

ENVIRONMENTAL EQUITY

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MAKING EQUITY REAL IN CLIMATE ADAPTATION AND COMMUNITY RESILIENCE POLICIES AND PROGRAMS: A GUIDEBOOK

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ACKNOWLEDGEMENTS

ABOUT THE GREENLINING INSTITUTE

Founded in 1993, The Greenlining Institute envisions a nation where communities of color thrive and race is never a barrier to economic opportunity. Because people of color will be the majority of our population by 2044, America will prosper only if communities of color prosper. Greenlining advances economic opportunity and empowerment for people of color through advocacy, community and coalition building, research, and leadership development. We work on a variety of major policy issues, from the economy to environmental policy, civic engagement and many others, because economic opportunity doesn't operate in a vacuum. Rather than seeing these issues as being in separate silos, Greenlining views them as interconnected threads in a web of opportunity.

THE GREENLINING INSTITUTE'S ENVIRONMENTAL EQUITY PROGRAM

The Greenlining Institute's Environmental Equity program develops policies to improve public health and environmental quality for low-income communities and communities of color while bringing "green" dollars to these communities.

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Sona Mohnot is a Senior Policy Analyst and Program Manager at The Greenlining Institute, a racial and economic justice public policy organization based in Oakland. Before moving to California, Sona grew up and spent most of her life in New Orleans. She became interested in pursuing a career in environmental equity after seeing the environmental injustices that communities of color face in New Orleans after disasters like Hurricane Katrina and the BP oil spill. After completing law school at Tulane University, Sona joined the Environmental Equity team at Greenlining in 2016 to focus on advancing equitable climate adaptation and resilience strategies that prioritize communities hit first and worst by climate disasters. She serves as a technical advisory council member on the Integrated Climate Adaptation and Resilience Program out of the Governor's Office of Planning and Research.

Jordyn Bishop, *2017-2018 Environmental Equity Legal Fellow*

Jordyn Bishop was the Environmental Equity Legal Fellow at The Greenlining Institute during the 2017-2018 class of the Leadership Academy's Legal Fellowship Program. Before bringing her passion for indigenous and environmental justice to the Environmental Equity team, Jordyn focused on social, racial, and environmental justice in law school. Jordyn's legal internship experiences include the Lakota People's Law Project, the Center on Race, Poverty & the Environment, the Environment and Natural Resources Division of the California Department of Justice, and the U.S. Environmental Protection Agency. She graduated from UC Hastings in 2017.

Alvaro Sanchez, *Environmental Equity Director*

Alvaro is an urban planner with extensive experience crafting, implementing, and evaluating strategies that leverage private and public investments to deliver community benefits to impacted communities. Alvaro leads our work on SB 535 (de León) which directs at least one quarter of California's Greenhouse Gas Reduction Fund to disadvantaged communities. He also leads our neighborhood-scale sustainability

initiative, a comprehensive and scalable approach to greenhouse gas reduction that leverages private and public investment while improving underserved communities throughout California.

Prior to joining Greenlining, Alvaro led Green For All's stormwater infrastructure strategy. As a member of the State and Local Initiatives team, he led the organization's strategies for connecting impacted communities to economic opportunity related to national stormwater infrastructure investments. He wrote several reports detailing the untapped opportunity of using green infrastructure as a cost-effective stormwater management tool that creates job and business opportunities for underserved communities. Several leading water and stormwater utilities throughout the country have used the framework he presented to deliver triple-bottom-line benefits.

Alvaro has over nine years of experience working on economic development and land use issues throughout California and nationally. In 2011 he received a Master of Planning degree from the University of Southern California, where he focused on affordable housing and economic development. He is the President of the Board of Directors at Dolores Street Community Services, an immigration and community development organization in San Francisco. He also created the Triple Bottom Line Hub, a social media platform that celebrates projects that deliver triple-bottom-line benefits.

EXECUTIVE SUMMARY

PROBLEM

California is a leader in climate policy and has modeled an unprecedented statewide effort to fight climate change. However, climate change impacts do not affect all communities in the same way. Frontline communities including low-income communities, communities of color, indigenous peoples and tribal nations, and immigrant communities suffer first and worst from climate disasters. This is due to decades of underinvestment and unjust systems that have left these communities with disproportionately high costs for energy, transportation and basic necessities, limited access to public services, high levels of poverty and pollution, and outdated and weak critical infrastructure.

Climate change exacerbates these injustices that frontline communities face, making climate adaptation and community resilience essential priorities. Strategies to tackle climate change must prioritize the most impacted and least resourced communities. California must develop programs and policies that truly center social equity in climate adaptation efforts and uplift frontline communities so that they do not simply “bounce back” to the unjust status quo after climate disasters strike but are able to “bounce forward” as healthy, resilient and sustainable communities.ⁱ

PURPOSE

To prioritize the climate adaptation and community resilience needs of frontline communities and address the historical neglect they have experienced, California must move beyond embracing equity to making it real. This requires centering community needs and building social equity into the very fabric of policies and grant programs that focus on climate adaptation and resilience. To get there, this Guidebook offers policymakers a blueprint on how to operationalize equity in policies and grant programs.

FOUR STEPS TO MAKING EQUITY REAL

1. Embed Equity in the Mission, Vision, & Values: Policies and grant programs should explicitly state a commitment to equity and specifically identify the vulnerable populations they seek to benefit. The effort must aim to create comprehensive climate strategies for communities that not only build the resilience of physical environments but address other health and economic injustices that climate impacts exacerbate.
2. Build Equity into the Process: Processes should deeply engage community members so as to learn about their priorities, needs and challenges to adapting to climate impacts. The information gathered should inform the development and implementation of the policy or grant program.
3. Ensure Equity Outcomes: The implementation of the policy or grant program must lead to equity outcomes that respond to community needs, reduce climate vulnerabilities, and increase community resilience. Outcomes can include improved public health and safety, workforce and economic development, and more.
4. Measure & Analyze for Equity: Policies and grant programs should regularly evaluate their equity successes and challenges to improve the effort going forward.

APPLICATION OF THE CLIMATE ADAPTATION AND COMMUNITY RESILIENCE GUIDEBOOK

The Guidebook provides specific recommendations on how to operationalize social equity in the goals, process, implementation and analysis of policies and grant programs focused on climate adaptation. The report includes examples from existing policies and grant programs to illustrate what the recommendations look like in practice. The Guidebook is intended for policymakers who develop policies (bills, executive orders, local measures) and agencies that develop grant programs. Communities and advocates may also use this Guidebook as a tool to assess how social equity shows up in climate adaptation and resilience proposals.

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I. INTRODUCTION

California is already experiencing the impacts of climate change: drought, increased wildfires, extreme heat, and sea level rise are present in all areas of our state. This presents a pressing need to adapt to a changing environment, particularly for the most impacted and least resourced communities. In California, the people who are impacted first and worst by climate change include low-income communities, communities of color, indigenous peoples and tribal nations, and immigrant communities. Our collective action must address their needs first and most by ensuring climate adaptation and resilience strategies center social equity.

California is interested in advancing climate adaptation and resilience but currently has no blueprint for how to ensure social equity is operationalized and prioritized in the field. In 2017, Greenlining offered legislators and stakeholders the Climate Justice Working Group's Report: *Advancing Climate Justice in California: Guiding Principles and Recommendations for Policy and Funding Decisions*.ⁱⁱ As we shared the report, we learned that the report's high-level policy recommendations help answer:

WHAT must be done to center equity in climate adaptation and resilience efforts?

Missing, however, was information to answer:

HOW do we implement—or operationalize—equity in climate adaptation and resilience efforts? In short, how do we make equity real?

Recognizing this gap, The Greenlining Institute with support from our Technical Advisory Committee, developed the Making Equity Real in Climate Adaptation and Community Resilience Policies and Grant Programs: A Guidebook to provide specific recommendations on how to operationalize social equity in climate adaptation and resilience grant programs and policies. We developed the following “operationalizing equity framework” to guide our recommendations:

OPERATIONALIZING EQUITY FRAMEWORK:

Through The Greenlining Institute's work to advance social equity, we have learned that social equity must be centered in *all* parts of a grant program or policy from the very beginning to achieve the most equitable outcomes. Equity should not be an “add on” to an already developed grant program or policy, nor should it be a “nice to have.” We call that “equity-washing,” which is the practice of intentionally or unintentionally making unsubstantiated or misleading claims about the equity benefits of an initiative, and can make the initiative seem more equitable than it really is.ⁱⁱⁱ Equity-washing can create more harm than not including equity at all, since the initiative may be perceived as advancing equity when in fact it does not. If protecting the lives of the most vulnerable is the goal, social equity must be intentionally included in all stages of planning and implementation.^{iv} To create the strongest equity outcomes for frontline communities, we recommend centering social equity in the following four parts of a policy and grant program:

1. **GOALS, VISION, VALUES** — How is equity described in the context of the overall goal of the grant program or policy? Is equity a core component? Is equity missing?
2. **PROCESS** — How does the grant program or policy propose to deliver outcomes with equity as a focus? How are decisions made or influenced by communities that have less political power or voice?
3. **IMPLEMENTATION** — How will implementation lead to equity outcomes? What explicit equity outcomes are described in the grant program or policy?

4. **MEASUREMENT AND ANALYSIS** — How is equity progress measured? How do we know that equity goals were achieved?

Using the “operationalizing equity” framework, Greenlining developed this Guidebook to provide specific guidance on how to implement social equity in climate adaptation and resilience grant programs and policies. The Guidebook aims to help influence climate adaptation and community resilience initiatives. We encourage policymakers and decision-makers to adopt the recommendations as they develop new programs and policies to ensure the needs and priorities of the most impacted communities are reflected in their proposals. As the state continues to advance climate adaptation, this Guidebook can be used to integrate social equity in grant programs and policies and can help support frontline communities as they adapt to a changing climate.

Please note that Greenlining published another [report](#) that uses the “operationalizing equity” framework to provide recommendations on advancing social equity specifically in clean energy grant programs.

TECHNICAL ADVISORY COMMITTEE AND COMMUNITY INTERVIEWS

Greenlining would like to give special thanks to the Technical Advisory Committee that we convened for this Guidebook. The TAC included 19 members from diverse fields including community organizing, research, academia, philanthropy, public policy and state government. The TAC provided resources to guide our research, offered input into the structure of this Guidebook and reviewed the Guidebook. Their insightful and critical feedback enhanced the overall quality of this effort. Members of the TAC include:

- Alvaro Sanchez, Director, Environmental Equity, The Greenlining Institute
- Ameer Raval, Senior Policy Researcher, Asian Pacific Environmental Network (APEN)
- Angela Mooney D'Arcy (Juaneno / Acjachemen), Executive Director and Founder, Sacred Places Institute for Indigenous Peoples
- Caroline Farrell, Executive Director, The Center on Race, Poverty & the Environment (CRPE)
- Chuck Mills, Policy Director, California ReLeaf
- Colleen Callahan, Deputy Director, UCLA Luskin Center for Innovation
- Deborah Moore, Western States Senior Campaign Manager, Union of Concerned Scientists
- Denise Garcia, Policy Fellow 2018-2019, The Greenlining Institute
- Jordyn Bishop, Legal Fellow 2017-2018, The Greenlining Institute
- Joseph Wraithwall (Wall), former Special Assistant for Climate Change, California Natural Resources Agency (CalNRA)
- Katie Valenzuela Garcia, former Capitol Director for Asm. Eduardo Garcia
- Laura Gracia, Climate Adaptation Resiliency Enhancement (CARE) Coordinator, Communities for a Better Environment (CBE)
- Louise Bedsworth, Executive Director, The Strategic Growth Council (SGC)
- Matthew Armsby, Vice President, Resources Legacy Fund
- Rosa González, Senior Fellow, Movement Strategy Center
- Saúl Gómez, Program Officer, Resources Legacy Fund
- Shamar Bibbins, Senior Program Officer for Environment, The Kresge Foundation
- Stephanie Wang, Policy Director, California Housing Partnership Corporation

- Yana Garcia, Assistant Secretary for Environmental Justice and Tribal Affairs, California Environmental Protection Agency (CalEPA)

Greenlining also interviewed several staff working at community-based organizations or who work closely with frontline communities from different regions in California. We wanted to hear from people working closely with community members because this Guidebook is ultimately meant to benefit the people on the ground, who deal most directly with climate impacts. We conducted interviews to learn about their priorities and pressing concerns in the context of climate adaptation. We incorporated their perspectives throughout the Guidebook. We encourage policymakers to reflect these priorities in climate adaptation and resilience programs.

We conducted interviews with:

- Laura Gracia, Climate Adaptation and Resilience Enhancement (CARE) Coordinator, Communities for a Better Environment (*Wilmington*)
- Mariah Thompson, Staff Attorney, Community Equity Initiative, California Rural Legal Assistance, Inc. (*Central Valley, Fresno area*)
- Paloma Hernandez, Research & Policy Associate, Strategic Concepts in Organizing & Policy Education (SCOPE) (*South Los Angeles*)
- Sophie Wolfram, Director of Programs, Climate Action Campaign (*San Diego County*)
- Violet Saena, Resilient Communities Program Manager, Acterra (*East Palo Alto*)
- Zolboo Namkhaidorj, Youth Organizer, Communities for a Better Environment (*Richmond*)

A. Why Social Equity in Climate Adaptation and Resilience?

California is a leader in climate policy and has modeled an unprecedented statewide effort to fight climate change. However, climate change impacts such as extreme heat, drought, flooding, wildfires, mudslides and sea level rise, do not impact all communities in the same way. Frontline communities, which include low-income communities, communities of color, indigenous peoples and tribal nations, and immigrant communities, are especially vulnerable to the impacts of climate change because of decades-long, pervasive socioeconomic conditions that are perpetuated by systems of inequitable power and resource distribution.^v Those systems are the result of intentionally discriminatory decisions and policies by people in positions of power, institutionalized racism, class bias, and decades of disinvestment due to redlining.^{vi}

Decades of underinvestment and unjust systems have left frontline communities with high levels of poverty and pollution, a lack of quality jobs and education opportunities, outdated and weak critical infrastructure, disproportionately high costs for energy, transportation and basic necessities, and limited access to public services. Moreover, frontline communities have long been excluded from policy and funding decision-making processes that can be used to address the injustices they experience and support a transition to healthy communities.^{vii} Exclusion from the decision-making table is one reason the needs of frontline communities have not been prioritized. As a result of these injustices, frontline communities have fewer resources to deal with the risks from climate change. These communities are often hit first and worst by climate impacts, which only exacerbate the environmental and socioeconomic inequities they already face.

Recognizing that some communities are hit harder than others by climate impacts, the state has made progress to advance environmental justice and equity in climate policy by directing investments to communities most impacted by poverty and pollution.^{viii} In fact, the current policy framework and momentum in California favor a strong social equity strategy for policies and programs. Many California

policies target funding into communities that suffer from the worst pollution and economic challenges. The overall focus has been on advancing equity in the climate mitigation space, with policies like SB 535 (De Leon, 2012), which directs 25 percent of Greenhouse Gas Reduction Funds into disadvantaged communities, and AB 1550 (Gomez, 2016), which increases the percentage of Greenhouse Gas Reduction Funds going to disadvantaged and low-income communities to 35 percent. However, we are beginning to see the state prioritize equitable climate adaptation policies and programs as well.^{ix} For instance, the [Safeguarding California Plan](#) now includes a Climate Justice chapter and the California Fourth Climate Change Assessment includes topical reports on [Climate Justice](#) and [Tribal and Indigenous Communities](#).

Yet, much work remains to be done. California must develop climate adaptation and resilience programs and policies that truly center social equity and uplift frontline communities so that they do not simply “bounce back” to the unjust status quo after climate disasters strike but are able to “bounce forward” as healthy, resilient and sustainable communities.^x By creating policies and programs that directly benefit the most impacted communities, California can begin to address the harmful consequences of discriminatory and racist practices like redlining that created historical disinvestment and environmental degradation in communities at the frontlines of the environmental justice struggle.

B. How to Use the Guidebook

This guidebook is organized into four components that make up policies and grant programs (goals, process, implementation and analysis), and we offer recommendations on how to center social equity in each component. We begin by offering a rationale (“why”) for each recommendation, and then offer examples (“how”) from existing grant programs and policies that focus on climate adaptation and community resilience to illustrate the recommendation. In addition, we provide community perspectives drawn from interviews to give a real-world view of the recommendation in practice. Please note that not all recommendations include examples and/or community perspectives.

Disclosure: The Guidebook references AB 2722, the policy that created the Transformative Climate Communities grant program, and uses the TCC grant program itself several times as an example of a program and policy that champion equity. Greenlining co-sponsored AB 2722 and contributes significant feedback to the grant program guidelines.

WHO IS THIS GUIDEBOOK INTENDED FOR?

This Guidebook is intended for policy- and decision-makers (including legislators, state agencies and local governments). The Guidebook offers a comprehensive set of recommendations to operationalize social equity in grant programs and policies. As policy- and decision-makers develop new climate adaptation and resilience programs and policies, we encourage them to review the recommendations and tailor applicable recommendations to their specific proposal.

The Guidebook is also intended for advocates, community members and other interested stakeholders who can use it as a tool to assess how social equity is showing up in climate adaptation and resilience proposals. Advocates can see which equity recommendations from the Guidebook appear in new legislation or grant programs, and which ones are missing.

To read about our research methodology used to develop the guidebook, please see Appendix B.

C. Equity Questions to Consider Before Using the Guidebook^{xi}

Before using the Guidebook, we recommend reading the following questions and thinking about whether and how your program or policy addresses the questions. Think of the questions as a starting point to operationalizing equity. Answering the questions will give you a baseline for how your grant program or policy centers equity. They will identify areas in the policy or program that are strong in equity, and areas that need improvement. If the program or policy is weak in certain areas, the Guidebook provides “how to” recommendations to help address those gaps.

Keep this list of questions and your responses for reference as you use the Guidebook.

The questions below are adapted from [Climate Action Through Equity](#) developed by the City of Portland Bureau of Planning and Sustainability, and the [Resiliency Guidebook: Equity Checklist](#) developed by the California Governor’s Office of Planning and Research. Some of the questions have been modified to align with the operationalizing equity framework.

QUESTIONS TO CONSIDER WHEN DEVELOPING EQUITABLE GOALS, VISION AND VALUES	
Identifying vulnerable populations	<ul style="list-style-type: none">• Which vulnerable populations may be impacted by or could benefit from your program or policy?• How have you identified these populations?
Targeted Funding	<ul style="list-style-type: none">• Does your program or policy have dedicated set-asides for vulnerable communities?
Accessibility	<ul style="list-style-type: none">• Are the benefits of the proposed program or policy broadly accessible to households throughout the community, particularly communities of color, low-income populations, tribal and indigenous communities, and immigrant communities?
QUESTIONS TO CONSIDER WHEN DEVELOPING AN EQUITABLE PROCESS	
Engagement	<ul style="list-style-type: none">• Have you designed a process to collaborate with vulnerable populations that engages and empowers them in a meaningful, authentic and culturally appropriate manner?• Which best practices for community engagement are you implementing?

	<ul style="list-style-type: none"> • Have you clearly defined communities' decision-making role and ensured that community representatives are included in decision-making throughout the process?
Assured Benefits	<ul style="list-style-type: none"> • What mechanisms will you use to assure particular benefits to vulnerable populations? (e.g. provide technical assistance or capacity building, provide jobs, provide extra financial resources or investments)
Disproportionate Impacts	<ul style="list-style-type: none"> • Does the program or policy generate burdens (including displacement and increased costs), either directly or indirectly, on vulnerable populations? • If yes, how will you address and mitigate them?
Capacity Building	<ul style="list-style-type: none"> • How will your program or policy provide for local capacity building? (e.g. through funding, expanded knowledge base or other resources?)
Relationship Building	<ul style="list-style-type: none"> • Does the program or policy help foster the building of effective, long-term relationships and trust between diverse communities and government? • Does the program or policy align with and support existing community priorities, creating an opportunity to leverage resources and build collaborative partnerships?

QUESTIONS TO CONSIDER WHEN CENTERING EQUITY IN IMPLEMENTATION

Shared and Multiple Benefits	<ul style="list-style-type: none"> • How may the program or policy decrease inequality in income or wealth? • How does the program or policy increase adaptive capacity and/or reduce exposure risk to climate impacts in frontline communities? • Can the benefits of the program or policy be targeted in progressive ways to reduce historical or current disparities? • How may the program or policy ensure safety and improve health outcomes for vulnerable populations?
Economic Opportunity	<ul style="list-style-type: none"> • Does the proposed program or policy support vulnerable communities through workforce development or contracting opportunities?

