 6. CEQA/Environmental Compliance Form

**All applicants must complete this form, regardless of whether the proposed activity is considered a “project” as defined below. Answer all questions as completely as possible. The California Energy Commission (CEC) may request additional information to clarify the responses provided on this form.**

The California Environmental Quality Act (CEQA) (Public Resources Code §§ 21000 et seq.) requires public agencies to identify the significant environmental impacts of their actions and to avoid or mitigate them, if feasible.[[1]](#footnote-2) Under CEQA, an activity that may cause either a direct or reasonably foreseeable indirect physical change in the environment is called a **project.**[[2]](#footnote-3)An activity funded by a contract, grant, or loan is considered a “project” under CEQA if it will cause a direct or reasonably foreseeable indirect physical change in the environment. Agencies must comply with CEQA before they approve a “project.” This may require the preparation of one or more of the following CEQA documents:

* A Notice of Exemption (if the project is exempt from CEQA under an exemption identified in the CEQA statutes or regulations);[[3]](#footnote-4)
* An Initial Study (if the project may have a significant effect on the environment);[[4]](#footnote-5)
* A Negative Declaration (if the Initial Study shows that the project will not have a significant effect on the environment) or a Mitigated Negative Declaration (if any significant effects identified by the Initial Study can be avoided or mitigated to a level of insignificance);[[5]](#footnote-6) or
* An Environmental Impact Report (if there is substantial evidence that the project will have significant effects).[[6]](#footnote-7)

The **Lead Agency** is the public agency that has the greatest responsibility for carrying out, supervising, or approving a project, and for preparing environmental review documents under CEQA. Where the award recipient is a *public agency,* the Lead Agency is typically the recipient. Where the award recipient is a *private entity,* the Lead Agency is the public agency that has the greatest responsibility for supervising or approving the project.[[7]](#footnote-8)

When issuing contracts, grants, or loans, the CEC is typically a **Responsible Agency** under CEQA, which means that it must make CEQA findings based on review of the funded activities and any environmental documents created by the Lead Agency. If the CEC is the only public agency with responsibility for approving the funded activities and the project is not exempt under CEQA, the CEC must act as the Lead Agency and prepare its own environmental documents before approving the project. This form will help the CEC determine what type of CEQA review is necessary before it can approve the award, and which agency will perform any required environmental review as Lead Agency. It may also help the applicant determine the CEQA process necessary for the proposed activities.

**Complete the following questionnaire.**

1. Does the grant proposal qualify as a project under CEQA? “Project” for CEQA purposes is defined at the beginning of this attachment.

Yes: Proceed to Question B.

No: CEQA compliance is not required for this grant proposal

1. Is the proposed project described in its entirety by a statutory exemption, as defined in the California Public Resources Code, Section 21080(b)?

Yes: Identify the statutory exemption:

No: Proceed to Question C

1. Is the proposed project described in its entirety by a categorical exemption, as defined in Title 14 of the California Code of Regulations, sections 15300–15332?

Yes: Identify the categorical exemption:

No: Proceed to Question D

1. Is the proposed project fully covered by a previous environmental impact report (EIR), programmatic EIR, or master EIR?

Yes: Identify the previous EIR, programmatic EIR, or master EIR (include lead agency, EIR title, year of adoption, and State Clearinghouse number):

No: Proceed to Question E

1. Is CEQA environmental review currently underway?

Yes: Identify the lead agency, provide contact information for the lead agency, and provide a schedule for completion of the CEQA environmental review:

No: Describe any considerations that might make CEQA inapplicable to the proposed project:

**Table X. Potentially Applicable Statutory Exemptions**

|  |  |
| --- | --- |
| **CEQA Section** | **Exempt Activities** |
| 21080(b)(1) | Ministerial projects proposed to be carried out or approved by public agencies |
| 21080(b)(2) | Emergency repairs to public service facilities necessary to maintain service |
| 21080(b)(3) | Projects undertaken, carried out, or approved by a public agency to maintain, repair, restore, demolish, or replace property or facilities damaged or destroyed as a result of a disaster in a disaster-stricken area in which a state of emergency has been proclaimed by the Governor |
| 21080(b)(4) | Specific actions necessary to prevent or mitigate an emergency |
| 21080(b)(5) | Projects which a public agency rejects or disapproves |
| 21080(b)(6) | Actions undertaken by a public agency relating to any thermal powerplant site or facility |
| 21080(b)(7) | Inapplicable |
| 21080(b)(8) | The establishment, modification, structuring, restructuring, or approval of rates, tolls, fares, or other charges for certain designated purposes |
| 21080(b)(9) | All classes of projects designated pursuant to Section 21084 (see next table) |
| 21080(b)(10) | A project for the institution or increase of passenger or commuter services on rail or highway rights-of-way already in use, including modernization of existing stations and parking facilities |
| 21080(b)(11) | A project for the institution or increase of passenger or commuter service on high-occupancy vehicle lanes already in use, including the modernization of existing stations and parking facilities |
| 21080(b)(12) | Facility extensions not to exceed 4 miles in length that are required for the transfer of passengers from or to exclusive public mass transit guideway or busway public transit services |
| 21080(b)(13) | A project for the development of a regional transportation improvement program, the state transportation improvement program, or a congestion management program |
| 21080(b)(14) | Any project or portion thereof located in another state which will be subject to environmental impact review pursuant to the National Environmental Policy Act or similar state laws of that state. Any emissions or discharges that would have a significant effect on the environment in this state are subject to this division. |
| 21080(b)(15) | Projects undertaken by a local agency to implement a rule or regulation imposed by a state agency, board, or commission under a certified regulatory program pursuant to Section 21080.5 |

**Table X. Potentially Applicable Categorical Exemptions**

| **Class** | **Exempt Activity** | **Guidelines Section** |
| --- | --- | --- |
| 1 | Existing facilities: operation, repair, maintenance, or minor alteration | 15301 |
| 2 | Replacement or reconstruction of existing structures and facilities on the same site, substantially of same use and capacity | 15302 |
| 3 | New construction or conversion of small structures; installation of small, new equipment in small structures | 15303 |
| 4 | Minor alterations to land that do not affect sensitive resources | 15304 |
| 5 | Minor alterations in land use limitations | 15305 |
| 6 | Basic data collection, research, experimental management, and resource evaluation activities that do not result in a serious or major disturbance to an environmental resource | 15306 |
| 7 | Certain actions taken by regulatory agencies as to assure the maintenance, restoration, or enhancement of a natural resource | 15307 |
| 8 | Certain actions taken by regulatory agencies to assure the maintenance, restoration, enhancement, or protection of the environment where the regulatory process involves procedures for protection of the environment | 15308 |
| 9 | Inspections to check for performance of an  operation, or quality, health, or safety of a project | 15309 |
| 10 | Certain loans made by the Department of Veterans Affairs | 15310 |
| 11 | Construction or placement of minor structures accessory to existing commercial, industrial, or institutional facilities | 15311 |
| 12 | Sales of surplus government property except for parcels of land located in an area of statewide, regional, or areawide concern identified in Section 15206(b)(4). | 15312 |
| 13 | Acquisition of lands for fish and wildlife conservation purposes | 15313 |
| 14 | Minor additions to existing schools within existing school grounds where the addition does not significantly increase original student capacity | 15314 |
| 15 | Division of property in urbanized areas zoned for residential, commercial, or industrial use into four or fewer parcels | 15315 |
| 16 | Acquisition, sale, or other transfer of land to establish a park where the land is in a natural condition or contains historical or archaeological resources | 15316 |
| 17 | Establishment of agricultural preserves, the making and renewing of open space contracts under the Williamson Act, or the acceptance of easements or fee interests to maintain the open space | 15317 |
| 18 | Designation of wilderness areas under the California Wilderness System | 15318 |
| 19 | Annexation of certain areas containing existing structures and certain small parcels | 15319 |
| 20 | Changes in the organization or reorganization of local governmental agencies where the changes do not change the geographical area in which previously existing powers are exercised | 15320 |
| 21 | Actions by regulatory agencies to enforce or revoke a lease, permit, license, certificate, or other entitlement; actions by law enforcement officials | 15321 |
| 22 | Adoption, alteration, or termination of educational or training programs that involve no exterior physical alteration | 15322 |
| 23 | Normal operations of existing facilities for public gatherings for which the facilities were designed | 15323 |
| 24 | Actions taken by regulatory agencies to regulate wages,  hours, or working conditions | 15324 |
| 25 | Transfers of ownership of interests in land to preserve open space, habitat, or historical resources | 15325 |
| 26 | Actions by a public agency to implement an adopted housing assistance plan by acquiring an interest in housing units | 15326 |
| 27 | Leasing of a newly constructed or previously unoccupied privately owned facility already exempt from CEQA | 15327 |
| 28 | Installation of hydroelectric generating facilities less than 5 megawatts at existing dams, canals, and pipelines | 15328 |
| 29 | Installation of cogeneration equipment with a capacity of 50 megawatts or less at existing facilities | 15329 |
| 30 | Minor cleanup actions taken to prevent, minimize, stabilize, mitigate, or eliminate the release or threat of release of a hazardous waste or substance | 15330 |
| 31 | Maintenance, repair, stabilization, rehabilitation, restoration, preservation, conservation, or reconstruction of historical resources in a manner consistent with the  Secretary of the Interior’s Standards Guidelines | 15331 |
| 32 | Certain in-fill development projects in urban areas | 15332 |
| 33 | Projects not to exceed five acres in size to assure the maintenance, restoration, enhancement, or protection of habitat for fish, plants, or wildlife | 15333 |