QUESTIONS TO CONSIDER WHEN DEVELOPING AN EQUITY ANALYSIS

Accountability	<ul style="list-style-type: none">• How will you evaluate the equity impact of your program or policies?• Does the proposed action have appropriate accountability mechanisms to ensure that vulnerable communities will equitably benefit and not be disproportionately harmed?
Adaptive Management	<ul style="list-style-type: none">• If data shows you are not on track to meet your equity outcomes, do you have a plan to adjust and correct course?
Communication	<ul style="list-style-type: none">• How will you communicate progress to stakeholders?

II. HOW TO DEVELOP EQUITABLE GOALS, VISION AND VALUES

How is equity described in the context of the overall goal of the policy or grant program? Is equity a core component? Is equity missing?

II.A. Explicitly identify and define communities that the policy or program aims to benefit

II.B. Deliver direct and meaningful benefits to communities

II.C. Target funding to frontline communities

II.D. Promote objectives that generate multiple benefits

II.E. Integrate climate adaptation and climate mitigation efforts

II.F. Include displacement avoidance language

Operationalizing social equity in a policy (e.g. legislation, executive orders) or grant program first requires making social equity an explicit core tenet in the goals, vision, and values of the effort. Since many policies and programs do not currently prioritize equity, it requires significant emphasis, definition, and prioritization to become normalized.

Including social equity in this early stage will help ensure it is intentionally built into the foundation of the policy or program, and that it will show up procedurally and in any implementation efforts. This section provides the following strategies to advance social equity in the goals, vision and values.

II.A. EXPLICITLY IDENTIFY AND DEFINE COMMUNITIES THAT THE POLICY OR PROGRAM AIMS TO BENEFIT

WHY AND HOW:

Defining the target community in the goals, vision and values or a policy or grant program is important because in conversations about social equity, terms such as underserved, vulnerable, low-income, disadvantaged, or environmental justice community are often interchanged but can potentially have different meanings depending on the context.^{xii} There are also different statutory definitions and references for these terms, making it even more necessary to clarify terminology and define terms where possible.

For example, we reviewed many sources that use the term “vulnerable communities.” If using this term in a policy or grant program, we recommend clarifying what “vulnerable” means, since it can be defined in several ways in the context of climate change. There are wealthy coastal communities that are vulnerable to sea level rise but that may have more resources to handle impacts compared to vulnerable communities that are socioeconomically disadvantaged. See Appendix C: Glossary of Key Terms for a definition of “vulnerable communities.” (Note: In this report, we use the term “frontline communities”^{xiii} to refer to communities that are already facing environmental, health and socioeconomic inequities, and that are disproportionately impacted by climate change.)

The following table provides examples of how existing policies and grant programs identify and define disadvantaged, low-income and vulnerable communities. When developing the goals, vision and values of policies or programs, we recommend policymakers similarly identify and define target communities that the effort intends to benefit.

EXAMPLES OF HOW POLICIES DISCUSS TARGET COMMUNITIES

EO B-30-15: The executive order sets a greenhouse gas emissions target for 2030 at 40 percent below 1990 levels. The EO lists principles for guiding state adaptation efforts, including that the state should: *"protect the state's most vulnerable populations."* ^{xiv}

"**Vulnerable populations**" is not defined in EO B-30-15, which may result in confusion since there is no state definition for the term. In fact, many interpretations of "most vulnerable" exist, as discussed in the introduction of this section. Thus, communities disproportionately vulnerable to climate impacts may not be prioritized even though they have the least resources to cope with climate change. To avoid this ambiguity, we recommend including qualifying language to better capture socioeconomically disadvantaged communities, such as *prioritize the immediate needs of vulnerable communities most impacted by "poverty, air pollution and climate change."*

AB 1482: Requires the California Natural Resources Agency (CNRA), in coordination with the Strategic Growth Council, to oversee and coordinate state agency actions to adapt to climate change. AB 1482 requires the agencies to achieve multiple objectives including *"[p]romoting actions to address the impacts of climate change on disadvantaged communities."* ^{xv}

By using the term **disadvantaged communities**, AB 1482 provides more clarity, compared to EO B-30-15, about which communities the agencies should work with because the state of California has definitions for the term. However, since there are multiple definitions for disadvantaged community, we recommend providing the specific definition of the term that the bill refers to.

SB 1000: SB 1000 adds *"to the required elements of the general plan an environmental justice element, or related goals, policies, and objectives integrated in other elements, that identifies disadvantaged communities, as defined, within the area covered by the general plan of the city, county, or city and county, if the city, county, or city and county has a disadvantaged community."* ^{xvi}

SB 1000 defines **disadvantaged community** in two ways:
"Disadvantaged communities" means an area identified by the California Environmental Protection Agency pursuant to Section 39771 of the Health and Safety Code or an area that is a low-income area that is disproportionately affected by environmental pollution and other hazards that can lead to negative health effects, exposure, or environmental degradation. " The two definitions allow for some flexibility, since the Health and Safety Code definition for "disadvantaged community" may not capture all communities that are disproportionately impacted by environmental threats.

EXAMPLES OF HOW GRANT PROGRAMS DISCUSS TARGET COMMUNITIES

Climate Change Research Program (Round 1) (Strategic Growth Council): The program aims to "advance research to support low-income and disadvantaged communities, and advance equitable outcomes in the implementation of the States climate change policies and investments." ^{xvii}

Climate Ready (Coastal Conservancy): "This solicitation seeks to support climate adaptation projects, with an emphasis on projects that enhance natural systems and benefit disadvantaged communities or low-income communities that fall under the criteria put forth by SB 535." ^{xviii}

Sustainable Communities Grant Program (CalTrans): All program "objectives should promote transportation solutions that focus on and prioritize the needs of communities most affected by poverty, air pollution and climate change, and promote solutions that integrate community values... Supporting planning projects that benefit a disadvantaged community is a priority" ^{xix}

The Climate Change Research Program and Climate Ready program include specific definitions for **disadvantaged and low-income communities** that provide clarity to applicants about which communities the grant projects should target.

- **Disadvantaged Community:** These communities are identified by census tracts that rank high on a combination of metrics gauging pollution burden and vulnerability, as defined and implemented by the latest version of CalEnviroScreen. For more information, see the Greenhouse Gas Reduction Fund Investment Plan and Communities Revitalization Act (Health and Safety Code 39500 – 39944).
- **Low-Income Community:** As specified in Assembly Bill 1550 (Gomez, 2016) and codified in the Greenhouse Gas Reduction Fund Investment Plan and Communities Revitalization Act (Health and Safety Code 39500 - 39944): 1) a household income at or below 80 percent of the statewide median income, or 2) a household income at or below the threshold designated as low-income by Housing and Community Development list of 2016 State Income Limits. Low-income threshold by county and household size are available on [ARB's disadvantaged and low-income communities investments web page](#)

The Sustainable Communities grant program gives flexibility to applicants for how the project area meets the definition of a **disadvantaged community**. The program offers tools to help applicants identify the most vulnerable places that are facing disproportionate rates of economic, environmental, and health burdens:

Regionally and/or Locally Defined Disadvantaged Communities may be acceptable as long as statewide thresholds for the tools below are not circumvented. Applicants that use a regional or local definition should also provide data for their project, using the statewide tools below:

- [Assembly Bill \(AB\) 1550 \(Gomez, Statutes of 2016\):](#)
- [California Department of Education, Free or Reduced Priced Meals Data \(FRMP\):](#)
- [CalEnviroScreen Version 3.0](#)
- [California Healthy Places Index \(HPI\)](#)

In sum, we strongly recommend that policies and grant programs:

1. Refrain from using ambiguous terms like “vulnerable communities” unless accompanied by strong clarifying language such as “*prioritize the immediate needs of vulnerable communities most impacted by poverty, air pollution and climate change.*”
2. Provide definitions for terms like “disadvantaged community or “low-income community” that can have multiple definitions to make it clear who the effort intends to benefit.

II.B. DELIVER DIRECT AND MEANINGFUL BENEFITS TO COMMUNITIES

WHY AND HOW:

Once a policy or grant program identifies and defines the specific communities it aims to benefit, it must then ensure that the effort delivers benefits that are:

1. Direct — the benefits must *directly* reach the community, and not in the form of trickle-down benefits that may reach communities long after the policy has been implemented.
2. Meaningful — the benefits must be relevant and useful for the community and should be informed by community-identified needs.^{xx}

A policy or grant program should be designed to achieve *both* goals to ensure that the impacted communities receive the strongest tangible benefits. We cannot stress enough the importance of including both goals. Let’s say, for example, that an effort aims to bring rooftop solar directly into disadvantaged communities. While the benefits may be direct, they may not be meaningful since many disadvantaged communities consist of low-income renters who do not own their home and cannot install rooftop solar. Community engagement (discussed in Part III) is critical here so that policymakers learn and understand whether an initiative is useful and relevant for a particular community, and engagement may lead to suggestions and improvements that make the initiative more impactful.

EXAMPLES OF POLICIES THAT PROVIDE DIRECT AND MEANINGFUL BENEFITS

Measure A is an example of a policy that provides direct and meaningful benefits. Measure A provides funding for parks, recreation, beaches, open spaces, trails, cultural facilities, and veteran and youth programs and is intended to address park equity in Los Angeles County. 13 percent of the revenue will go toward the “Safe, Clean Neighborhood Parks, Healthy Communities and Urban Greening Program.”^{xxi} The Measure states:

“Safe, Clean Neighborhood Parks, Healthy Communities and Urban Greening Program.

- A. *Thirteen percent (13%), on an annual basis, for the acquisition of real property, and the construction and rehabilitation of parks and recreation facilities that provide safe places and facilities for after-school, weekend and holiday programs for local children, youth and families, provide opportunities for healthy living in all neighborhoods, and improve the quantity and quality of green spaces in the county. The District shall fund projects in high-*

need, and very high-need, study areas, as identified in the 2016 Countywide Park Needs Assessment, based on the Per Capita and Structural Improvements Formula, including, but not limited to, the following:

- 1. community and local parks, including pocket parks, playgrounds, playground equipment, dog parks, and picnic areas, especially those that connect and restore underutilized spaces;*
- 2. community and senior recreational centers;*
- 3. park safety, graffiti removal, facility safety lighting, safe routes to schools, and other safety improvements;*
- 4. greenspace and greenway development; gardens;*
- 5. urban canopy development to reduce the heat island effect, especially in heavily urbanized, tree-poor areas of the County;*
- 6. active transportation and physical activity programming that promotes recreation and accessibility to recreational facilities;*
- 7. interpretation, education and communication about parks, local environmental issues and recreational activities”*

The policy will deliver direct benefits because projects funded must be located *in* high-need and very-high need study areas. The policy also specifically allocates funds for these projects, and funding them is a requirement. The benefits will be meaningful because the projects listed are based on the Countywide Park Needs Assessment and community workshops where residents prioritized their communities' top 10 parks projects.

We recognize that not all policies will lay out the specific benefits they aim to provide (as Measure A does) but will instead provide a more general framework that will be further developed in policy implementation, such as through a grant program. In those instances, we recommend including language such as:

- “A portion of any moneys appropriated pursuant to paragraph (1) shall be used to fund projects that provide direct and meaningful benefits to, and are located in disadvantaged communities identified pursuant to Section 39711 of the Health and Safety Code and in low-income communities, as defined in Section 39713 of the Health and Safety Code.”*

We want to note that we include “disadvantaged communities” just as an example and recognize that the community the policy will benefit will vary depending on the policy. The key takeaway is to include explicit language about “direct and meaningful benefits” in the policy to help ensure that these criteria for benefits show up in the implementation of the policy.

EXAMPLES OF GRANT PROGRAMS THAT PROVIDE DIRECT AND MEANINGFUL BENEFITS

The **Transformative Climate Communities** program delivers direct and meaningful benefits in the following ways:^{xxii}

- **Direct:** The program provides direct benefits because it “funds development and infrastructure projects that achieve major environmental, health, and economic benefits in California’s most disadvantaged communities.” The funds must go to disadvantaged communities that have been identified “as those with a majority of Census Tracts that fall within the top five percent (5%) of disadvantaged communities for Implementation Grants and 25% for Planning Grants, as defined by the California Environmental Protection Agency using CalEnviroScreen 3.0.”^{xxiii}
- **Meaningful:** The program delivers meaningful benefits because it requires robust community engagement during all phases of the project, and involves understanding community needs to ensure the project benefits are relevant to the community and respond to the identified needs:
 - TCC uses “a place-based approach that entails a holistic understanding of a community’s needs and assets, and direct involvement of community members. Program applicants are required to actively engage community residents and stakeholders in TCC Proposal development and implementation to foster long-term interest and investment in the community’s revitalization.”

II.C. TARGET FUNDING TO FRONTLINE COMMUNITIES

WHY AND HOW:

With the passage of policies like SB 535^{xxiv} and AB 1550,^{xxv} many Greenhouse Gas Reduction Fund grant programs target funding into communities that suffer from the worst pollution and economic challenges. Targeting funding into impacted communities helps ensure there is dedicated funding to support these specific communities, and that they don’t just receive trickle-down benefits of the programs. By directing funds and creating programs that directly benefit the most impacted communities, California can begin to address the harmful consequences of historical disinvestment and environmental degradation in communities at the frontlines of the environmental justice struggle. We recommend policies and grant programs explicitly state in the goals, values and vision how they will target funds to ensure the initiative’s benefits reach the most impacted and least resourced communities.

COMMUNITY PERSPECTIVE

Every single community member we interviewed expressed the pressing need for targeted funding for low-income communities of color. Mariah Thompson from California Rural Legal Assistance said:

“Money is the number one thing lower-income communities need to adapt to climate change... [We need] additional funding sources that can be used not only for the construction of infrastructure but also for the planning for infrastructure development which can include outreach, community participatory meetings, and more.”

The table below provides examples of policies and grant programs that target funds into frontline communities. Overall, we’re seeing an increase in the number of policies and grant programs that allocate specific funds for frontline communities.

POLICIES WITH TARGETED FUNDING TO FRONTLINE COMMUNITIES

<p>SB 535^{xxvi} (2012)</p>	<p>Requires the California Environmental Protection Agency to identify disadvantaged communities and requires that 25 percent of all funds collected from California’s Greenhouse Gas Reduction Fund (California Global Warming Solutions Act of 2006) to be allocated to projects that benefit DACs.</p>
<p>AB 1550^{xxvii} (2016)</p>	<p>Builds on the success of SB 535 and increases the percentage of funds going to DACs and low-income communities to 35 percent.</p>
<p>AB 523^{xxviii} (2017)</p>	<p>Requires the California Energy Commission to allocate at least 25 percent of the Electric Program Investment Charge (EPIC) program funds for technology demonstration and deployment at sites located in and benefiting disadvantaged communities and at least an additional 10 percent for sites located in and benefiting low-income communities.</p>
<p>SB 5^{xxixxxx} (2018)</p>	<p>SB 5 placed a \$4 billion bond, Prop. 68, on the June 2018 statewide ballot for parks, water, and climate and environmental programs. Prop. 68</p>

passed. The policy requires at least **15–20 percent** of funds be allocated for projects serving severely disadvantaged communities.

GRANT PROGRAMS WITH TARGETED FUNDING TO FRONTLINE COMMUNITIES

[Climate Ready Program](#)^{xxxv}

At least **75 percent** of the total program funds will support projects that are located in and provide benefits to disadvantaged or low-income communities that fall under the criteria put forth by SB 535.

[Social Equity Forest Improvement Program](#)^{xxxvii}

Significant focus will be on supporting projects located in disadvantaged and low-income communities. **70 percent** of the funds will be awarded to proposals in which the majority of the project is located in a publicly accessible area within a disadvantaged or low-income community.

[Affordable Housing and Sustainable Communities Program](#)^{xxxviii}

50 percent of AHSC Program expenditures are for projects benefiting Disadvantaged Communities, as defined by Public Resources Code § 75214.^{xxxiv} However, AHSC has exceeded that target. As of 2018, **78 percent** of AHSC funds have directly benefited “disadvantaged communities” as defined in SB 535 and **93 percent** of AHSC funds have directly benefited “low-income communities” as defined in AB 1550.

[Sustainable Communities Program](#)^{xxxv}

Supporting planning projects that benefit a disadvantaged community is a priority, with a minimum threshold of **50 percent** of Sustainable Communities Competitive Grants for projects that benefit disadvantaged communities, also including Native American Tribal Governments and rural communities.

[Transformative Climate Communities](#)^{xxxvi}

The program invests in the communities that are the most overburdened by environmental, socioeconomic and health inequities. These communities are those within the **top 5 percent of disadvantaged communities** for Implementation Grants and **top 25 percent of disadvantaged communities** for Planning Grants, as defined by the California Environmental Protection Agency using CalEnviroScreen 3.0.

We recommend policies and grant programs focusing on adaptation and resilience direct at least 35 percent of funds to frontline communities for projects and initiatives that will benefit them. By targeting funds to the most impacted communities, California can begin to address the harmful

consequences of historical disinvestment and environmental degradation in communities at the frontlines of climate change.

II.D. PROMOTE OBJECTIVES THAT GENERATE MULTIPLE BENEFITS^{xxxvii}

WHY AND HOW:

Frontline communities currently experience numerous inequities such as poor quality of jobs and housing, lack of public transportation systems, and insufficient access to health care—which all make it even more difficult to recover from a climate impact. Climate change exacerbates existing inequities and can lead to worse health outcomes, economic instability (loss of jobs and homes), and increased air and water pollution in communities already suffering from injustices.

Communities highly impacted by poverty and pollution require more than greenhouse gas emission reductions to adapt to climate change and build resilience. They often require an increase in good job and education opportunities, better health outcomes and more ownership over decisions that impact them. Policies and grant programs that provide multiple benefits to communities offer more comprehensive solutions to the multitude of issues a community may be facing, compared to efforts that focus on single benefits. We recommend policies and programs prioritize multiple benefits and state the benefits in the goals, vision and values.

COMMUNITY PERSPECTIVE

Paloma Hernandez from SCOPE in South Los Angeles explains the multitude of issues residents in South L.A. experience that make it more challenging for the community to cope during and after a climate disaster:

“South L.A. is pretty public transportation dependent and depends less on personal vehicles, which makes it challenging to get around since public transit in South L.A. isn’t good. If [transit-dependent residents] don’t have access to a car when they need it, like during a heat wave, that would pose a problem. . . [If someone is] suffering from asthma or chronic or acute exposure to heat, and they don’t have health care. . . how would they get the medical help they need? And when they do get the medical help they need, how are they going to pay for it? Being low-income and transit-dependent make it almost impossible to escape from climate disasters, such as heat waves, especially in communities like South L.A. where the community is mostly made up of concrete streets with little to no green spaces.”

The following table offers examples of multi-sector objectives that can be applicable to many policies and grant programs for policymakers to consider including.

EXAMPLES OF MULTI-SECTOR OBJECTIVES TO INCLUDE IN GOALS, VISION AND VALUES FOR POLICIES & GRANT PROGRAMS

ENVIRONMENTAL EQUITY OBJECTIVES	ECONOMIC EQUITY OBJECTIVES	COMMUNITY INCLUSION AND GOVERNANCE OBJECTIVES
<ul style="list-style-type: none"> • Targeted pollution reduction in heavily polluted communities • Efforts to increase adaptive capacity in communities disproportionately impacted by climate change (e.g. increase resilience of essential facilities and services that provide health care, food, drinking water, evacuation routes and emergency shelter) • No increase in harm in terms of pollution, health and affordability of goods and services • Efforts to enhance individual and community resilience to climate impacts • Improved health outcomes 	<ul style="list-style-type: none"> • Workforce development (expansion of job training programs with career pathways), particularly for underrepresented groups and individuals with barriers to employment • Promote engagement and contracting with diverse- owned businesses • Accessible and quality jobs with livable wages and benefits • Support economic vitality of the area (i.e. increasing economic equity by enabling robust economic opportunities for individuals with barriers to employment and for Disadvantaged Business Enterprises (DBEs)) • Promote workforce diversity • Displacement avoidance • Measures to avoid unintended consequences 	<ul style="list-style-type: none"> • Solutions that respond to community-identified needs • Meaningful community partnerships and engagement in planning and decision-making • Advance community power and promote community ownership of project or program • Technical assistance and capacity-building resources

In addition to the examples above, the table below offers examples of how existing policies and grant programs operationalize this recommendation. We strongly encourage policymakers to think of how a policy or grant program can create multiple benefits to provide a more comprehensive strategy to build resilience in frontline communities.

EXAMPLES OF POLICIES DELIVERING MULTIPLE BENEFITS	
<p><u>AB 2722</u></p>	<p>AB 2722, a policy that established the Transformative Climate Communities program, specifically aims to provide multiple benefits to communities:</p> <p><i>“The program shall fund the development and implementation of neighborhood-level transformative climate community plans that include multiple, coordinated greenhouse gas emissions reduction projects that provide local economic, environmental, and health benefits to disadvantaged communities.”^{xxxviii}</i></p> <p>Explicitly including the language about multiple benefits helps guarantee that the implementation of the policy will include economic, environmental and health benefits. For example, AB 2722 implementation resulted in the TCC grant program, which includes the same language about multiple benefits as AB 2722 (see Table below with examples of grant programs delivering multiple benefits).</p>
<p><u>Measure A</u></p>	<p>Similarly, Measure A, which funds several activities including safe and clean neighborhood parks, states:</p> <p><i>[for the Safe, Clean Neighborhood Parks, Healthy Communities and Urban Greening Program]</i></p> <p><i>“(c) To the extent feasible, priority may be given to multi-benefit recreational projects that maximize climate pollution reduction and adaption, carbon sequestration, heat-island reduction, stormwater capture that increase infiltration, habitat protection and biodiversity, community health improvements, promote innovative public-private partnerships, or a combination thereof.”^{xxxix}</i></p>

EXAMPLES OF GRANT PROGRAMS DELIVERING MULTIPLE BENEFITS

<p><u>Transformative Climate Communities:</u></p>	<p>The program funds development and infrastructure projects that achieve major environmental, health, and economic benefits in California's most disadvantaged communities.^{xi}</p>
<p><u>Enterprise Climate and Cultural Resilience Grant:</u></p>	<p>Proposed projects should build strong local partnerships, improve the climate resilience of buildings and systems, and elevate economic opportunities through project implementation.^{xii}</p>
<p><u>Affordable Housing and Sustainable Communities Program:</u></p>	<p>The program provides grants and/or loans to projects that achieve GHG reductions and benefit disadvantaged and low-income communities by increasing accessibility of affordable housing, employment centers and key destinations.^{xiii}</p>
<p><u>Social Equity Tree Planting Grant Program:</u></p>	<p>Projects must provide GHG reduction benefits to underserved areas and multiple co-benefits including workforce development for communities being served.^{xiiii}</p>

II.E. INTEGRATE CLIMATE ADAPTATION AND CLIMATE MITIGATION EFFORTS

WHY AND HOW:

Many state policies and grant programs currently focus on efforts to reduce greenhouse gases (GHGs). However, GHG reductions, on their own, will not help impacted communities adapt or build resilience to climate change. Comprehensive climate change strategies require both climate mitigation and climate adaptation strategies, and grant programs should strive to include both in the program goals.

As climate impacts increase in frequency and severity, California must work to curb GHG emissions *and* ensure communities have the resources and support needed to adapt to inevitable climate disasters. We strongly recommend climate policies and grant programs advance both climate mitigation and climate adaptation strategies.

COMMUNITY PERSPECTIVE

Violet Saena from Acterra in East Palo Alto says flooding and sea level rise from climate change are not only destroying homes and cars but are also causing mold build up in low-income housing, resulting in serious health impacts for the community.

“They didn't have money to repair or make improvements after the flooding. So a lot of them waited until [their home] was dry and then just moved things back to where they were. That's why a lot of those homes have a lot of mold issues.”

Communities like East Palo Alto that are already experiencing climate disasters need all-encompassing programs that help mitigate GHGs, help communities adapt, and build resilience to climate change.

The table below provides examples of how policies and grant programs can advance both climate mitigation and adaptation benefits:

EXAMPLES OF POLICIES THAT ADVANCE CLIMATE MITIGATION AND ADAPTATION

[AB 398](#)

For example, **AB 398**, which extends California's cap-and-trade program, allows the revenue to go toward the following list of priorities that include GHG reductions and climate adaptation and resilience:

1. *Air toxic and criteria air pollutants from stationary and mobile sources.*
2. *Low- and zero-carbon transportation alternatives.*
3. *Sustainable agricultural practices that promote the transitions to clean technology, water efficiency, and improved air quality.*
4. *Healthy forests and urban greening.*
5. *Short-lived climate pollutants.*
6. *Climate adaptation and resiliency.*
7. *Climate and clean energy research.^{xiv}*

Measure A

Measure A is another example of a policy that illustrates how to integrate climate adaptation and mitigation strategies:

(c) To the extent feasible, priority may be given to multi-benefit recreational projects that maximize climate pollution reduction and adaption, carbon sequestration, heat-island reduction, stormwater capture that increase infiltration, habitat protection and biodiversity, community health improvements, promote innovative public-private partnerships, or a combination thereof.^{xiv}

EXAMPLES OF GRANT PROGRAMS THAT ADVANCE CLIMATE MITIGATION AND ADAPTATION

Climate Change Research Program (round 1):

The program invests in research that has a clear and demonstrated connection to the State’s climate change goals, including greenhouse gas emission reduction and supporting climate adaptation and resilience.^{xv}

Affordable Housing and Sustainable Communities Program

Although the program’s primary objective is to reduce greenhouse gas emissions, AHSC has started to integrate climate adaptation and resilience as a competitive scoring criterion.^{xvii}

Climate Ready

Funded projects must facilitate the achievement of reductions of greenhouse gas emissions and use natural systems to assist communities in adapting to the impacts of climate change impacts.^{xviii}

Sustainable Communities Grant Program

Applicants should demonstrate how the proposed effort will achieve several objectives including advancing transportation related GHG emission reduction projects and promoting climate adaptation goals (such as those identified in Safeguarding California).^{xlix}

II.F. INCLUDE DISPLACEMENT AVOIDANCE LANGUAGE

WHY AND HOW:

As investments and improvements come into historically disinvested communities, they are accompanied by the threat of displacement of local businesses and residents resulting from higher property values and an increase in the cost of owning and renting property. Being forced to leave a home can be stressful, costly and traumatic, especially when affordable housing is so limited.^l We recommend policymakers include displacement avoidance language to ensure that any efforts designed to implement the policy or grant program project are aware of the threat of displacement and build anti-displacement strategies into the effort. The table below offers examples of language used in existing policies around anti-displacement.

EXAMPLES OF LANGUAGE IN POLICIES ABOUT DISPLACEMENT AVOIDANCE

<u>AB 2722</u>	AB 2722, which created the Transformative Climate Communities program, requires the Strategic Growth Council to <i>“consider whether eligible plans and projects avoid economic displacement of low-income disadvantaged community residents and businesses.”</i> ⁱⁱ
<u>SB 5</u>	SB 5, which placed a \$4 billion bond measure on the June 2018 statewide ballot, also includes anti-displacement language. SB 5 focuses on providing adequate and clean water, parks and recreation improvements, capital investments for flooding control and addressing climate change. The law includes the following language around displacement under Chapter 1: General Provisions: <i>“(b) It is the intent of the people of California that all of the following shall occur in the implementation of this division....</i> <i>(9) To the extent practicable, priority for grant funding under this division will be given to a project that advances solutions to prevent displacement if a potential unintended consequence associated with park creation pursuant to the project is an increase in the cost of housing.”</i> ⁱⁱⁱ

EXAMPLE OF LANGUAGE IN GRANT PROGRAMS ABOUT DISPLACEMENT AVOIDANCE

[Transformative Climate Communities:](#)

TCC's "Vision for Transformation" states that the program requires "[a]pplicants to include policies and programs to avoid the displacement of existing residents and local businesses, to help."ⁱⁱⁱ

COMMUNITY PERSPECTIVE

Violet Saena from Acterra in East Palo Alto highlights the vulnerabilities that come with being a renter in East Palo Alto:

"The homeowner is more protected compared to the renter because they have insurance and more resources. So when a flood happens, [homeowners] are in a better place to stay compared to a family who's only renting a home . . . The other thing is the high cost of living and the high cost of housing that impedes on [renters'] livelihoods and makes them less resourced to adapt if anything catastrophic happens in the future."

III. HOW TO DEVELOP AN EQUITABLE PROCESS

How does the policy or program propose to deliver outcomes with equity as a focus? How are decisions made or influenced by communities that have less political power or voice?

III.A. Promote Authentic and Meaningful Community Engagement for Policies

- III.A.1. Require Community Engagement for Feedback on Draft Plans and Program Guidelines
- III.A.2. Require Community Engagement for Implementation of Plans and Program Projects

III.B. Promote Authentic and Meaningful Community Engagement for Grant Programs

- III.B.1. Include Community Engagement Spectrum and Activities
- III.B.2. Organize a Listening Tour to Gather Community Input
- III.B.3. Include Cultural Considerations

III.C. Engage State Agencies with Experience Working with Frontline Communities

III.D. Include Community-based Organizations, Nonprofits and Tribal Governments as Applicants

III.E. Include Technical Assistance and Capacity Building to Achieve Equitable Outcomes

- III.E.1. Technical Assistance

III.E.2. Capacity Building

III.F. Dedicate Funding for Certain Activities

III.G. Include Advisory Committee with EJ, Equity and Community Members

III.H. Design Grant Program Application and Review Process with Equity

III.H.1. Include Application Questions that Advance Social Equity

III.H.2. Require Applicants to Develop Plans for Community Engagement, Workforce Development, Climate Adaptation And Resilience, and Displacement Avoidance

III.H.3. Promote Transparency

III.H.4. Make Social Equity a High-Ranking Factor in All Grant Scoring and Weighting Formulas

III.H.5. Include Members with EJ And Equity Expertise on Application Reviewing Committee

III.I. Promote Equitable Budgeting Practices in Policy Development

Once social equity is advanced in the goals, vision and values, the rest of the policy or grant program must be designed equitably to achieve those goals. The second step to operationalizing social equity is to include processes that build capacity in frontline communities and enable them to meaningfully engage in the development and implementation of policies and programs. Creating equitable processes will help ensure that diverse and underrepresented communities—including disadvantaged, low-income, tribal, and rural communities—across the state are able to influence and inform policy and program development.

This section provides strategies to advance equity in policy and program processes.

III.A. PROMOTE AUTHENTIC AND MEANINGFUL COMMUNITY ENGAGEMENT FOR POLICIES

III.A.1. Require Community Engagement for Feedback on Draft Plans and Program Guidelines

III.A.2. Require Community Engagement for Implementation of Plans and Grant Program Projects

WHY AND HOW:

A policy that will impact frontline communities should include language about required community engagement and outreach so that the concerns, needs and challenges of the impacted communities are prioritized in and inform the implementation of the policy. “Input from the community is important because local residents can bring knowledge, information and ideas that local governments may not be aware of or anticipate. Community members that are affected by environmental issues on the ground can share their firsthand knowledge of the problems and can provide leadership on the solutions, which can lead to more effective planning decisions to remedy those burdens.”^{iv}

We identify two areas where community engagement and outreach should be required in policy:

III.A.1. Require Community Engagement for Feedback on Draft Plans and Program Guidelines

Policies that establish plans and competitive grant programs should explicitly include language requiring outreach and community engagement for input on development of plans and grant guidelines.

If a policy establishes a plan (e.g. AB 1482)^{lv} or competitive grant program (e.g. AB 2722),^{lvi} communities must have an opportunity to share concerns about and upgrades to the draft plan and guidelines since the grant program projects may impact them. These types of policies should include specific information about how communities will be able to provide input on the development of the plan or grant guidelines, such as information about how many meetings will occur, their frequency and location, what type of public notice will be given, etc. More specific information creates accountability and transparency and will help avoid the common community engagement pitfall where communities only hear about an effort without being able to truly collaborate on it or offer feedback.

EXAMPLES OF POLICIES WITH COMMUNITY ENGAGEMENT REQUIREMENTS FOR FEEDBACK ON DRAFT PLANS AND PROGRAM GUIDELINES

SB 5

State agencies that receive funding under SB 5 to administer a competitive grant program must *“conduct three public meetings to consider public comments before finalizing the guidelines. The state agency shall publish the draft solicitation and evaluation guidelines on its Internet Web site at least 30 days before the public meetings. One meeting shall be conducted at a location in northern California, one meeting shall be conducted at a location in the central valley of California, and one meeting shall be conducted at a location in southern California.”*^{lvii}

SB 5 also includes language around the specific outreach activities that agencies receiving SB 5 funding must consider to promote equity, diversity, and inclusion, including:

1. *Conducting active outreach to diverse populations, particularly minority, low-income, and disabled populations and tribal communities, to increase awareness within those communities and the public generally about specific programs and opportunities.*
2. *Expanding the use of multilingual and culturally appropriate materials in public communications and educational strategies, including through social media strategies, as appropriate, that target diverse populations.*^{lviii}

AB 1482

AB 1482 requires CA Natural Resources Agency to update the state’s climate adaptation strategy, Safeguarding California. The law states, *“Between the release of the draft [Safeguarding California] plan and the publication of the final update of the plan, the agency shall hold at least three public hearings for the purpose of providing an opportunity for the public to review and provide written and oral comments on the draft plan. The public hearings shall be held in northern California, the central valley of California, and southern California.”*^{lix}

AB 2722

AB 2722, which establishes the Transformative Climate Communities grant program, requires the Strategic Growth Council, in adopting guidelines and selection criteria for the program, *“to consider comments, if any, from local governments, regional agencies, and other stakeholders. The council shall conduct outreach to disadvantaged communities to encourage comments on the draft guidelines and selection criteria from those communities.”*^x

COMMUNITY PERSPECTIVE

Many of the community interviewees shared that if the community were more involved in the decision-making processes, then they would be more aware of climate change impacts and would know how to better prepare for and respond to disasters, ultimately strengthening their resilience to climate change. Laura Gracia from Communities for a Better Environment said:

“There needs to be a cultural shift from people in positional power, such as government, who are making decisions that directly impact communities . . . a shift from representing the community to working with the community. Bringing in the community to voice their opinions and make decisions for their community encourages the community to take ownership and pride in the adaptation plan they implement in their communities.”

III.A.2. Require Community Engagement for Implementation of Plans and Grant Program Projects

Policies that establish plans and competitive grant programs should require community engagement in implementation as well.

If a policy establishes some type of plan (SB 1000)^{lxii} or competitive grant program (AB 2722),^{lxiii} it should state that community engagement must be included in the implementation of the plan or grant program. Doing so will help ensure that community engagement is prioritized in policy implementation.

EXAMPLES OF POLICIES THAT REQUIRE COMMUNITY ENGAGEMENT FOR IMPLEMENTATION OF PLANS AND GRANT PROGRAM PROJECTS

<p>SB 1000</p>	<p>SB 1000 requires cities and counties to adopt an Environmental Justice (EJ) element in their General Plan. In completing the EJ element, cities and counties must “<i>identify objectives and policies to promote civic engagement in the public decision-making process.</i>”^{lxiii}</p>
<p>Measure A</p>	<p>Measure A, which funds several activities including safe and clean neighborhood parks, requires “<i>community engagement approaches...for all Measure A funding</i>” and mandates the Measure A Implementation Steering Committee to incorporate the community engagement requirements into grant guidelines.^{lxiv}</p>
<p>AB 2722</p>	<p>AB 2722, which established the Transformative Climate Communities program, states that the Strategic Growth Council “<i>shall award grants for projects that demonstrate community engagement in all phases.</i>”^{lxv}</p>

III.B. PROMOTE AUTHENTIC AND MEANINGFUL COMMUNITY ENGAGEMENT FOR GRANT PROGRAMS

III.B.1. Include Community Engagement Spectrum and Activities

III.B.2. Organize a Listening Tour to Gather Community Input

III.B.3. Include Cultural Considerations

WHY AND HOW:

A grant program must include robust community engagement requirements if it will impact communities. The target community should be able to influence decisions in a way that prioritizes and addresses their specific needs and concerns.^{lxvi} Speaking with local residents and community-based organizations can help grantees understand pressing climate adaptation and resilience needs in the community and learn how their project or plan can be tailored to address those needs. Meaningful community engagement increases the likelihood that the program will increase the community's health and wealth. Failing to meaningfully engage and respond to local conditions increases the likelihood of causing unintended negative consequences and exacerbating existing disparities.^{lxvii}

III.B.1. Include Community Engagement Spectrum and Activities

Authentic and meaningful community engagement should occur at all stages of the grant program—from planning to implementation to evaluation—to ensure relevance and utility of the projects and their intended benefits. The IAP2 public participation spectrum below illustrates the different stages of engagement:

Figure 1: IAP2 Public Participation Spectrum^{lxviii}

Increasing Level of Public Impact				
Inform	Consult	Involve	Collaborate	Empower
Public Participation Goal	Public Participation Goal	Public Participation Goal	Public Participation Goal	Public Participation Goal
To provide the public with balanced and objective information to assist them in understanding the problems, alternatives, and/or solutions.	To obtain public feedback on analysis, alternatives, and/or decisions.	To work directly with the public throughout the process to ensure that public concerns and aspirations are consistently understood and considered.	To partner with the public in each aspect of the decision, including the development of alternatives and the identification of the preferred solution.	To place final decision-making in the hands of the public.
Promise to the Public	Promise to the Public	Promise to the Public	Promise to the Public	Promise to the Public
We will keep you informed.	We will keep you informed, listen to, and acknowledge concerns and provide feedback on how public input influenced the decision.	We will work with you to ensure that your concerns and aspirations are directly reflected in the alternatives developed and provide feedback on how public input influenced the decision.	We will look to you for direct advice and innovation in formulating solutions and incorporate your advice and recommendations into the decisions to the maximum extent possible.	We will implement what you decide.
Example Tools	Example Tools	Example Tools	Example Tools	Example Tools
<ul style="list-style-type: none"> ➤ Fact sheets ➤ Websites ➤ Open houses 	<ul style="list-style-type: none"> ➤ Public comment ➤ Focus groups ➤ Surveys ➤ Public meetings 	<ul style="list-style-type: none"> ➤ Workshops ➤ Deliberate polling 	<ul style="list-style-type: none"> ➤ Citizen Advisory Committee ➤ Consensus-building ➤ Participatory decision-making 	<ul style="list-style-type: none"> ➤ Citizen juries ➤ Ballots ➤ Delegated decisions

Source: International Association of Public Participation

Often, communities are only “informed” about a project, rather than “empowered” during a project. The bare minimum—where communities are only “informed”—occurs when community engagement is not valued or centered in a program. To prevent this, community engagement should help drive the direction of the project, and not be an “add-on.” In addition, relationships with communities should not be ad-hoc but built over time to develop trust and true partnerships.

One of the most meaningful forms of community engagement on the spectrum is “community empowerment, where historically marginalized communities lead and have ownership over the planning process and its outcomes.”^{lxix} Robust engagement that leads to community empowerment can bring about better decisions through increased input from different perspectives, increased buy-in and acceptance of decisions, and support for their implementation. Communities should have an opportunity to become champions of projects impacting them.

To ensure community engagement is an integral part of a grant program, we recommend programs make community engagement a requirement, and offer applicants strategies like the ones below for effective engagement. **In addition, we strongly recommend reading the [SB 1000 Toolkit developed](#)**

by the [California Environmental Justice Alliance](#), which offers comprehensive and detailed strategies for effective community engagement, including how to overcome common barriers to participation.^{lxx}

EXAMPLES:

The following table adapted from the Transformative Climate Communities program and SB 1 Sustainable Communities Grant program^{lxxi} provides examples of community engagement activities at different stages of the proposed project that are applicable to many types of grant programs.