## Attachment 7. Previous Work Products (optional)

Describe **up to three** past projects detailing any experience of the applicant (or any member of the project team) that is related to the work proposed in the application. **Two pages** maximum per project; see the formatting and page limit requirements in Section III.A.

## Attachment 8: Letter of Support

All applicants must include at least one support letter from a tribe that will be served by the project and/or will be involved in the project. The support letter must (1) describe the tribe’s interest or involvement in the project, and (2) indicate the extent to which the project has the support of the tribe. Support letters must be signed and submitted with the application to be considered. Depending on the Tribe’s governmental structure and requirements, a Tribal Resolution may be required during the grant agreement development process. Support letters have no word limit and can be a PDF.

## Attachment 9. Applicant Declaration

As of the date of the application deadline for Energy Commission solicitation   
GFO-xx-xxx, the entity submitting this application (Applicant):

* Is not delinquent on any federal, state, or local tax payments; and
* Has not had its California business registration status suspended by the California Franchise Tax Board within the last 7 years; and
* Has not filed for bankruptcy in the last 10 years; and
* Is not currently planning to file for bankruptcy; and
* Is registered to do business in California, which typically means with the California Secretary of State, and such registration is in good standing; and
* Is not currently being sued by any entity (public or private) or individual, and is not aware of any information that reasonably indicates it may be sued by any entity or individual during the proposed agreement term, that in either case might reasonably be expected to materially impact the applicant’s ability to perform the proposed project; and
* Is in compliance with the terms of all settlement agreements, if any, entered into with the Energy Commission or another government agency or entity; and
* Is in compliance with all judgments, if any, issued against the Applicant in any lawsuit or other matter to which the Energy Commission or another government agency is a party; and
* Is complying with any demand letter made on the Applicant by the Energy Commission or another government agency; and
* Is not in active litigation with the Energy Commission regarding the Applicant’s actions under a current or past contract, grant, or loan with the Energy Commission.

For the Applicant, and having authority to do so, I declare under penalty of perjury under the laws of the State of California that the foregoing is true and correct:

Date

Signature

Printed Name

1. For a brief description of CEQA, visit http://www.resources.ca.gov/ceqa/more/faq.html [↑](#footnote-ref-2)
2. California Public Resources Code § 21065. [↑](#footnote-ref-3)
3. 14 California Code of Regulations (CCR) §§ 15061 and 15062. [↑](#footnote-ref-4)
4. 14 CCR § 15063. [↑](#footnote-ref-5)
5. 14 CCR §§ 15070 et seq. [↑](#footnote-ref-6)
6. 14 CCR §§ 15080 et seq. [↑](#footnote-ref-7)
7. 14 CCR §§ 15050 and 15051. The Lead Agency typically has general governmental powers (such as a city or county), rather than a single or limited purpose (such as an air pollution control district). [↑](#footnote-ref-8)