To make these activities an effective part of the community engagement strategy, the SB 1000 Toolkit recommends that the participation process must:

- 1) **Allocate sufficient time and opportunities for engagement.** To avoid rushing the process and tokenizing community participation, this approach promotes capacity building so that community stakeholders are able to provide meaningful feedback and decisions; and
- 2) **Prioritize the engagement strategy in the budget.** Maintaining an adequate budget for meaningful community engagement is important for promoting equitable access and achieving high-quality public participation. Activities to be included in a budget include resources such as city/county staff time, contractor fees, outreach workers, meeting materials, food, audio-visual equipment, translation and interpretation services, translation equipment, transportation costs, childcare, and building maintenance services.^{lxxii}

COMMUNITY ENGAGEMENT ACTIVITIES FOR GRANT PROGRAMS ^{lxxiii}	
CATEGORY	ACTIVITIES
Activities to Inform Community Stakeholders and to Solicit Stakeholder Input	<ul style="list-style-type: none"> • Public workshops/meetings • Door-to-door canvassing • House meetings • Develop website and/or social media • Distributed flyers or other printed materials • Outreach to existing community groups • Surveys • Focus groups • Involve local health departments, which can help reach community-based organizations and frontline community members

<p>Activities to Engage Community Stakeholders in Development of Proposal</p>	<ul style="list-style-type: none"> • Design charrettes • Community-based participatory research • Participatory budgeting^{lxxiv} • Convene advisory body or shared decision-making body • Develop website and/or social media • Community benefits agreements • Additional activities to ensure community stakeholders have an opportunity to influence the project proposal development
<p>Activities to Ensure Community Engagement During Implementation of Proposal</p>	<ul style="list-style-type: none"> • Public workshops/meetings • Door-to-door canvassing • House meetings • Established website and/or social media • Surveys • Focus groups • Sub-contract with existing community-based organizations that organize frontline communities to conduct outreach • Allocate staff positions focused on community engagement • Advisory body or shared decision-making body • Maintain community engagement throughout the implementation or proposal

Beyond the activities listed in the chart above, some additional best practices can help in designing an equitable community engagement process:

III.B.2. Organize a Listening Tour to Gather Community Input

Another way to understand community needs is to organize a listening tour in the project area and meet with local community groups in the area. The Environmental Equity team at The Greenlining Institute organizes an annual listening tour to learn the priorities and challenges of our partner organizations across the state. We are then able to use their input as we work with policymakers to develop equitable policies that reflect our partners’ needs. The following table offers an example strategy to organize a listening tour with communities.

STEPS TO ORGANIZE A LISTENING TOUR TO GATHER COMMUNITY INPUT

- Identify local community-based organizations (CBOs) in potential project areas.
- Schedule time to meet with the groups to share project ideas and hear from the groups about pressing needs in the community.
- Be open to and acknowledge feedback about the community's concerns, ideas and alternatives. Listen to community needs that may illuminate project enhancements based on their needs.
- Identify potential project benefits that can address pressing community needs and continue collaborating with CBOs to ensure that concerns and potential improvements are understood and reflected.
- Openly communicate with CBOs on how their input influenced decisions about the project.

We cannot underscore enough the importance of *going back* to the community to share updates, challenges, requests for additional input, etc. The listening tour must not be an extractive process to only serve program participants but must be a collaborative effort that can help build relationships and trust.

III.B.3. Include Cultural Considerations

Cultural differences may be present between and among grant applicants as well as between and among community members. Understanding different interaction norms, priorities, levels of comfort with professional terminology, and expectations for project completion is essential to a productive process. Designing a community engagement process that is sensitive to the following cultural considerations may help encourage broader, more equitable, and more informed participation.^{lxxv}

To ensure equitable community engagement practices, consider the following factors:

HOW TO ADDRESS CULTURAL CONSIDERATION FACTORS IN COMMUNITY ENGAGEMENT FOR GRANT PROGRAM

(adapted from the Governor's Office of Planning and Research's *Community Engagement and Outreach: Designing Healthy, Equitable, Resilient, and Economically Vibrant Places*^{lxxvi})

Literacy level

It may be more difficult to reach out to Limited English Proficient individuals, immigrant communities, or people with lower educational attainment. Awardees should design materials and events for community engagement to accommodate different

	<p>literacy levels and provide background information when referring to complex concepts. Avoid the use of acronyms where possible.</p>
Socioeconomic status	<p>Groups with lower socioeconomic status are often disproportionately affected by environmental hazards while facing greater barriers to participation in engagement efforts to remediate them. These barriers may be addressed by considering factors such as location and timing of activities, accessibility by public transportation, availability of childcare, and availability of food.</p>
Language	<p>All communication should be done in the major languages spoken in the community. This includes written background materials, live interpretation at key public events and captioned videos. Interpreters should be available at meetings when it is clear that non-English speaking members of the community will be present.</p>
Local history	<p>Certain communities may have participated in previous engagement efforts that did not result in change. Over time, either not being included or participating and/or not feeling utilized may affect future participation. Understanding the local context is helpful prior to beginning engagement. Engaging with local community-based organizations that understand local history may help advance community participation in engagement activities.</p> <p>We strongly recommend ongoing information sharing to ensure transparency, help maintain community relationships, and build trust in the process.</p>
Competing interests and limited time	<p>Community members have many competing interests and limited time. Allowing different levels and types of involvement in the process can help foster participation.</p> <ul style="list-style-type: none"> • Going to places where people already gather to allow community members to give input at a time that is convenient for them and without a large time commitment. Meeting stakeholders in locations they are familiar and comfortable with can also help to bridge cultural and trust gaps. These can include: a community health center, a street fair, a cultural event, a public event at a

local religious or community center, or a community event at a local school or library.

- Other more time-intensive activities, such as focus groups, charrettes, and workshops, can be made available for stakeholders who are interested in providing more in-depth input.

III.C. ENGAGE STATE AGENCIES WITH EXPERIENCE WORKING WITH FRONTLINE COMMUNITIES

WHY AND HOW:

If a climate policy or grant program seeks to (1) advance equity and climate adaptation and resilience and (2) requires an administering agency, then the agency selected should have experience working with frontline communities. Agencies that have prior experience working with, for example, tribal, disadvantaged and low-income communities, will likely have insight into how to respond to needs and challenges in these communities. We recognize however, that, for reasons specific to the policy or grant program in question, the administering agency may not always be one with experience working with frontline communities on climate issues. In that case, we recommend the administering agency to partner with agencies that do have prior experience engaging with vulnerable populations to assist with implementation.

EXAMPLES:

Some examples of these agencies include the Strategic Growth Council, California Environmental Protection Agency, California Natural Resources Agency, California Department of Public Health, Office of Planning and Research, and California State Coastal Conservancy amongst others.^{lxvii}

III.D. INCLUDE COMMUNITY-BASED ORGANIZATIONS, NONPROFITS AND TRIBAL GOVERNMENTS AS APPLICANTS

WHY AND HOW:

Some policies and grant programs include a list of eligible entities that can participate in the development and/or implementation process. To ensure environmental justice, equity, tribal and community perspectives are included in an effort, we recommend making the following entities eligible applicants: community-based organizations, nonprofits serving frontline communities, and tribal governments. These entities understand the specific challenges their communities face and can help ensure the policy meaningfully supports those communities.

Explicitly including CBOs, nonprofits and tribal governments as eligible entities will help make participation in government processes more accessible to these entities because they often face challenges when trying to meaningfully engage with non-traditional partners such as cities, counties and academic institutions. Unless CBOs, nonprofits and tribal governments are listed as eligible applicants, we risk implementing policies that leave out critical community perspectives.

If expanding the eligibility list is not possible, then we recommend including language that clearly explains how nonprofits, tribal governments and CBOs can be partners, sub-applicants etc. to the effort.

The initiative should also include the parameters of how the entities will engage in the effort. See tables below for examples.

POLICY LANGUAGE ABOUT ELIGIBLE APPLICANTS

[AB 2722](#) includes the following language about entities eligible to apply for the Transformative Climate Communities grant program:

“An eligible entity, including, but not limited to, a nonprofit organization, a community-based organization, a faith-based organization, a coalition or association of nonprofit organizations, a community development finance institution, a community development corporation, a local agency, a joint powers authority, or a tribal government, shall demonstrate multi-stakeholder partnerships with local agencies, community-based organizations, labor groups, workforce investment boards, and other stakeholders, as appropriate. The council shall award grants for projects that demonstrate community engagement in all phases.”^{lxviii}

GRANT PROGRAM LANGUAGE ABOUT ELIGIBLE APPLICANTS

[The Climate Ready](#) program states that

“[n]onprofit organizations, federally recognized tribes and public agencies are eligible for funding.”^{lxix}

III.E. INCLUDE TECHNICAL ASSISTANCE AND CAPACITY BUILDING TO ACHIEVE EQUITABLE OUTCOMES

III.E.1. Technical Assistance

III.E.2. Capacity Building

WHY AND HOW:

Technical assistance and capacity building should be included in grant programs and in policy language if the policy establishes programs, planning efforts, research initiatives or other efforts that involve community participation. Explicitly including requirements for technical assistance and capacity building will help ensure that, in policy implementation, communities have the education, resources and support needed to participate in the effort.

Note: We found many examples of policies and grant programs that included technical assistance but none that included capacity building. We recommend policymakers include capacity building as an activity since it captures a suite of activities to help build community capacity that technical assistance

cannot do on its own. Whereas technical assistance is a type of service offered for the duration of a project, capacity building (which can include TA) seeks to create long-term transformation in communities.

III.E.1. Technical Assistance

Technical assistance means the process of providing the necessary education and resources for climate projects for any of the following: (1) project development, (2) grant development and writing for state and federal grant programs, (3) the successful and appropriate expenditure of grant moneys for the successful completion of projects and (4) post-application and project implementation assistance.^{lxxx}

Technical assistance can be particularly helpful for grant applicants lacking technical expertise or resources to complete a grant application. TA can help ensure the application process is as accessible as possible to historically underrepresented groups including people of color, low-income communities, tribal communities, and rural communities. TA can also serve as a powerful tool to help first-time applicants navigate the application process.

EXAMPLE OF A POLICY THAT INCLUDES TECHNICAL ASSISTANCE

[AB 2722](#), which establishes the Transformative Climate Communities program, requires the Strategic Growth Council to

“fund technical assistance providers to assist in application development and project development and implementation.”^{lxxxi}

EXAMPLES OF GRANT PROGRAMS THAT INCLUDE TECHNICAL ASSISTANCE

The following examples of TA activities are adapted from the [TCC program](#) and [Enterprise Community Partners' Climate and Cultural Resilience grant program](#).^{lxxxii}

- Conducting climate vulnerability and risk assessment
- Facilitating development of project concepts
- Analyzing project feasibility
- Providing successful models from other communities
- Assistance with greenhouse gas emission reductions calculations
- Advising on research
- Advising on community outreach and community engagement methods
- Advising on displacement avoidance plan
- Direct application assistance (including review of responses and application)
- Financial analysis, budget development and cost estimates

- Assessment of project readiness
- Geographic Information System mapping assistance
- Implementation of project
- Assistance developing and promoting workforce and economic development
- Assistance strengthening organizational capacity to integrate implementation efforts.
- Offering applicants a pre-proposal consultation to discuss projects and proposal-related questions

III.E.2. Capacity Building

Capacity building can help strengthen local coordination, leadership, knowledge, skills, expertise, and access to resources in frontline communities with the goal of helping to develop or increase the ability of that community to independently compete for grants and implement projects in the future.^{lxxxiii}

We did not find examples of policies or grant programs that include capacity building as an activity. However, we strongly recommend policymakers include capacity building as part of a policy or grant program since it can lead to long-term benefits by increasing a community’s ability to independently compete for grants and implement projects in the future.^{lxxxiv}

Capacity building activities can take many forms, and policymakers should get stakeholder input to determine what capacity building should look like for the particular policy or grant program. The following are examples of capacity building strategies:

CAPACITY BUILDING ACTIVITIES FOR POLICIES AND GRANT PROGRAMS

- Meaningful partnerships between communities and other entities in which community strengths and expertise are leveraged (e.g. having community representatives design the community engagement process, so that community capacity is built during the collaboration process).
- Education
- Technical assistance (see above)
- Assistance in attracting and leveraging additional financing
- Networking opportunities to build connections across sectors
- Offering tools and resources needed to access, apply for, and receive grant funding

III.F. DEDICATE FUNDING FOR CERTAIN ACTIVITIES

WHY AND HOW:

The next key recommendation to center social equity in policy and grant program processes is to dedicate funding for specific activities. We recommend policies and grant programs specify how much

of the project budget can go towards the following activities: **community engagement, outreach, workforce development, and capacity building (including technical assistance)**.^{lxxxv} These activities are cost-intensive and without dedicated funding often only the bare minimum gets done. We strongly recommend policymakers include specified funding allocations for these activities to ensure adequate resources for implementation.

EXAMPLES OF POLICIES AND GRANT PROGRAMS THAT DEDICATE FUNDING FOR COMMUNITY ENGAGEMENT, WORKFORCE DEVELOPMENT, AND CAPACITY BUILDING

ACTIVITY	POLICY	GRANT PROGRAM
<p>Community engagement & outreach</p>	<p>We did not find examples of policies that allocate specific funding for this activity. However, we recommend policies allocate five to eight percent of total awarded funds for these activities, and we strongly recommend including the specific funding allocation in the policy to guarantee the activity will be funded in implementation.</p>	<p>Transformative Climate Communities allocates five to eight percent of the total awarded funds for community engagement and outreach activities. Recognizing how time, labor and cost intensive these activities are, the program will review funding requests that exceed the eight percent cap on a case by case basis.^{lxxxvi}</p>
<p>Workforce and economic development</p>	<p>SB 5 allocates up to five percent of funds for each chapter to go toward “community access” projects that can include workforce development and career pathways.</p>	<p>TCC allocates five percent of the awarded funds for workforce and economic development activities.</p>
<p>Capacity building (including technical assistance)</p>	<p>SB 5 allocates up to ten percent of funds for technical assistance specifically for disadvantaged communities, and includes an opportunity to exceed the 10 percent cap if the administering agency finds a need for additional funding:</p>	<p>The CA ReLeaf Social Equity Forest Improvement program allows up to twenty percent of awarded funds for educational activities, which is an example of a capacity-building activity.^{lxxxviii}</p>

“(b) (1) Except as provided in subdivision (c), up to 10 percent of the funds available pursuant to each chapter of this division may be allocated for technical assistance to disadvantaged communities. The agency administering the moneys shall operate a multidisciplinary technical assistance program for disadvantaged communities.

(2) Funds used for providing technical assistance to disadvantaged communities may exceed 10 percent of the funds allocated if the state agency administering the moneys determines that there is a need for the additional funding.”^{lxxxvii}

While technical assistance falls under the umbrella of capacity building, we did not find examples of policies that allocate specific funding for capacity building in general. Capacity building should have dedicated funding because, as mentioned above, it can help create long-term transformation in communities.

III.G. INCLUDE ADVISORY COMMITTEE WITH ENVIRONMENTAL JUSTICE, EQUITY AND COMMUNITY MEMBERS

WHY AND HOW:

Policymakers should consider establishing an advisory committee for a policy or grant program with representatives from frontline communities. The committee can provide valuable feedback about the initiative to help make sure it responds to community-identified needs and upholds its equity commitments. The advisory body should include community leaders and representatives with expertise on environmental justice, equity and tribal issues, such as representatives of community-based organizations and nonprofits advancing climate justice.^{lxxxix} If the effort intends to bring benefits to and/or have an impact on frontline communities, the advisory group should also include community members. Communities should have the ability to influence decisions in a way that addresses their specific needs and concerns.

Establishing the advisory committee early in the process allows the committee to inform the community engagement strategy from the beginning.^{xc} Moreover, partnering with community members can help

build the trust and create buy-in from the community that is required for authentic community participation during planning and implementation.^{xci}

An advisory body can:

- Provide insight on how to reach multiple populations
- Address potentially controversial issues
- Design the community engagement process
- Provide feedback about the effort's overall approach to social equity, including strategies to improve the initiative.
- Understand sensitive community needs
- Help build community capacity
- Represent a greater portion of the community.
- Serve as connectors between the communities and other partners such as cities, counties, and agencies
- Help build trust between communities and cities, counties, and agencies

Importantly, community partners must be compensated financially for their time, effort and expertise in this process (including reimbursement for actual and necessary expenses to participate in the initiative). If this is not possible, the policy or grant program should provide ways for the representatives to participate that minimize travel time and expenses (e.g. allowing members to participate via webcast). This is especially important when partnering with community-based and grassroots organizations, many of which are already low-staffed and under-resourced. Strategies for compensation include requiring that a certain percentage of the policy or program's budget be allocated for the community partners, flexible budget guidance, and subawards that ensure funds to compensate community partners for their roles.^{xcii}

COMMUNITY PERSPECTIVE

Community leaders and community members are the ones reacting quickly to climate change by organizing and strategizing ways to uplift their communities and bring awareness.

“Youth from Wilmington organized the first ever Climate Change March.”

Laura Gracia, Communities for a Better Environment.

“Young leaders from East Palo Alto are stepping into city council and planning commission roles.”

Violet Saena, Acterra

“Farmers from Central Valley are acting as advocates and standing up for their community.”

Mariah Thompson, CRLA

EXAMPLES OF POLICIES WITH ADVISORY COMMITTEES

AB 2616 requires one of the members of the California Coastal Commission appointed by the governor to

“reside in, and work directly with, communities in the state that are disproportionately burdened by, and vulnerable to, high levels of pollution and issues of environmental justice, including, but not limited to, communities with diverse racial and ethnic populations and communities with low-income populations.”^{xcciii}

SB 246 established the Integrated Climate Adaptation and Resiliency Program, which includes an advisory council.^{xcciv} The law, similar to AB 2616, says that the council should include (among others) members with expertise in the intersection of climate change and environmental justice and tribal issues.^{xccv} Unlike AB 2616, however, the law does not require these representatives to be on the council, leaving no guarantee that EJ representatives will always serve on the council. Therefore, if a policy establishes an advisory council, we recommend the policy explicitly state that the council *must include* environmental justice, CBO, tribal and/or community representatives to ensure those perspectives are always a part of the council.

EXAMPLE OF GRANT PROGRAM WITH ADVISORY COMMITTEE

The **Climate Change Research Program** includes an Advisory Committee of external panelists selected for disciplinary expertise. The Committee includes planning and environmental justice scholars, public health practitioners, social scientists as well as members with expertise that advance the goals of the program concerning meaningful community engagement and equity integration.^{xccvi}

III.H. DESIGN GRANT PROGRAM APPLICATION AND REVIEW PROCESS WITH EQUITY

- III.H.1. Include application questions that advance social equity
- III.H.2. Require applicants to develop plans for community engagement, workforce development, climate adaptation and resilience, and displacement avoidance
- III.H.3. Promote transparency
- III.H.4. Make social equity a high-ranking factor in all grant scoring and weighting formulas
- III.H.5. Include members with EJ and equity expertise on application reviewing committee

WHY AND HOW:

Designing the grant program’s application and review process with social equity in mind is key to ensuring that projects funded produce meaningful and direct benefits for communities. This section provides several strategies to help create an equitable application and review process. Importantly, the recommendations should not get in the way of making the overall application process accessible to community organizations.

For smaller-sized grants, including all the strategies below may not be effective if it deters community groups from applying. Grantmakers should tailor the recommendations to the particular grant program, and determine how to balance creating a robust application process that is still accessible for applicants with limited resources.

III.H.1. Include Application Questions that Advance Social Equity

Application questions should ask applicants how their project will advance social equity by focusing on key social equity topics listed in the table below.^{xcvii} These questions can be tailored to different grant programs.

SAMPLE GRANT APPLICATION QUESTIONS	
General	<ol style="list-style-type: none">1. Is your project located in an under-resourced community?2. How will your project benefit an under-resourced community?3. Demonstrate how the proposed project meets one or more identified community needs, articulating how these needs were identified (e.g. through the community engagement process, a local needs assessment, as part of a local health department plan or other city/county plan, etc.).
Community Engagement	<ol style="list-style-type: none">1. How does the proposal include local residents in defining project goals and implementation?2. How are community members/volunteers significantly involved in the project?

	<ol style="list-style-type: none"> 3. Describe how CBOs and local residents have been meaningfully involved in the visioning and development of this project. Explain in which stages of the process community members and CBOs have been and will be engaged. 4. Describe efforts to involve disadvantaged community or low-income community residents, including how meetings were advertised and made accessible. 5. How does the proposal reflect a collaborative effort among multiple organizations? 6. What communities will your project serve? How will your project engage and reach out to your communities? 7. How will the impacted community have ownership over the project? 8. Include a letter of support from local community-based, grassroots organization describing the community engagement process and how feedback from local residents was incorporated into the project.
<p>Co-Benefits</p>	<p>General:</p> <ol style="list-style-type: none"> 1. How does the project provide multiple co-benefits that address community needs?
	<p>Economic:</p> <ol style="list-style-type: none"> 1. How is workforce development integrated as a component of the project? 2. How does the proposed project contribute to workforce training, employment, and local business expansion in the project area? 3. How will the project maximize economic benefits for the community? Examples could include maximizing access to workforce education, training, and quality jobs to individuals with barriers to employment; and/or maximizing contracting and procurement of goods from local businesses located in DACs or LICs, or minority or women-owned businesses.
	<p>Health</p> <ol style="list-style-type: none"> 1. Describe how the proposal will improve public health outcomes for community residents and achieve environmental benefits for the project area.

	<p>Education</p> <ol style="list-style-type: none"> 1. Describe the proposed education activities for the project, including information about the development of educational materials and how they will be distributed.
	<p>Social</p> <ol style="list-style-type: none"> 1. Describe the social and environmental benefits beyond GHG emission reductions that will be achieved with this project (e.g. improved air, heat island mitigation). How will these benefits be reported? How will community members directly benefit from the proposed project in the near and long term? 2. How does the project improve the resilience of the social fabric of the community and lead to more social cohesion, resident ownership, and connections to services and programs that support residents' long-term well-being and success?
<p>Adaptation and Resilience</p>	<ol style="list-style-type: none"> 1. How does the proposal address a climate resilience challenge or need in the community? 2. How does the proposal use creative placemaking strategies to shape the built environment and strengthen social fabric to address the challenge? 3. How does the proposal enhance cultural expression, community ownership, and climate resilience for local residents through this project? 4. How does the proposal include practical, measurable and innovative ways to address community needs and climate risks?
<p>Unintended Consequences</p>	<ol style="list-style-type: none"> 1. What are the potential adverse impacts of your project in under-resourced communities, in terms of pollution, health impacts, and affordability of goods and services? Are there any other unintended adverse consequences that could result from your project?
<p>Measurable Impact</p>	<ol style="list-style-type: none"> 1. How will others be able to learn from and adopt resulting strategies and solutions? 2. Describe anticipated measurable outcomes of projects, key metrics you will use to evaluate said outcomes, and how they will be tracked.

III.H.2. Require Applicants to Develop Plans for Community Engagement, Workforce Development, Climate Adaptation and Resilience, and Displacement Avoidance

While many grant applications ask applicants to answer the questions listed above, the Transformative Climate Communities program requires applicants to create actual *plans* for (1) community engagement, (2) workforce development, (3) displacement avoidance and (4) climate adaptation and resiliency.^{xcviii}

Creating actual plans for these activities forces applicants to think about *how* they will work on these four issues early in the development of their proposal, rather than trying to make them fit into the proposal after it's developed. The plans must meet certain requirements and standards developed by Strategic Growth Council. The table below shows the TCC criteria for the four plans that can be modeled in other grant programs. Program administrators should require applicants to develop plans for these activities since they are complex and require a significant amount of thought and planning to be done well. In addition, having dedicated program staff to support applicants with the development of the plans can help inexperienced or first-time grant applicants submit competitive applications.

CRITERIA FOR PLANS INCLUDED IN GRANT APPLICATIONS^{xcix}

COMMUNITY ENGAGEMENT PLAN

Proposals must include a Community Engagement Plan that describes methods that will be used to engage residents and key stakeholders during proposal development and implementation. The plan should at a minimum include:

1. Description of key stakeholders and residents, including any existing neighborhood organizations or advisory councils serving the project area;
2. Description of recent history of resident engagement in neighborhood issues of the proposed project area, including involvement in any planning or community development activities administered by the local government or other administrative entities;
3. Description and timeline of proposed community engagement activities (see Section III.B.1. above for a list of recommended activities to ensure meaningful community engagement);
4. The process that has been used to identify the needs of residents and other stakeholders during the proposal development phase and selection of proposed projects and, if applicable, the relationship of this process to any pending planning activities or public improvements for the project area within the time frame of implementation;
5. How the public will be informed of implementation progress, including updates on project performance and other Indicators being tracked, as well as implementation progress on the Displacement Avoidance and Community Engagement Plans.
6. Applicants must use methods of engagement to facilitate participation of community residents, including ensuring translation of meetings and materials, scheduling of meetings

at times that are convenient to community members, and engaging community members in information gathering as well as outreach.

*In addition, ask applicants to include a community engagement tracker to track: number of residents, key stakeholders, and small business owners that attended meetings; location; translation; time; childcare; food; how meeting was noticed; how were CBOs involved to help encourage residents to attend; number of community meetings held; establishment of advisory body or steering committee; number of residents/key stakeholders; number of community-based organizations engaged in process; number and description of community engagement strategies used to reduce barriers to participation; description of decision-making processes/bodies that include community representation; and number of residents, businesses, and non-profit/community leaders with clear role in decision-making processes.^c

CLIMATE ADAPTATION AND RESILIENCY PLAN

Applicants must describe how the project will increase resiliency of the project area to anticipated climate change impacts. The plan must include the following:

1. Identify the climate change risks and exposures within the project area,ci such as additional days of extreme heat or precipitation, flooding, sea level rise and drought.cii (see footnote for tools to achieve this step)
2. Describe the impact of the climate change risks and exposures on the community, including vulnerable populations. Consider age, physical and mental health, employment, citizenship status, and other socioeconomic factors. Populations already strained by economic or environmental disadvantages, or those with disabilities or related limitations, often have a lower capacity to adapt.ciii (see footnote and Implementation section IV.A. in this Guidebook for tools)
3. Describe the impact of climate change risks and exposures on the built environment
4. Based on the identified risks for the project area, applicants must describe:
 - a) Process to identify and prioritize adaptation measures for addressing risks on vulnerable population
 - b) Process to identify and prioritize adaptation measures to increase resiliency of proposed infrastructure projects

Recommended Upgrade: The TCC climate adaptation and resiliency plan does **not** require applicants to implement the plan, so applicants may create effective strategies to enhance resilience but never put them into action. Therefore, we strongly recommend that agencies require applicants to implement any climate adaptation and resiliency plans to actually help communities adapt and build resilience.

WORKFORCE AND ECONOMIC DEVELOPMENT PLAN

The plan should accomplish the following two goals:

1. Create workforce development and education training programs with career pathways for residents of the project area. Education and training can include pre-apprenticeship programs that are tied to state-certified apprenticeships; training programs that lead to occupations and industries that support proposal implementation, reduce barriers for and reflect the range of employment readiness needs of local residents and individuals with employment barriers, and partner with local workforce development boards and other key stakeholders, including organized labor and education providers; align and enhance high-performing education and training programs that have a proven record of leading to industry-recognized credentials and labor market advancement.
2. Explain how the investment will result in economic development via the creation of high-quality jobs. The funds must be used to develop local, high-quality jobs that offer living wages, benefits, worker voice, predictable scheduling, and opportunities for advancement, with clear on-ramps for low-income residents in and near the project area. The jobs created may be directly tied to any infrastructure projects that are part of the proposal.

Applicant should meet the following criteria if proposing to use funds for standalone workforce training programs:

- Train recipients for jobs and skills that are necessary to implement projects. For example, programs that provide training in the manufacture, installation, construction, maintenance, and/or operation of infrastructure and services necessary to support projects.
- Result in recognized credentials (certifications, certificates, degrees, licenses, other documentation of competency and qualifications) for those who complete the training program to support long-term, stable employment and career development. Credentials should follow guidance established by the CA workforce development board.
- Have demonstrated track record of providing training with sufficiently high rates of completion, post-training job placement, and employment utilizing an existing formalized pathway or partnerships with potential employers or industry, and job retention.
- Focus on high-quality employment. Factors that influence job quality include:
 - Local living wages; benefits provided, health insurance, paid leave, sick leave, or childcare services, geographic accessibility and commute distance, job strain, schedule and flexibility, working conditions and health risks, and job retention or duration of employment.
- Utilize targeted recruitment strategies, to direct training opportunities to residents and/or businesses within the project area, low-income residents, residents of DACs, veterans, and/or residents displaced or otherwise impacted by project development, among others. Approaches for targeted hiring may include:

- **Community Benefits Agreement:** A contract between CBOs and project proponents or agencies that identify benefits to be provided as part of a project or program. Hiring priority for low-income individuals and prevailing wage requirements are commonly found in community benefits agreements. CBAs may also include provisions for ongoing community engagement to ensure continued success.
 - **Labor agreements or community workforce provisions:** comprehensive agreements between labor unions and project proponents (contractors, developers) or local agencies (transit agencies, cities) to achieve a breadth of objectives, including uniform labor standards. Applicants may choose to prioritize projects with established labor agreements or community workforce provisions that contain targeted hiring provisions.

Additional Workforce and Economic Development Strategies:

- Require grant applicants to market contracting opportunities to all small businesses, including DBEs and DVBEs.
- **Project Work Hours:** Require at least 25 percent of project work hours to be performed by residents of a disadvantaged or low-income community. Require at least 10 percent of project hours to be performed by residents that participate in job training programs that lead to industry-recognized credentials and certifications.
- Require grant applicants to establish partnerships with the following entities to assist with project implementation:
 - Certified community conservation corps, pre-apprenticeship programs, “earn-while-you-learn” programs, YouthBuild programs, registered apprenticeship programs and other organizations that provide education, skills training, references for long term employment and career pathway development especially for young adults, aged 18 to 25
 - Community-based workforce development and job training entities that have a track record of success serving DAC populations and/or have demonstrated a high job placement rate among trainees from DACs
 - Local workforce investment board programs serving DAC populations

DISPLACEMENT AVOIDANCE PLAN

Ask applicants to include a displacement avoidance plan that details actions applicants will take to establish policies and programs to avoid economic displacement of existing households and small business in the project area. The plan will include:

1. Description of displacement vulnerability among existing households and small businesses within the project area
2. Description of the policies, plans, ordinances or programs that are already in place to avoid displacement in the project area

3. Identification of additional new policies and programs that will be pursued to avoid displacement among existing households and businesses within the project area. Applicants are encouraged to define quantifiable goals for selected policies through the community engagement process. (see Table below for list of displacement avoidance strategies)
4. Identification of the entities responsible for and involved in implementing each policy and program, and whether the implementing entities are the lead applicant or are co-applicants
5. If the project is subject to state relocation law and a relocation plan is required by state relocation law for the project area, applicants must provide a copy of relocation plan

Displacement Avoidance Strategies

To develop the displacement avoidance plan, the application materials should provide applicants with displacement avoidance strategies like the ones below to select from and include in their project.

The following table provides displacement avoidance strategies focused on very low and low-income households, and local and small businesses (taken from the Transformative Climate Communities program, Sustainable Communities Grant Program and Affordable Housing and Sustainable Communities program).^{civ} We recommend program designers include these tables in the grant guidelines, and require applicants to select the strategies that are applicable to their project to avoid displacement of residents and businesses.

STRATEGIES TO AVOID DISPLACEMENT OF VERY LOW AND LOW-INCOME HOUSEHOLDS	
CATEGORY	STRATEGY
Production of Affordable Housing	<ul style="list-style-type: none"> Incentives for inclusionary zoning* Density bonus ordinance* Community land trusts Fee on new commercial or residential development that is dedicated to affordable housing Land banking programs Development of new accessory dwelling units Neighborhood preference legislation that gives existing residents within a certain circumference preference for newly built affordable units* Dedication of a certain percentage of a housing bond to build housing in the Project Area

	<ul style="list-style-type: none"> • Site acquisition and fee deferrals to develop 100 percent affordable housing* • Production of family-sized rental and ownership affordable units • Allow affordable housing on a limited number of underutilized Production, Distribution and Repair (PDR) parcels with ground floor requirements for PDR* • Housing bond to fund affordable unit development
<p>Preservation of Affordable Housing</p>	<ul style="list-style-type: none"> • Rent control, stabilization ordinances, and rent review boards* • No-net loss of affordable housing units/net gain of affordable units* • Preservation of existing affordable housing in the project area through the one-for-one redevelopment of distressed public housing; right-to-return policies for existing residents in good standing in redeveloped public housing; and commitment not to raise rents above pre-redevelopment levels for existing residents in redeveloped buildings* • Policies to preserve single-room occupancy and/or mobile home parks and to allow current residents in good standing to remain or return in the case of redevelopment* • Job housing linkage fee or affordable housing linkage fee* • Condominium conversion restrictions* • Demonstration of application to local, state, and federal programs to fund preservation of affordable housing • Preservation of affordable housing via acquisition and rehabilitation programs* • Covenants to maintain affordability in perpetuity • Community land trusts, including required and/or incentives for contributions to local community land trusts • Restrictions on short-term rentals* • Restrictions on non-primary residences*
<p>Tenant Protections and Support</p>	<ul style="list-style-type: none"> • Tenant anti-harassment policies • Right-to-return policies for existing households • Source of income non-discrimination policies* • 'Just Cause' eviction policies • Limiting of low-fault evictions* • Culturally appropriate tenant rights education • Funding for tenant organizing • Residency preference plan prioritizing occupancy for disadvantaged community or low-income community residents

	<ul style="list-style-type: none"> • Multilingual tenant legal services and right to counsel in eviction proceedings • Limiting tenant evictions from affordable housing* • Foreclosure assistance • Maximize acceptance of rental subsidies* • Review of occupancy requirements to create greater flexibility for tenants* • Identify opportunities to master lease privately owned and managed SROs* • Increase supportive services to tenants living in SROs that are not managed or master leased by the City or nonprofits • Identify opportunities to acquire privately owned and managed SRO buildings • Improve code enforcement in SROs* • Implement guidelines to prioritize moving families from SROs into affordable housing units* • Tenant's first-right-to-purchase legislation* • Preserve rent-controlled units when major rehabilitation occurs* • Where applicable, assessing enforcement of nuisance policies and modifying as needed to ensure vulnerable populations are not being negatively impacted • Create an emergency housing response action plan for instances when code enforcement deem the properties uninhabitable
<p>Neighborhood Stabilization and Wealth Building</p>	<ul style="list-style-type: none"> • Asset building opportunities for low-income residents • Contracting with local/small/diversely-owned businesses • Development and promotion of micro-lending opportunities • Development of worker cooperatives • Non-speculative homeownership opportunities • Community benefit zoning and/or other land value recapture strategy

*Note: * Indicates policies that require local municipal participation to implement*

STRATEGIES TO AVOID DISPLACEMENT OF LOCAL AND SMALL BUSINESSES

CATEGORY	STRATEGY
<p>Protections for Small Businesses</p>	<ul style="list-style-type: none"> • Implementation of an overlay zone designed to protect and assist local and small businesses* • Establishment of a small business advocate office and single point of contact for every small business owner • Creation and maintenance of a small business alliance • Increased visibility of the jurisdiction's small business assistance programs • Formal programs to ensure that some fraction of a jurisdiction's goods and services come from local and small businesses* • Development of no-cost and low-cost business development and retention programs with established local, state and federal partners such as the California Small Business Development Center Network, Women's Business Centers, Procurement Technical Assistance Centers, and others • Support for ownership of space by small, locally-owned businesses • Enforce existing regulations to retain and protect production, distribution, repair space • Advocate for commercial rent control
<p>Business Stabilization and Wealth Building</p>	<ul style="list-style-type: none"> • Development of layoff aversion and business continuity programs during construction or other business interruption events • Development of no-cost and low-cost business development consulting and training programs targeting small and micro-enterprises in partnership with local, state, and federal technical assistance partners • Contract with local/small/diversely-owned businesses • Encouragement and assistance to ensure businesses are community-serving • Increase commercial space and promote community-serving uses in new developments • Support alternative business models including coops • Nonprofit stabilization programs and rental subsidy programs that prevent the displacement of nonprofits from a neighborhood*

*Note: * Indicates policies that require local municipal participation to implement*

Beyond creating equity-centered application questions and plans, we also recommend the following best practices to advance equity in the application development process:

III.H.3. Promote Transparency

Transparency is a key tenet of social equity. In the application process, there should be transparency around how decisions are made to award funds, so applicants understand how they are being scored, and how agencies compare one proposal to another. We recommend the following practices to promote transparency, adapted from the Transformative Climate Communities program and Sustainable Communities program.

BEST PRACTICES TO PROMOTE TRANSPARENCY IN GRANT APPLICATION PROCESS^{cv}

- **Pre-proposal Consultation:** Offer applicants a pre-proposal consultation to discuss projects and proposal-related questions prior to submitting applications.^{cv}^{vi}
- **Provide Feedback:** Provide feedback to unsuccessful grant applicants including whether and how the proposal could be modified to meet the screening criteria, comments about how close the application was relative to the cut-off line for grant funding. Applicants should be allowed to re-submit their application in a future solicitation cycle.^{cvii}
- **Provide Scoring Criteria:** Application materials should include scoring criteria and point allocation, so applicants understand what they need to include to complete a competitive application. The Climate Ready and Transformative Climate Communities programs include robust scoring criteria that can be used as models for other grant programs.^{cviii}
- **Provide Advice for a Competitive Application:** Provide tips and advice to applicants on how to develop a competitive application. This can help first time grant applicants avoid common pitfalls. For example, the Sustainable Communities Grant program tells applicants what they should include in their responses for community engagement, project justification, and project management.^{cix}
- **Provide Sample Application:** Include a sample application in application materials to give applicants, especially first-time applicants, an idea of what a competitive proposal looks like.

III.H.4. Make Social Equity a High-Ranking Factor in All Grant Scoring and Weighting Formulas

If a grant program asks applicants to address multiple objectives, including advancing equity, then it should make social equity a high-ranking priority to ensure social equity is prioritized in a proposal.^{cx} If promoting social equity is an optional objective, then applicants may provide weak answers to the social equity questions or simply not include social equity in their project proposal.

Another way to incentivize applicants to maximize social equity in their proposal is to award bonus points or preference points for projects that advance equity (e.g. projects that are located in an under-resourced

community, that include a contracted partnership with a community based organization, that provide direct benefits to an under resourced community, or that provide multiple benefits to an under-resourced community).^{cxii}

III.H.5. Include Members with Expertise on Environmental Justice, Equity and Tribal Issues on the Application Reviewing Committee

The reviewing committee that scores applications should include members with expertise on environmental justice, social equity, tribal issues and community engagement (including community members, community organizers and those working at community-based organizations) who can provide perspectives on how relevant a project may be for a community located in a specific area or region.^{cxiii}

EXAMPLE OF GRANT PROGRAM WITH EJ AND EQUITY MEMBERS ON REVIEWING COMMITTEE

The [Climate Change Research Program](#) includes an advisory committee of external panelists selected for disciplinary expertise. The committee includes planning and environmental justice scholars, public health practitioners, social scientists as well as members with expertise that advance the goals of the program concerning meaningful community engagement and equity integration.^{cxiii}

III.I. PROMOTE EQUITABLE BUDGETING PRACTICES IN POLICY DEVELOPMENT

WHY AND HOW

For policies that establish funding sources, like SB 5, we recommend including provisions that promote equitable budgeting to make grant programs more accessible to frontline communities. Frontline communities, which are generally economically distressed, can greatly benefit from equitable budgeting practices like advanced payment and waivers for cost-share for projects. Including the following provisions can reduce barriers that communities face to accessing funds and increase the likelihood of them applying for funding.

EXAMPLE OF POLICY WITH EQUITABLE BUDGETING PROVISIONS

Planning Funds

SB 5 allows planning projects that benefit disadvantaged communities to exceed the otherwise applicable 10 percent cap on funds allocated if the state agency administering the moneys determines there is a need for additional funding.^{cxiv}

Cost Share & Match Share	SB 5 allows cost-sharing requirements to be waived or reduced for a disadvantaged community or an economically distressed area.
Advanced Payment	SB 5 allows the administering entity to provide advanced payments of 25 percent of the grant award for projects that serve a disadvantaged community, so the recipient can start the project in a timely manner. ^{cxv}
Conservation Corps	SB 5 gives preference for projects that include the services of the California Conservation Corps or certified community conservation corps. ^{cxvi}

IV. HOW TO CENTER EQUITY IN POLICY AND PROGRAM IMPLEMENTATION

How will implementation lead to equity outcomes? What are the explicit equity outcomes described in the policy or grant program?

IV.A. Develop Equitable Vulnerability Assessments

IV.B. Fund Projects that Center Community Needs, Reduce Climate Vulnerabilities and Increase Resilience

IV.C. Identify and Minimize Unintended Consequences

Redlining and other discriminatory practices have left frontline communities with some of the most polluted air and water, along with a lack of resources to adapt to climate disasters. Policies and grant programs can work to build adaptive capacity, reduce exposure risk, and enhance resilience in frontline communities by prioritizing outcomes that aim to increase the health and wealth of these communities. To do so requires policies and programs to consider benefits beyond improving the physical scope of the project or plan, but to also consider health, economic, and quality-of-life benefits.^{cxvii}

This section offers strategies that can lead to equitable outcomes for frontline communities. Since vulnerability assessments come up frequently in climate adaptation and resilience efforts, this section first provides guidance on how to develop equitable vulnerability assessments and then offers examples of projects that advance climate adaptation and community resilience for frontline communities, as well as strategies to avoid unintended consequences.

IV.A. DEVELOP EQUITABLE VULNERABILITY ASSESSMENTS

WHY AND HOW:

Policies and grant programs should deliver climate adaptation and resilience benefits that increase the adaptive capacity of frontline communities and reduce their exposure risk to climate impacts. Developing and conducting a vulnerability assessment is often the first step to learn about a community's adaptive capacity and exposure risk to increasing hazards, such as extreme heat, flooding,

and drought. Developing an equitable vulnerability assessment requires including socioeconomic vulnerabilities that communities experience. Vulnerability assessments that address the relationship between equity and climate adaptation will better meet the needs and challenges of frontline communities in a changing climate, promote policies and programs that improve community health and well-being, and result in equitable land use planning that prevents an unhealthy mix of industries, homes and people.^{cxviii} If vulnerability assessments fail to include socioeconomic vulnerabilities, then they are not providing a comprehensive indication of a community's adaptive capacity or sensitivities.

For policies and programs that require a vulnerability assessment, we recommend adopting the following approach, which was developed by the California Environmental Justice Alliance for their SB 1000 Implementation Toolkit:^{cxix}

STEPS FOR VULNERABILITY ASSESSMENT FOR POLICIES AND GRANT PROGRAMS *(from CEJA's SB 1000 Toolkit)*

1. **Identify Hazards.** Determine the climate-related hazards in the frontline community under both current and future conditions, and how these hazards may change over time. Several state and federal resources, such as the Adaptation Planning Guide, the online Cal-Adapt tool, the MyHazards tool, and the U.S. Climate Resilience Toolkit, can help with this process. There may also be local and regional resources available. For projects located in a disadvantaged or low-income community, we recommend citing top burdens from the CES 3.0 score as community needs that the policy can address.^{cxx}
2. **Identify Populations.** Select the specific populations present in the frontline community that may be harmed by these hazards, including different populations that are considered disadvantaged. Consider age, physical and mental health, employment, citizenship status, and other socioeconomic factors.
3. **Analyze Potential Impacts.** Using scientific research, relevant reports and studies, and discussions with frontline community members, assess how severe each climate change effect will be for different demographics of the population. Populations already strained by economic or environmental disadvantages, or those with disabilities or related limitations, often have a lower capacity to adapt.
4. **Evaluate Adaptive Capacity.** Adaptive capacity is the ability of the population to resist or recover from the effects of the hazards under current conditions. Assess each population's adaptive capacity for each effect of climate change, using a similar scale as was used for analyzing impacts (e.g., 1 to 5, with 1 being a complete ability to adapt and 5 being no ability to adapt). If applicable, assess state of critical infrastructure and see what needs to be strengthened, added and/or taken out to enhance resilience.^{cxxi}
5. **Determine Vulnerability.** Using the impact and adaptive capacity scores, create an overall vulnerability score. There are multiple approaches to this process, including those outlined in the Adaptation Planning Guide, but in general the higher the impact and the lower the adaptive capacity, the more vulnerable the population.

To complete the vulnerability assessment, we recommend referencing the following climate vulnerability assessment tools to identify climate, socioeconomic and health vulnerabilities. The indicator sets vary by tool, and determining which tool to use will depend on the specific goals of the policy or program. The tools are organized by those that evaluate climate risk and those that evaluate adaptive capacity. The tool summary below is taken from *Defining Vulnerable Communities in the Context of Climate Adaptation*, a resource developed by the Integrated Climate Adaptation and Resilience Program (ICARP), which is housed under the Office of Planning and Research. See pages 6-7 of the [resource guide](#) for a full list of indicators that each tool provides.^{cxii}

TOOLS TO EVALUATE CLIMATE RISK FOR VULNERABILITY ASSESSMENTS

CAL-ADAPT California has invested significant resources in developing climate change information for the entire state at a resolution that is useful for planning at both a statewide and regional scale. These data are called downscaled climate data. Downscaling is an analytical tool that starts with data from global climate models and then makes adjustments using statistical techniques and/or numerical models to provide projections of climate impacts at a finer scale. California has developed a set of downscaled climate data for the state using the Localized Constructed Analogs, or LOCA, statistical downscaling technique. All data are available through CalAdapt, an online tool that displays climate impacts in a spatial format. The platform also includes a web Application Programming Interface (API) to allow users to build their own applications. Accessible data includes annual averages, extreme heat, sea level rise, snowpack, wildfire, cooling degree days and heating degree days, downscaled climate projections, and more.

URBAN HEAT ISLAND INDEX FOR CALIFORNIA The Urban Heat Island Index California, developed by the Environmental Protection Agency, quantifies the extent and severity of urban heat islands for individual cities, including urban heat island interactive maps that show the urban heat island effect for each census tract in and around most urban areas throughout the state. This can also help identify and prioritize areas across the state for adaptation efforts such as urban greening and cool roofs and pavements.

INDICATORS OF CLIMATE CHANGE IN CALIFORNIA The 2018 Indicators of Climate Change in California report, prepared by the Office of Environmental Health Hazard Assessment, presents 36 indicators that are grouped into four categories: Human-influenced (anthropogenic) drivers of climate change, such as greenhouse gas emissions; Changes in the state's climate; Impacts of climate change on physical systems, such as oceans, lakes and snowpack; Impacts of climate change on biological systems – humans, vegetation and wildlife. The indicators can serve as a tool for communicating technical data in relatively simple terms and help portray the interrelationships among climate and other physical and biological elements of the environment. Many of the indicators reveal evidence of the already discernible impacts of

climate change, highlighting the urgency for the state, local governments and others to undertake mitigation and adaptation strategies.

TOOLS TO EVALUATE ADAPTIVE CAPACITY FOR VULNERABILITY ASSESSMENTS

CALENVIROSCREEN CalEnviroScreen 3.0 is a screening tool that identifies communities most affected by and vulnerable to the effects of many sources of pollution and population-based disparities. It aggregates statewide environmental, health, and socioeconomic information to produce scores for every census tract in the state. A census tract with a high score is considered more disadvantaged than a community with a low score as a result of pollution burden and population characteristics. When overlaid with climate impact and exposure data, CalEnviroScreen can provide insight into built and environmental exposure factors that contribute to vulnerability.

CLIMATE CHANGE & HEALTH VULNERABILITY INDICATORS FOR CALIFORNIA The CalBRACE Project developed climate change and health indicator narratives and data to provide local health departments and partners with tools to better understand the people and places in their jurisdictions that are more susceptible to adverse health impacts associated with climate change, specifically extreme heat, wildfire, sea level rise, drought, and poor air quality. The assessment data can be used to screen and prioritize where to focus deeper analysis and plan for public health actions to increase resilience.

HEALTHY PLACES INDEX The California Healthy Places Index is an interactive online data and GIS mapping tool that allows users to easily visualize the social and economic conditions that shape health in each neighborhood in California. HPI is validated with life expectancy and provides census tract rankings across the state. As of 2017, the Healthy Places Index platform also includes climate change indicators. This tool provides graphic overlays of climate risks, vulnerabilities and indicators of adaptive capacity, along with the healthy places index score, and other key decision support layers. HPI moves data into action by providing policy briefs outlining best practices to address risks associated with climate indicators.

REGIONAL OPPORTUNITY INDEX Another mapping tool to identify census tracts lacking in opportunities and needing investment is the Regional Opportunity Index from the UC Davis Center for Regional Change. The index seeks to help target resources and policies toward people and places with the greatest need. The tool incorporates both a “people” component

and a “place” component, integrating economic, infrastructure, environmental, and social indicators into a comprehensive assessment of the factors driving opportunity.

EXAMPLES OF POLICIES WITH VULNERABILITY ASSESSMENTS

SB 379 requires cities and counties to complete a vulnerability assessment as part of its General Plan update.^{cxxiii} However, the assessments are not required to include equity or environmental justice considerations. Without this information, cities and counties may fail to understand the unique needs and challenges of frontline communities and may consequently develop policies that do not take these considerations into account.

In contrast, **California's State Water Resources Control Board adopted Resolution No. 2017, “Comprehensive Response to Climate Change,”** to integrate climate change comprehensively into its programs and decision-making. The resolution says:

“The Division of Drinking Water (DDW) will begin including climate change vulnerability assessments in community water system sanitary surveys, and DDW will provide technical and financial assistance to help protect drinking water systems that are highly vulnerable to climate change, particularly within disadvantaged communities.”^{cxxiv}

This policy includes language that can lead to equitable outcomes for disadvantaged communities once the resolution is implemented.

EXAMPLE OF GRANT PROGRAM WITH VULNERABILITY ASSESSMENT

The **Transformative Climate Communities** program requires applicants to complete a “Climate Adaptation and Resiliency Plan” that describes how their project will increase the project area’s resiliency to anticipated climate change impacts. While not explicitly referred to as a vulnerability assessment, the plan includes similar steps.

The plan must:

1. Identify the climate change risks and exposures within the project area,^{cxxv} such as additional days of extreme heat or precipitation, flooding, sea level rise, and drought.^{cxxvi}
2. Describe the impact of the climate change risks and exposures on the community, including vulnerable populations.^{cxxvii} The plan should consider age, physical and mental health,

employment, citizenship status, and other socioeconomic factors. Populations already strained by economic or environmental disadvantages, or those with disabilities or related limitations, often have a lower capacity to adapt.

3. Describe the impact of climate change risks and exposures on the built environment.
4. Based on the identified risks for the Project Area, applicants must describe:
 - a) Process to identify and prioritize adaptation measures for addressing risks on vulnerable population.
 - b) Process to identify and prioritize adaptation measures to increase resiliency of proposed infrastructure projects.

Note that the plan does **not** require applicants to *implement* the plan, so applicants may create effective strategies to enhance resilience but never put them into action. Therefore, we strongly recommend policymakers to require applicants to implement any climate adaptation and resiliency plans to help communities adapt and build resilience.

IV.B. FUND PROJECTS THAT CENTER COMMUNITY NEEDS, REDUCE CLIMATE VULNERABILITIES, AND INCREASE RESILIENCE

WHY AND HOW:

In addition to guidance on vulnerability assessments, we also want to provide examples of projects from existing policies and grant programs that illustrate how to advance social equity *and* help communities adapt and build resilience to climate change. When thinking about the types of cross-sector benefits a project can provide, we recommend strategizing how those benefits can be relevant for a frontline community. For example, if considering reducing GHG emissions, can it be done in the most polluted communities? If the project provides economic benefits, can it institute local hire requirements in a frontline community? If the project increases access to recreational activities, how can it prioritize increasing access for vulnerable populations that face barriers accessing these opportunities?

Note that these are simply suggestions for projects. The final project strategy for a policy or program should be based on a community's needs, exposure risk and adaptive capacity, which a vulnerability assessment along with robust community engagement can help identify. The guiding questions in each table are informed and adapted from the Rockefeller Foundation *Resilience Framework* and the *General Plan Guidelines* document developed by the Office of Planning and Research.^{cxxviii}

COMMUNITY PERSPECTIVE

Sophie Wolfram from Climate Action Campaign in San Diego discusses the importance of understanding community needs:

“Given how hard it’s been for me to answer questions about the [San Diego] region as a whole, as somebody who lives here and works here, it strikes me ... that it’s going to be that much more difficult for

someone in Sacramento to make broad decisions about what to do in the whole state or what to do in the whole San Diego region without getting into communities and listening and understanding what people are already experiencing on the ground, what their lives are like ... and so I think as much as we need to move quickly to prepare [for climate impacts] because it feels like we're behind, it's at least equally important to hear from communities and ... not just [from] one or two community members, but to get into communities and really hear from people about what their concerns are and how their lives work to make sure that strategies we implement at the state level meet people where they are."

PROJECT EXAMPLES THAT INCREASE ADAPTIVE CAPACITY AND REDUCE EXPOSURE RISK^{cxix}

Guiding Questions

- How does the effort help develop new infrastructure or maintain/strengthen existing critical infrastructure and public services to handle changing conditions in frontline communities?
- How does the effort advance emergency preparedness for frontline communities?
- How does the effort increase access to critical facilities and services, such as responsive emergency services, mental health, and healthcare services?
- How does the effort help community members meet their basic needs such as access to safe and affordable drinking water and healthy food?

Project Examples

- Significantly reduce flood risk and/or fire risk to households within one or more DAC or low-income communities
- Improve air and water quality
- Reduce GHG emissions and toxic chemical emissions
- When planning for infrastructure investments, prioritize actions that increase the resilience of essential facilities and associated services that provide health care, food, drinking water, evacuation routes, and emergency shelter for frontline communities.
- Reduce community health and safety risks from potential damage to sensitive facilities such as water treatment plants, hazardous waste facilities, and power plants and transmission lines.

- Stormwater management
- Energy conservation
- Urban heat island mitigation—urban tree canopy development to reduce the heat island effect, especially in heavily urbanized, tree-poor areas
- Complete community emergency preparedness plans, including maps and strategies for providing relocation and community services to frontline communities in case of disasters
- Wetland and floodplain restoration to reduce risk of coastal flooding from sea level rise
- Maintaining watershed health
- Studies, plans or planning methods that advance a community’s effort to address sea level rise, flooding, wildfires, and mudslides, which may include the use of natural infrastructure to reduce the impacts of climate change
- Rain barrel builds to capture rainwater and reduce flooding
- Multi-benefit green infrastructure investments in or benefiting frontline communities
- Reduce cascading effects (when one impact triggers another one – like electricity going out that affects transportation and communication lines)

PROJECT EXAMPLES THAT INCREASE QUALITY OF LIFE

Guiding Questions

- *How does the effort increase access to natural resources, parks, and recreational opportunities?*
- *How does the effort strengthen crime prevention, safe places, justice and emergency management?*
- *How does the effort support diverse and affordable multimodal transit and network options for frontline communities?*

Project Examples

- Community-driven cultural asset mapping for neighborhood resilience plan
- Preserve sites that allow public access
- Reduce vehicle miles traveled
- Create safe public green spaces and trails

- Build-a-bike workshops to increase carbon-neutral mobility
- Greenspace and greenway development; gardens
- Expand or improve usability of existing active transportation routes or create new active transportation routes that are publicly accessible by walking paths within one or more frontline communities
- Increase, expand or improve active transportation and physical activity programming that promotes recreation and accessibility to recreational facilities
- Improve open spaces, parks, greenbelts, and recreational areas publicly that are accessible by walking within one or more frontline communities
- Enhancements that improve the resilience of the social fabric of the community and lead to more social cohesion, resident ownership, and connections to services and programs that support residents' long-term well-being and success
- Community and local parks, including pocket parks, playgrounds, playground equipment, dog parks, and picnic areas, especially those that connect and restore underutilized spaces; Park safety, graffiti removal, facility safety lighting, safe routes to schools, and other safety improvements
- Community and senior recreational centers
- Cultural or visitor centers that recognize that contributions of California's ethnic communities or celebrate the unique traditions of these communities
- Studies to improve access to social services and other community destinations for disadvantaged communities

PROJECT EXAMPLES THAT INCREASE ECONOMIC DEVELOPMENT

Guiding Questions

- *How does the effort help create opportunities to support basic needs for individuals, such as job training, skills, housing and job fit?*
- *How does the effort support a just transition to a non-extractive, clean energy economy in ways that provide multiple benefits to frontline communities, including job training, targeted employment, and generation of wealth and health?*

Project Examples

- Workforce development (expansion of job training programs with career pathways), particularly for underrepresented groups and individuals with barriers to employment
- Promote engagement and contracting with diverse-owned businesses
- Develop local, accessible, high-quality jobs that offer living wages, benefits, worker voice, predictable scheduling, and opportunities for advancement, with clear on-ramps for low-income residents in and near the project area
- Establish partnership with community-based workforce development and job training entities that have a track record of success serving DAC populations and/or have demonstrated a high job placement rate among trainees from DACs
- Partnerships with pre-apprenticeship programs, state-certified community conservation corps programs, “earn-while-you-learn” programs, YouthBuild programs and/or registered apprenticeship programs that lead to industry recognized credential, certifications and/or references for long term employment
- Projects that have developed project labor, community workforce, or high-road agreements with targeted local hire specifications OR that are located in jurisdictions with local hire ordinances that directly apply to the proposed project

PROJECT EXAMPLES THAT ADVANCE COMMUNITY INCLUSION

Guiding Questions

- *How does the effort actively engage frontline communities in research, planning, implementation, education and decision-making about potential climate change impacts and about the development, funding, implementation, and evaluation of adaptation and resilience policies?*
- *How does the effort define communities' decision-making role and ensure that community representatives are included in decision-making throughout the process?*

Project Examples

- Commitment for active participation in project planning and implementation from community members and/or volunteers in neighborhood of project area
- Interpretation, education and communication about parks, local environmental issues, and recreational activities

- Advance community power and promote community ownership of project or program through community partnerships and community decision-making power

IV.C. IDENTIFY AND AVOID UNINTENDED CONSEQUENCES

WHY AND HOW:

Project implementation should include identifying and avoiding any potential unintended consequences of the project that could inadvertently increase frontline communities' and individuals' climate vulnerability.^{cxxx} In a world that places high value on monetary impacts (negative or positive), it is important to analyze non-monetary benefits and burdens and address them before projects are implemented to ensure that projects utilize least-harm solutions. Non-monetary societal impacts that can be affected by a project can include the following variables: demographic, socio-economic, political, needs and values.^{cxxxi}

The international development and public planning sectors use social impact assessments to identify and avoid unintended consequences. This tool can be easily adapted to individual projects at a smaller scale. They are valuable to not only identify the positive and negative societal impacts of a project, but to also make sure that those impacts are monitored and addressed.^{cxxxii}

Below, we include a summarized outline of the steps to conduct a social impact assessment along with resources on social impact assessments. Although we did not find examples of policies or programs that address unintended consequences, we strongly recommend that policymakers include this tool because it can help minimize burdens in already highly-impacted communities.

TOOLS TO IDENTIFY AND AVOID UNINTENDED CONSEQUENCES

Social Impact Assessment Outline^{cxxxiii}

1. Scope the community you plan to work in
 - a) Collect data (quantitative and qualitative) on community demographics, socioeconomic variables, and needs and aspirations.
 - b) Incorporate public participation and output by engaging with community stakeholders (see Section III.B. for community engagement best practices).
2. Assess the social benefits and unintended social burdens a project might have on a community given the research conducted in Step
3. Address the unintended social burdens by outlining an appropriate mitigation strategy.

	<p>4. Continue to engage with the community to make sure unintended consequences of a project are mitigated and project benefits are maximized.</p>
<p>Social Impact Assessment Resources</p>	<ul style="list-style-type: none"> • Social Impact Assessment—International Union for Conservation of Nature^{cxxxiv} • Social Impact Assessment—International Association for Impact Assessment^{cxxxv} • Making a Case for Social Impact Assessment in Urban Development—Procedia: Social and Behavioral Sciences^{cxxxvi} • What is Social Impact Assessment?—Wilson, E.^{cxxxvii} • Process for Undertaking Equity Assessment—Australian Transport Assessment and Planning^{cxxxviii}

V. HOW TO MEASURE AND ANALYZE EQUITY PROGRESS

How is equity progress measured? How do we know that equity goals were achieved?

V.A. Include Evaluation Guidelines for Policies

V.B. Analyze Equity Progress in Grant Program Itself

V.C. Analyze Equity Progress in Grant Program Projects

V.C.1. Include Language in Grant Program Guidelines about Developing Equity Indicators

V.C.2. Provide Applicants with Resources on How to Develop Indicators

V.C.3. Share Best Practices and Lessons Learned from Grant Programs

V.D. Promote Transparency and Accountability

WHY AND HOW:

Policies and grant programs should include mechanisms to evaluate whether and how the effort meets its stated equity goals. However, most of the policies and programs we reviewed did not analyze the social equity successes of the effort, which represents a large gap in policy and program development. Policies and programs should include an evaluation framework that incorporates metrics to monitor and track the progress toward the effort's goals.

This section provides guidance on how policies and grant programs can develop metrics that center social equity and includes additional strategies to promote transparency and accountability.

V.A. INCLUDE EVALUATION GUIDELINES IN POLICY

WHY AND HOW

Policies should first include language requiring the administering entity to create evaluation guidelines that include metrics.

EXAMPLE OF POLICY THAT REQUIRES EVALUATION GUIDELINES

SB 5 requires each state agency that receives funding to administer a competitive grant program to “develop and adopt project solicitation and evaluation guidelines. The guidelines shall include monitoring and reporting requirements and may include a limitation on the dollar amount of grants to be awarded.”^{cxxxix}

In addition, we recommend policies include more specifics about what the evaluation guidelines should incorporate. Below are recommendations on what to include in evaluation guidelines for policymakers to consider.

RECOMMENDATIONS FOR EVALUATION GUIDELINES IN POLICIES

The evaluation guidelines should:

- Develop policy-specific social equity metrics for processes *and* outcomes. Evaluating *both* process and outcome will create accountability to ensure social equity is centered and achieved in the implementation of the policy. Policymakers should engage equity stakeholders to define the metrics.
 - The equity metrics should identify and measure progress on economic, social, health, and environmental issues applicable to policy.
 - Process metrics can include number of CBO representatives sitting on decision-making entities, did community engagement processes change course of projects, was trust built in the process, etc.^{cxl}
 - Outcome metrics can include amount of GHG reduction, the percentage increase of urban tree canopy in a community, etc.
- Conduct regular process and outcome evaluations throughout implementation process
- Integrate community-recommended equity metrics into evaluation guidelines and include indicators that reflect current equity concerns (e.g. race, housing, etc.).
- Create an adaptive process and outcome metrics that reflect the changing equity landscape and develop processes that allow for funding streams to be adapted to current conditions.
- Present findings on the evaluation process to equity stakeholders and develop recommendations to improve process.^{cxli}

V.B. ANALYZE EQUITY PROGRESS IN THE GRANT PROGRAM ITSELF

WHY AND HOW:

Grant programs should evaluate whether and how the program itself advances social equity in its goals, process and implementation. Program evaluation can help identify program strengths and areas for improvement. Since each program will vary significantly, we outline a general approach to evaluating grant programs.

RECOMMENDATIONS FOR GRANT PROGRAM EVALUATION

- Convene all program designers, administrators, subcontractors and other program partners to discuss and collectively develop shared goals, program metrics and indicators. Bringing everyone together helps ensure all program participants are on the same page and ensure collective buy-in from the start about what the program aims to achieve and how progress will be tracked.
- Program participants should collectively develop program-specific equity metrics and indicators for program *processes* and *outcomes*.
- Program participants should conduct regular process and outcome evaluations throughout implementation of the program.
- Program participants should create adaptive process and outcome metrics that reflect a changing equity landscape.
- Program participants should present findings on evaluation process to equity stakeholders for feedback and improve process and outcome metrics and indicators on an ongoing basis.^{cxlii}

We recommend looking at the following two reports as examples of program assessment:

- [California's Cap-and-Trade-Funded Affordable Housing and Sustainable Communities Program: Impact from Rounds 1-3](#). Developed by Community Housing Partnership Corporation and Enterprise Community Partners
- [California's Cap-and-Trade-Funded Low-Income Weatherization Program Multifamily: Impact Report](#). Developed by Community Housing Partnership Corporation and Association for Energy Affordability Inc.

V.C. ANALYZE EQUITY PROGRESS IN GRANT PROGRAM PROJECTS

V.C.1. Include Language in Grant Program Guidelines about Developing Equity Indicators

V.C.2. Provide Applicants with Resources on How to Develop Indicators

V.C.3. Share Best Practices and Lessons Learned from Grant Programs

WHY AND HOW

Since many grant programs result in the implementation of projects, we recommend program designers incorporate evaluation tools for applicants to assess whether and how they are meeting their proposal goals. The following evaluation recommendations can be included in grant program guidelines.

V.C.1. Include Language in Grant Program Guidelines about Developing Equity Indicators

Grant administrators should ask grantees to develop equity indicators to track whether the project is meeting its equity goals, and whether the project's actions benefit or harm frontline communities. The following examples show what current grant programs ask applicants to include in their project proposal.

EXAMPLES OF GRANT PROGRAMS THAT REQUIRE PROJECT EVALUATION

The PG&E Better Together Resilient Communities Grant Program^{cxliii} asks applicants to do the following in the proposal:

- Include practical, measurable and innovative ways to address community needs and climate risks, and
- Describe the anticipated measurable outcomes of the projects, key metrics applicant will use to evaluate said outcomes and how they will be tracked.

Measure AA^{cxliv} requires all applicants to:

- Include a monitoring and reporting component that explains how the effectiveness of the project will be measured and reported. The program offers to work with grantees to develop appropriate monitoring and reporting templates and procedures.

V.C.2. Provide Applicants with Resources on How to Develop Indicators

Principles to Guide Development of Indicators

Developing indicators can be challenging and complex. We recommend providing grant applicants with principles on how to develop comprehensive and effective indicators to help get them started. Importantly, the indicators developed must incorporate equity, human health and environmental justice impacts of the project. The Office of Planning and Research developed the [Planning and Investing for a Resilient California: A Guidebook](#) that provides a list of state efforts that are identifying, developing and tracking indicators that can support the development of indicators in other efforts, such as grant programs. These include: Safeguarding California, Cal-Adapt, Office of Environmental Health Hazard Assessment Climate Indicators report, and state sustainability efforts.^{cxlv}

The following principles from USDN's [Urban Adaptation Indicators Guide^{cxlvi}](#) offer helpful guidance for grant applicants to keep in mind when developing indicators. See the full report for a complete list of principles.

GUIDANCE ON INDICATOR DEVELOPMENT

(adapted from USDN's *Urban Adaptation Indicators Guide*)

FOCUS ON PURPOSE:

Adaptation indicators must be tied to a specific goal to be useful and relevant

Match indicators to adaptation vision and goals: A good adaptation planning process begins with a vision for a healthy community amidst climate impacts and matches indicators directly to goals and impact areas. Within this process, a range of adaptation outcomes could be appropriate, depending on how ambitious or specific the adaptation goal is. For example, success outcomes could range from simply being prepared for the next disaster to moving or fortifying critical assets, protecting specific populations, or reducing business investment risk.

THINK IN SYSTEMS:

Good adaptation planning takes into account the larger systems that affect adaptation outcomes.

Create bundles: Adaptation success is holistic in nature and therefore single indicators are less likely to tell the whole story. Create indicator bundles that balance short-term and long-term, scientific and subjective, small and large scale, can help create a more realistic picture.

Choose achievable over comprehensive: It is tempting to create a comprehensive list of indicators that cover all known vulnerabilities. Yet this is often unachievable. Instead, it is better to concentrate on a few “keystone” indicators that are scaled to inform a larger story. Consider the workload required to collect information on each indicator.

Consider primary, secondary and cascading impacts: When designing an adaptation plan and metrics, it is important to consider various impact levels. Primary impacts include the most direct consequence of climate change, such as flood levels, heat indices, or storm surges. Secondary impacts include system-level consequences such as economic productivity loss associated with a storm. Cascading impacts include consequences that are amplified through a system, such as electrical grid failure that limits emergency operations, which lead to further disasters.

BE EVIDENCE-BASED:

Indicators must enable measurement and verification of stated adaptation goals and objectives. This can only be done with evidence-based measures based on sound science

Ensure validity: Indicators must fulfill some basic validity requirements. Fortunately, there are several validity models to choose from, including SMART principles (Specific, Measurable, Attainable, Relevant, Time-bound), and CREAM principles (Clear, Relevant, Economic, Adequate, Monitorable). The UNFCCC's Adaptation Fund also provides a checklist for selecting proper indicators, including valid, precise, practical, affordable, simple, reliable, sensitive, clear, useful and owned.

Account for inequities and geographies: Indicators that do not account for inequalities may actually serve to make inequality worse. For example, “number of houses with air conditioners,” if not segmented by income, does not help decision-makers identify who is most at-risk during heat waves. Similarly, some populations have lower tolerance for or higher sensitivity to some climate impacts than others. For example, elderly residents may be at higher risk of heat-related health problems.

Base on performance and consequence: Indicators must address specific adaptation performance goals and answer the question “resilience to what?” For example, “number of trees planted” as an outcome indicator is not connected to a climate impact and does not measure equitable canopy cover. A better indicator would be “temperature reduced from tree canopy during a heat event,” segmented by key demographics (who benefits) and geographies (how well is the benefit distributed).

Account for uncertainties: Since adaptation planning is scenario-based, it will inevitably fail to predict all climate impacts. Where possible, design metrics that consider the probability of different impacts. For example, metrics for adaptive capacity will look different for 10-year, 100-year and 1000-year floods.

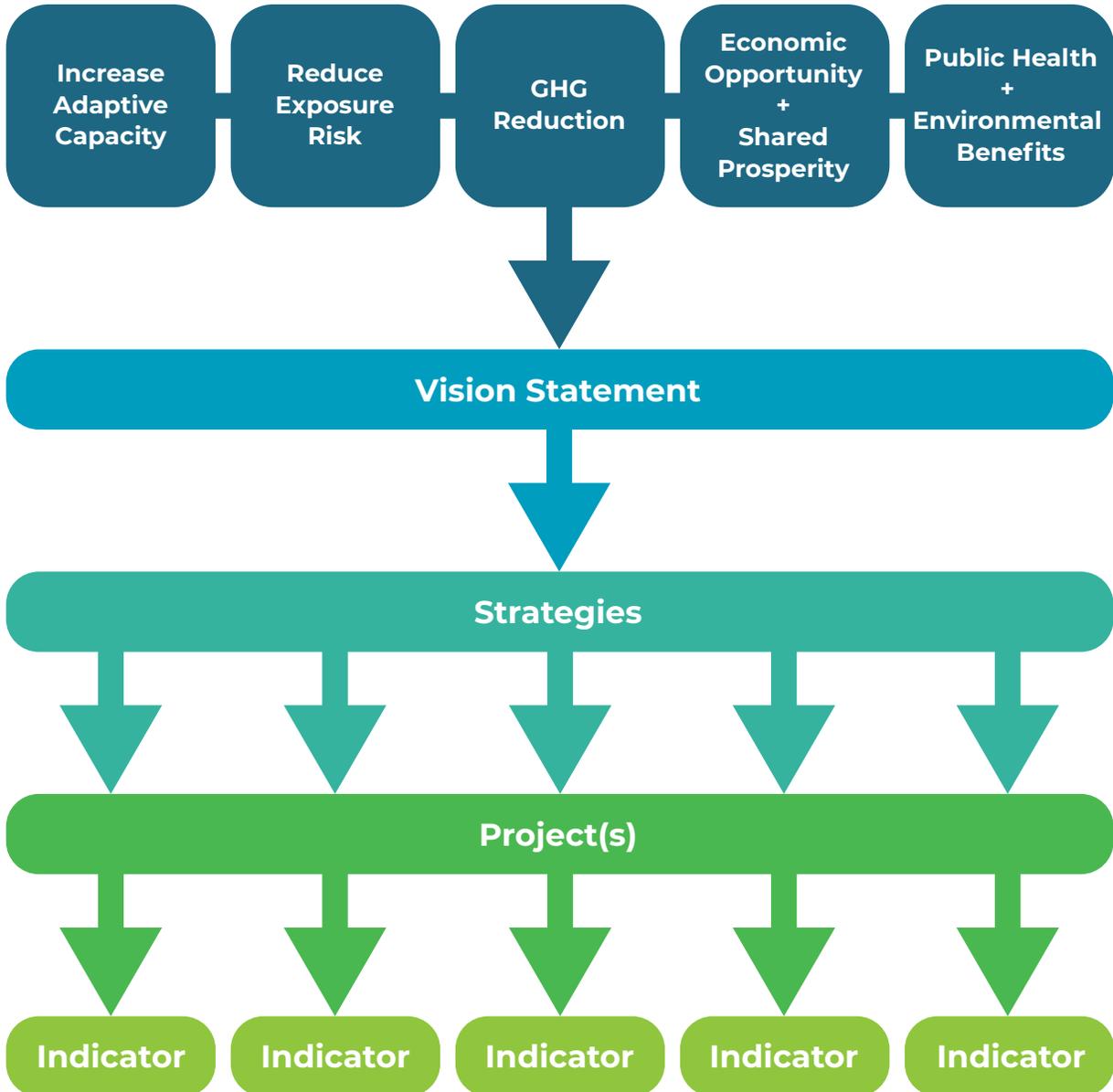
Framework to Develop Indicators

In addition to providing grant applicants with guiding principles for development of indicators, we also recommend providing a framework to develop the indicators. Since indicators will vary for each grant program project, providing grant applicants with a general framework can help them think about how they should develop equitable adaptation indicators:

We adapted the following framework from the **Transformative Climate Communities Program**.^{cxlvii} The framework illustrates how different parts of a grant program relate to each other, beginning with program objectives and ending with project indicators. The framework can be replicated in other grant programs.

FRAMEWORK TO DEVELOP INDICATORS

(adapted from *Transformative Climate Communities Program*)



V.C.3. Share Best Practices and Lessons Learned from Grant Programs

Grantees may learn valuable information from their experience participating in a grant program that can be shared such as lessons learned, missed opportunities, and best practices. Communicating the grant program's social equity wins and lessons learned is an invaluable way to show that it is possible to achieve equity outcomes. We highly recommend sharing this information with the public so others can follow best practices and avoid pitfalls that may have come up. We provide strategies in the table below:

STRATEGIES TO SHARE GRANT PROGRAM'S SUCCESSES AND CHALLENGES

- Have pictures of grantees on the grant program website or on other marketing tools
- Share success stories about projects with strong social equity elements through blog posts, on the program website, and via social media outlets
- Interview grantees who embed social equity in their project and share their experiences, challenges and advice they can offer to potential applicants
- Contact local news media and encourage them to cover the program's successes
- Include a summary report that captures lessons-learned under all phases of the project including design, process and implementation. The report should share trouble areas and issues to address moving forward, to prevent these issues from occurring again.
- If a grant program has multiple solicitation rounds, the administering entity can host an event where all program participants and grant administrators are invited to analyze and learn how to improve the program

V.D. PROMOTE TRANSPARENCY AND ACCOUNTABILITY IN POLICIES AND PROGRAMS

WHY AND HOW:

The previous recommendations in this section offer guidance on how to evaluate policies and grant programs. Another important component of policy and grant program evaluation is ensuring transparency and accountability, key tenets of social equity. Policies and programs should be transparent so that stakeholders have access to information to learn, for example, how funds are being used for any implementation efforts, and to assess whether the funds are achieving the program's goals. Accountability must be built into a policy and grant program to ensure that the effort stays on track with the goals it set out to achieve.

Policies and grant programs can create transparency and accountability by tracking, monitoring and reporting data. However, many of the policies and programs that Greenlining reviewed for this report do not collect or report data, and there are no consequences or penalties to enforce the data collection. This is a huge gap that must be addressed moving forward. We strongly recommend that policymakers prioritize transparency and accountability in efforts they engage in, and we recommend including the following strategies to achieve this:

STRATEGIES TO PROMOTE TRANSPARENCY AND ACCOUNTABILITY IN POLICIES AND GRANT PROGRAMS

Create an independent citizen's oversight advisory board^{cxlviii}

- The advisory board should include community members from the impacted area who conduct periodic evaluations of the program to identify any changes needed to meet program's social equity objectives.
- The advisory board should review any annual and financial reports. The initiative should include information about how often the advisory board will review expenditures and evaluate the initiative. We recommend quarterly reviews.
- The advisory board's assessment and accounting should be available online and accessible to the public.
- The policy or program should include information about term limits, conflict of interest, and compensation.

Require annual written reports^{cxlix}

The report should include:

- Information about the location and footprint of any funded project, its objectives, status and outcomes, and any matching funds used.
- Estimates of jobs supported by policy or program implementation (can use CARB's jobs co-benefit assessment methodology). The tracking and reporting of employment outcomes should include:
 - Job classification or trades
 - Job training credentials including credentials from apprenticeship and workforce development programs
 - Number of jobs provided, including number of jobs provided to priority populations
 - Total project work hours, including project work hours for priority populations
 - Average hourly wage
 - Total number of workers who completed job training
 - Description of job quality and benefits provided (insurance, annual leave, overtime, etc.)
- Reporting on co-benefit indicators based on health, environmental and economic goals grant recipient identified at grant's onset. ([Reporting templates and co-benefit indicators are posted on](#)

[the CARB CCI Quantification, Benefits, and Reporting Materials webpage](#) and [CCI Co-benefit Assessment Methodology webpage](#))

- Findings from an independent annual audit and financial statements showing the amount of funds collected and/or expended and the status of any projects or programs

VI. CONCLUSION

This Guidebook provides recommendations to center social equity in climate adaptation and resilience policies and grant programs for communities on the frontlines of climate change. By adopting the recommendations, California can better prioritize the needs and goals of communities hit hardest by climate change who also have the fewest resources to adapt and build resilience. The recommendations in the Guidebook focus not only on creating a more resilient physical environment for communities, but also on how to increase economic opportunities, health outcomes, and avoid displacement because communities need comprehensive, multi-faceted solutions to truly be resilient. We encourage policymakers to review the recommendations and adopt as many as possible that are applicable to the specific initiative being developed. While almost all of the equity-centered recommendations we offer are drawn from existing policies and grant programs, the strategies are not used nearly enough. We urge policymakers to normalize including the equity recommendations in the development of climate adaptation and resilience initiatives.

As the community member interviews highlighted, climate impacts can affect everyday life for people in California. Communities face the increasing likelihood of power outages, displacement, increased costs for electricity and food, contaminated drinking water, worsened air pollution and increased asthma rates—and these impacts hit frontline communities even harder due to the historic racial, socioeconomic and environmental injustices they already face. The need to *equitably* adapt is urgent and necessary or else we risk building a future where the most vulnerable communities are left behind and unable to bounce back. As California continues to build resilience to climate change impacts, this Guidebook can help the state include the priorities of frontline communities and place equity at the center of climate adaptation planning and decision-making. Upon publication of this Guidebook, The Greenlining Institute will pursue opportunities to work with policymakers to implement these recommendations.

VII. APPENDICES

APPENDIX A: The Climate Justice Working Group Report: Advancing Climate Justice in California: Guiding Principles and Recommendations for Policy and Funding Decisions

Recognizing the need to protect frontline communities and advance equity and justice in climate adaptation efforts, Resources Legacy Fund convened the Climate Justice Working Group in 2016 to work on this important issue. The CJWG included 14 nonprofit organizations, including The Greenlining Institute, with missions to advance environmental justice, health equity, and climate equity.

The CJWG developed a set of climate justice guiding principles along with policy and funding recommendations, all aimed at prioritizing equity and protecting frontline communities in California. In the course of this process, the CJWG also met with the California Natural Resources Agency, the Governor's Office of Planning and Research, and the California Department of Public Health. The CJWG released its final principles and recommendations in summer 2017 for California leaders to consider in further development and implementation of climate adaptation policies and funding decisions. The principles and recommendations are included here:

Advancing Climate Justice in California: Guiding Principles and Recommendations for Policy and Funding Decisions^{cl}

Developed by the Climate Justice Working Group

VISION

By 2030, we envision a resilient California where our most vulnerable communities are ready to respond to the physical, environmental, economic and health impacts brought on by climate change, and thrive after climate events. California must proactively bring public and private investments into vulnerable communities to foster robust and thriving communities that are engaged, healthy, just, economically viable, and safe from environmental threats.

GUIDING PRINCIPLES

1. Actively engage frontline communities in research, planning, implementation, education, and decision-making about potential climate change impacts and about the development, funding, implementation, and evaluation of adaptation and resilience policies. Create enabling conditions for frontline communities' early, continuous, and meaningful participation in the development of adaptation policy and funding decisions. Partner with local leaders and community-based organizations to enhance the effectiveness of adaptation research and innovation, education, decision-making, and policy implementation. *This overarching principle applies to all of the subsequent climate justice principles and recommendations.*
2. Identify and reduce frontline communities' vulnerabilities to climate change, with a focus on physical, economic, and quality-of-life factors.
3. When planning for infrastructure investments, prioritize actions that increase the resilience of essential facilities and associated services that provide health care, food, drinking water, evacuation routes, and emergency shelter for frontline communities. Reduce community health and safety risks from potential

damage to sensitive facilities such as water treatment plants, hazardous waste facilities, and power plants and transmission lines.

4. Promote adaptation policies, funding decisions, and implementation actions that increase training, employment and economic development opportunities among frontline communities. Where applicable, prioritize opportunities that advance a “just transition” from dependence on fossil fuels and further enhance community resilience to the impacts of climate change.
5. Promote and support regional and local adaptation efforts that generate multiple benefits across sectors.
6. During planning and implementation of land use and community development decisions, consider and avoid negative consequences of actions, including displacement, that could inadvertently increase frontline communities’ and individuals’ climate vulnerability.
7. Promote adaptation co-benefits of toxic chemical and greenhouse gas reduction policies by supporting those that also reduce frontline communities’ climate vulnerability and enhance their resilience.
8. Ensure that adaptation policies, funding decisions, and implementation actions comply with relevant laws and policies that are designed to protect and advance civil rights and environmental justice.
9. Promote local, regional, and state agency transparency, accountability, and adaptive management by developing and applying easy-to-understand climate justice metrics, data and information resources, and annual reporting protocols.
10. Identify needed funding, establish needed funding mechanisms, and allocate adequate funding to support adaptation policy development, implementation, and evaluation in frontline communities.

POLICY AND FUNDING RECOMMENDATIONS^{cli}

- California state agencies should complete regional cross-sector vulnerability assessments that:
 - Provide for frontline community members to participate meaningfully in processes of information-gathering, research, analysis, and review.
 - Identify and prioritize climate change-related threats to the region’s frontline communities.
 - Assess how existing critical infrastructure and public services will handle changing conditions, and how the state can strengthen existing infrastructure and services, and develop new infrastructure and services, to enhance climate resilience and prevent displacement.
 - Determine how state agencies will integrate their climate justice policy development, planning, and implementation activities.
 - Provide direction and resources, such as funding and capacity building, to local and regional agencies on integrating climate justice in planning efforts, policy development and implementation, and distribution of resources. Ensure these local and regional agencies are also engaging frontline communities in their research, planning, implementation, and decision-making.
- California state agencies should establish regional goals, targets, and implementation strategies for building climate resilience in frontline communities. These elements should be integrated into the state’s climate change adaptation strategy. Areas of focus should include, but not be limited to:
 - Access to economic opportunities.
 - Access to public health facilities and services.
 - Access to safe and affordable drinking water and healthy food.
 - Access to affordable housing.

- Access to natural resources, parks, and recreational opportunities.
- Access to transportation.
- Access to public funds and technical assistance.
- Regional equity metrics that enable annual evaluation of progress toward resilience for frontline communities.
- Estimates of funding needed to achieve climate justice for frontline communities in each region.
- Based on the regional assessments, updated adaptation strategy, and funding estimates, California should immediately identify additional funding and funding mechanisms needed to achieve climate justice and equity for frontline communities.
- California should identify, raise, and invest at least \$1 billion, and by 2025, at least \$10 billion through appropriate funding sources to:
 - Ensure frontline community members are involved in all aspects of climate adaptation and resilience policy research, development, planning, decision-making, implementation, and evaluation.
 - Complete, for each region, community emergency preparedness plans, including maps and strategies for providing relocation and community services to frontline communities in case of disasters.
 - Make critical infrastructure and public service improvements in frontline communities consistent with regional assessments, goals, targets, and implementation strategies.
 - Develop an adequate supply of affordable, energy efficient housing in low-income and frontline communities.
 - Support a just transition to a non-extractive, clean energy economy in ways that provide multiple benefits to frontline communities, including job training, targeted employment, and generation of wealth and health.

APPENDIX B: How was the Guidebook Developed?

To create the Guidebook, we engaged in the following research and analysis processes:

STEP 1: CONDUCT LANDSCAPE ANALYSIS

We conducted a landscape analysis of the following 10 climate adaptation and resilience grant programs^{clii} and 24 policies that advance equity. The policies we reviewed include those that establish grant programs, research initiatives, planning processes and funding sources.^{cliii} Most sources are from California, as well as one source from Hawaii.

GRANT PROGRAMS REVIEWED

- Adaptation Planning Grant Program (SB 1)
- Sustainable Communities Grant Program (SB 1)
- Transformative Climate Communities Program
- Affordable Housing and Sustainable Communities Program
- Social Equity Tree Planting Grant Program
- Coastal Conservancy Climate Ready Program
- PG&E Better Together Resilient Communities Grant Program
- Climate Change Research Program (SGC)
- Grants Funded by Measure AA
- Enterprise Climate & Cultural Resilience Grants

POLICIES REVIEWED

- | | |
|--|---|
| <ul style="list-style-type: none">• Executive Order B-30-15• Executive Order B-52-18• Executive Order B-18-12• AB 398• SB 1• SB 1072• SB 5/Prop 68• SB 379• SB 246 | <ul style="list-style-type: none">• SB 1000• SB 1066• AB 691• AB 2516• AB 2140• AB 2616• California State Water Board - Resolution No. 2017• Los Angeles Measure A |
|--|---|

- AB 1482
- AB 2800
- AB 2722
- SB 1035

- Berkeley Measure Π
- SF Bay Restoration Authority & Measure AA
- Act 32, Session Laws of Hawai'i

We assessed how social equity shows up in each grant program and policy by using the operationalizing equity framework discussed in the introduction. For instance, when reviewing the Transformative Climate Communities competitive grant program, which funds development and infrastructure projects that achieve major environmental, health, and economic benefits in California's most disadvantaged communities, we asked:

- **GOALS:** How is equity described in the TCC program goals? Is it a key component?
- **PROCESS:** How does the grant program give decision-making power to the impacted communities?
- **IMPLEMENTATION:** What are the explicit equity outcomes of the program that address community needs?
- **ANALYSIS:** How is equity progress measured in the TCC grant program?

We applied these guiding questions to the policies and grant programs we reviewed and assigned an overall social equity score to each initiative. The main purpose of the landscape analysis was to gain a better understanding and baseline of how social equity currently shows up in climate adaptation and resilience efforts, and pull out any best practices, practices to avoid, missed opportunities, and recommended upgrades that came up. We include below a table summarizing our findings as well as an explanation of the scores.

SOCIAL EQUITY ASSESSMENT OF GRANT PROGRAMS

(See below for explanation of scores)

<i>Program Name</i>	<i>Social Equity Score</i>
CalTrans Adaptation Planning Grant Program (SB 1)	✓
CalTrans Sustainable Communities Grant Program (SB 1)	✓✓
SGC Transformative Climate Communities Program	✓✓✓
SGC Affordable Housing and Sustainable Communities Program	✓✓
CA ReLeaf Social Equity Tree Planting Grant Program (CalFIRE)	✓✓✓
CA Coastal Conservancy Climate Ready Program	✓✓
PG&E Better Together Resilient Communities Grant Program	✓
SGC Climate Change Research Program	✓✓
Grants Funded by Measure AA	✓
Enterprise Community Partners Climate & Cultural Resilience Grants	✓✓✓

SOCIAL EQUITY ASSESSMENT OF POLICIES

(See below for explanation of scores)

<i>Policy Name</i>	<i>Social Equity Score</i>
B-30-15	✓
B-52-18	✓
B-18-12	X
AB 398	✓✓

SB 1	X
SB 1072	✓✓✓
SB 5/Prop 68	✓✓✓
SB 379	X
SB 246	✓
AB 1482	✓
AB 2800	✓
AB 2722	✓✓✓
SB 1035	✓✓
SB 1000	✓✓✓
SB 1066	X
AB 691	X
AB 2516	X
AB 2140	X
AB 2616	✓✓
CA State Water Board - Resolution No. 2017	✓✓
LA Measure A	✓✓✓
Berkeley Measure TI	✓
SF Bay Restoration Authority & Measure AA	✓
Act 32, Session Laws of Hawai'i	✓

Explanation of Social Equity Scores:

- **Social Equity Score of X:** Social equity is not advanced in the policy or program.
 - The effort does not focus on protecting or addressing the needs of vulnerable communities.

- **Social Equity Score of ✓:** Social equity is not a main priority of the policy or program.
 - Social equity is not an explicit goal of the program or policy. Social equity may be described as an overarching principle for program or policy but is not actually incorporated elsewhere in the initiative. The effort may discuss protecting vulnerable populations but does not meaningfully explain how the effort will do so. The effort does not target funding to frontline communities and offers no or minimal community engagement (e.g. where communities are merely “informed” of an effort). Benefiting vulnerable communities may be one of many options for eligible projects but is not a requirement.

- **Social Equity Score of ✓✓:** Social equity is robustly included in a specific section or part of effort but is not embedded throughout the entire effort.
 - Social equity is one of many priorities for the policy or program. The effort includes community partnerships and engagement that go beyond “informing” a community of an effort. Projects eligible for funding generally require bringing benefits into frontline communities, but may not promote multiple benefits. Social equity may be strong in one component (e.g. process or implementation) but is not built into the foundation of the policy or program.

- **Social Equity Score of ✓✓✓:** Social equity is embedded throughout the entire policy or program.
 - The policy or program explicitly focuses on benefiting frontline communities. The effort involves robust community engagement requirements and is responsive to community needs. The effort aims to advance projects that bring direct and meaningful benefits (including multi-benefit projects) to communities, and targets funding to frontline communities.

STEP 2: SEEK INPUT FROM TECHNICAL ADVISORY COMMITTEE & CONDUCT COMMUNITY MEMBER INTERVIEWS

After completing the landscape analysis, we synthesized our research findings and shared them with the Technical Advisory Committee that we convened for this Guidebook. The TAC offered guidance, feedback and strategies as we developed the Guidebook. We also interviewed several staff working at community-based organizations or who work closely with frontline communities from different regions in California to learn about their priorities and pressing concerns in the context of climate adaptation. We include an overview of their priorities in the table below and incorporated their perspectives throughout the Guidebook.

OVERVIEW OF COMMUNITY INTERVIEW RESPONSES

HOW IS CLIMATE CHANGE IMPACTING YOUR LIFE?

- Increase in displacement and homelessness
- Worse air quality inside (mold) and outside of homes (from heat, smog and air toxics)
- Extreme heat impacts ability to go outside for recreation, errands, etc.
- Impacts to job security (too hot to work outdoors for agricultural workers)
- Exacerbates overall socio-economic vulnerability

WHAT ARE IMMEDIATE COMMUNITY NEEDS?

- Money and relief money (every interviewee raised this need)
- Emergency plans (that include culturally appropriate outreach and community engagement)
- Reliable, efficient and affordable transportation
- Affordable clean energy
- Cooling centers/resilience hubs
- Affordable air conditioning systems
- Technical assistance to understand local climate plans
- Access to emergency information and resources

WHAT ELSE IS MISSING FROM YOUR COMMUNITY?

- Residents included in decision-making processes
- Infrastructure that can better withstand natural disasters
- Communities involved in meaningful discussions about the risks and how to plan for disasters
- Awareness about emergency plans for climate disasters
- Greater knowledge about climate change issues

STEP 3: DEVELOP SPECIFIC EQUITY RECOMMENDATIONS FOR GUIDEBOOK

Once we completed the landscape analysis and received input from the TAC and community members, we developed the specific social equity recommendations for grant programs and policies that make up the Guidebook. The recommendations come from our experience, best practices from the landscape analysis, and recommendations from our TAC and community interviews. The recommendations focus on how to operationalize social equity in the *goals, process, implementation, and analysis* of grant programs and policies that focus on climate adaptation and resilience.

We plan to share the Guidebook with policymakers, state agencies and local governments and encourage them to adopt the equity recommendations in policies and grant programs they develop. Given that climate impacts are increasing in frequency and intensity, we hope the recommendations will help the state move towards a climate adaptation and resilience vision that prioritizes the needs of frontline communities to ensure *all* communities are protected.

APPENDIX C: Glossary of Key Terms

We use the following terms and definitions in the Guidebook:

Climate Adaptation

The process of preparing for and responding to the impending or inevitable consequences of the climate disruption already set in motion that, due to lag-effect, cannot be avoided or reversed.^{cliv}

Climate Justice

Ensuring that the people and communities who are least culpable in the warming of the planet, and most vulnerable to the impacts of climate change, do not suffer disproportionately as a result of historical injustice and disinvestment. Climate justice requires California leaders to acknowledge that frontline communities are experts in creating solutions to protect and preserve our air, water, land, and communities, despite their historical exclusion from decision-making and from public resources and services. Climate justice requires California leaders to provide public resources and services to frontline communities to engage and assist them in developing technologies, policies, professions, services, and projects for addressing the causes and impacts of climate change and healing from historical injustices.^{clv}

Climate Resilience

The capacity of a system (whether a community or an economy) to maintain 1) an intact core identity in the face of climate change and 2) a state of dynamic balance within which change can be avoided or recovered from without a fundamental transition to a new form. Resilience can bridge mitigation and adaptation, and economy and ecology, and can help us create more social cohesion, inclusion, power and participation, and more holistic and systemic interventions. Elements of a resilient California include built infrastructure systems, people and communities, and natural systems.^{clvi}

Community and Individual Resilience

The capacity for households, communities, and regions to adapt to changing conditions and to maintain and regain functionality and vitality in the face of stress or disturbance. It is the capacity of a system, be it an individual or a community, to deal with change positively and to use shocks and disturbances to spur renewal and innovative thinking. The goal is to be both strong and flexible—not only able to bounce back but to bounce forward. Resilience strategies seek to assess and evaluate the physical and social vulnerabilities and risks in a community, identify ways to reduce or eliminate the risk, and implement programs and projects to adapt and strengthen a community's physical and social characteristics.^{clvii}

Displacement

Displacement can result from gentrification when neighborhoods become financially out of reach for people or can occur at earlier stages through disinvestment, increasing vacancies and facilitating demographic turnover. Displacement manifests itself in many forms, from physical (i.e., evictions or service disruption) to economic (i.e., very high and/or frequent rent increases and sharp increases in housing costs relative to comparable neighborhoods).^{clviii}

Equity-washing

The practice of intentionally or unintentionally making unsubstantiated or misleading claims about the equity benefits of a policy, program or initiative, and can make an initiative seem more equitable than it really is.^{clix}

Frontline Communities

Frontline communities are those that experience continuing injustice—including people of color, immigrants, people with lower incomes, those in rural areas, and indigenous people—due to a legacy of systemic, largely racialized, inequity that influences their living and working places, the quality of their air and water, and their economic opportunities.^{clx}

Operationalizing Equity

A method to center equity in the development of policies and programs. It requires specificity in articulating equity in the goals, process, implementation and analysis of an initiative to create robust, equitable outcomes. Operationalizing equity ensures that equity is intentionally built into the foundation of an initiative and is not simply an “add-on” to an initiative. Operationalizing equity makes equity real.^{clxi}

Racial Equity

Transforming the behaviors, institutions, and systems that disproportionately harm marginalized communities. Equity means increasing access to power, redistributing and providing additional resources, and eliminating barriers to opportunity, in order to empower low-income communities of color to thrive and reach their full potential.^{clxii}

Redlining

The practice of denying mortgage loans or other types of investment to individuals or communities based on their racial and ethnic composition. Banks and other institutions—often following government mandates—refused to offer mortgages or offered worse rates to customers in communities of color, one of the clearest examples of institutionalized racism in the history of the United States. Although the practice was formally outlawed in 1968 with the passage of the Fair Housing Act, it continues in various forms to this day.^{clxiii}

Social Equity

The fair and just distribution of societal benefits and burdens.^{clxiv}

Vulnerable Communities/ Populations in the Context of Climate Change

Vulnerable communities or vulnerable populations include people who are vulnerable to the effects of pollution, the impacts of climate change, and other environmental, public health and economic burdens. Such people include, but are not limited to: women; racial or ethnic groups; low-income individuals and families; individuals who are incarcerated or have been incarcerated; individuals with disabilities; individuals with mental health conditions; children; youth and young adults; seniors; immigrants and refugees; individuals who are limited English proficient (LEP); and Lesbian, Gay, Bisexual, Transgender, Queer, and Questioning (LGBTQQ) communities; or combinations of these populations.^{clxv}

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- ⁱ Movement Strategy Center, *Pathways to Resilience*. Retrieved from <https://movementstrategy.org/directory/%EF%BF%BCpathways-to-resilience/> on June 24, 2019.
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^{xcv} The full list of areas of expertise that members of the advisory council should have include: (1) Public health, (2) Environmental quality, (3) Environmental justice, (4) Agriculture, (5) Transportation and housing, (6) Energy, (7) Natural resources and water, (8) Planning, (9) Recycling and waste management, (10) Local or regional government, (11) Tribal issues and (12) Emergency services and public safety. Climate change adaptation, SB. 246, Chapter 606 (Cal. 2015). Retrieved from https://leginfo.ca.gov/faces/billNavClient.xhtml?bill_id=201520160SB246 on July 7, 2019.

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^{ciii} This information may be obtained using: (1) Climate Change and Health Profile Reports, created by the CA Dept of Public Health, which describe the impact of climate risks and exposures for vulnerable populations for each county, (2) Climate change and health vulnerability indicators for California (CCHVI) developed by CalBRACE project, (3) Healthy Places Index (HPI) and (4) Regional Opportunity Index (ROI) developed by the UC Davis Center for Regional Change. California Strategic Growth Council. (2018). *Transformative Climate Communities Program: Final Guidelines*. Retrieved from http://sgc.ca.gov/programs/tcc/docs/20180815-TCC_Final_GUIDELINES_07-31-2018.pdf on April 30, 2019.

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^{cxix} California Environmental Justice Alliance, SB 1000 Toolkit: Planning for Healthy Communities, retrieved from <https://caleja.org/2017/09/sb-1000-toolkit-release/> on April 1, 2019.

^{cxx} In addition, the California Department of Public Health runs the “California Building Against Resilience Against Climate Effects,” or CALBRACE, initiative to assist counties to better understand and prepare for climate impacts. The initiative includes county-by-county projections for county and regional climate impacts, climate-related health risks, and local populations that could be vulnerable to climate effects. The information is available online at <https://archive.cdph.ca.gov/programs/Pages/CalBRACE.aspx>.

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^{cxixix} Examples adapted from the following programs and sources: *Advancing Climate Justice in California: Guiding Principles and Recommendations for Policy and Funding Decisions*. Retrieved from <http://www.healthyworldforall.org/en/pdf/AdvancingClimateJusticeInCaliforniaWithoutAppendix.pdf> on May 1, 2019; California Proposition 68, Parks, Environment, and Water Bond. (Cal. 2018); Adaptation Clearinghouse. *Los Angeles County Safe, Clean Neighborhood Parks and Beaches Measure of 2016*. Retrieved from <https://www.adaptationclearinghouse.org/resources/los-angeles-county-safe-clean-neighborhood-parks-and-beaches-measure-of-2016.html> on April 30, 2019; Enterprise Community Partners. (2017). *CLIMATE & CULTURAL RESILIENCE GRANT: Request for Proposals*. Retrieved from <https://www.enterprisecommunity.org/sites/default/files/media-library/solutions-and-innovation/design/Climate%26CulturalResilienceRFP.pdf> on April 30, 2019; California Strategic Growth Council. (2018). *Transformative Climate Communities Program: Final Guidelines*. Retrieved from http://sgc.ca.gov/programs/tcc/docs/20180815-TCC_Final_GUIDELINES_07-31-2018.pdf on April 30, 2019; California Department of Transportation. *FY 2019-20 Sustainable Communities Grant Application Guide*. Retrieved from http://www.dot.ca.gov/hq/tpp/grant_files/FY_19-20/03_Final_5OCT18_STPGrantGuideFY2019-20.pdf on April 30, 2019; State Coastal Conservancy. *Climate Ready Grant Announcement*. Retrieved from <http://scc.ca.gov/files/2018/04/Climate-Ready-Announcement.pdf> on April 30, 2019; California ReLEAF. *California ReLeaf 2019 Social Equity Forest Improvement Grant Program* (2019). Retrieved from <https://californiareleaf.org/wp-content/uploads/2017/12/GGRF-Social-Equity-Grant-Guidelines-2018-Final.pdf> on April 30, 2019; California Strategic Growth Council. (2019). *AFFORDABLE HOUSING AND*

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^{cli} The guiding principles and recommendations were set out to be accomplished by 2020. Recognizing that that timeline is no longer feasible, we removed the 2020 date.

^{clii} e.g. the Transformative Climate Communities program (TCC)

^{cliii} e.g. AB 2722, which created the TCC program; AB 2516, which requires the Natural Resources Agency and Ocean Protection Council to prepare a database of sea level rise information for specified agencies and private entities; SB 1000, which requires General Plans to include an Environmental Justice element; and SB 5, which placed a \$4 billion bond on the June 2018 statewide ballot for parks, water, and climate and environmental programs.

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