



ADMINISTRATIVE AND LEGAL REQUIREMENTS DOCUMENT (ALRD)

U.S. Department of Energy
State and Community Energy Program
Golden Field Office

State and Community Energy Programs (SCEP)
Inflation Reduction Act of 2022 Home Energy Rebates:
Home Efficiency Rebates & Home Electrification and Appliance
Rebates

CFDA Number: 81.041

Issue Date: 7/27/2023

Applications will be reviewed on a rolling basis and remain open until January 31, 2025. To ensure timely processing of awards, Grantees must submit complete Applications by the above deadline.



Registration/Submission Requirements

Registration Requirements: Allow at least 21 days to complete registrations.

If you have not already registered, there are several one-time actions you must complete to receive an award:

1. Obtain a Unique Entity Identifier (UEI) number from the [System for Award Management \(SAM.gov\)](#) website. Subawardees at all tiers must obtain UEI numbers and provide the UEI to the prime awardee before the subaward can be issued. For questions, consult additional training resources [here](#) (prepared by the Weatherization Assistance Program).
2. Register in the System for Award Management (SAM) at <https://sam.gov>. Applicants who are not registered with SAM should allow several weeks to complete this requirement. It is suggested that the process be started as soon as possible. **Prime awardees must update their SAM registration annually.** Please note, there are new requirements for registering in SAM. Entities registering in SAM must submit a notarized letter appointing their authorized Entity Administrator. Please see SAM website for updates, alerts, and FAQs. For questions, call 866- 606-8220 or 334-206-7828.

NOTE: Due to the high demand of UEI requests and SAM registrations, entity legal business name and address validations are taking longer than expected to process. Entities should start the UEI and SAM registration process as soon as possible. If entities have technical difficulties with the UEI validation or SAM registration process, they should utilize the HELP feature on SAM.gov. SAM.gov will work entity service tickets in the order in which they are received and asks that entities not create multiple service tickets for the same request or technical issue. Additional entity validation resources can be found here: [GSAFSD Tier 0 Knowledge Base - Validating your Entity](#).

3. Register in FedConnect to receive and acknowledge your award at <https://www.fedconnect.net/>. See the Quick Start Guide at [https://www.fedconnect.net/FedConnect/Marketing/Documents/FedConnect Ready Set Go.pdf](https://www.fedconnect.net/FedConnect/Marketing/Documents/FedConnect_Ready_Set_Go.pdf) For additional questions, email support@fedconnect.net or call 1-800-899-6665.
4. Have a Login for the Performance and Accountability for Grants in Energy (PAGE) System at <https://www.page.energy.gov/> to submit your application. State Energy Office designated points of contact will receive follow-up information regarding the application process from DOE via email.

States should contact their respective DOE Project Officer on state-specific questions. A list of Project Officers with contact information will be made available at <https://www.energy.gov/scep/home-energy-rebate-programs-guidance>.

Electronic Signatures: Acknowledgement of award documents by the Grantee's authorized representative through electronic systems used by the Department of Energy, including

FedConnect, constitutes the Grantee's acceptance of the terms and conditions of the award. Acknowledgement via FedConnect by the Grantee's authorized representative constitutes the Grantee's electronic signature.

IMPORTANT: The electronically signed Assistance Agreement with attached award documents distributed via FedConnect is the formal authorization and approval from the Contracting Officer. Grantees may not rely on PAGE as the formal authorization and approval. Award documents in the initial award and any modifications to the award must be reviewed and acknowledged by the Grantee in FedConnect.

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Part I Authority

Sections 50121 and 50122 of the Inflation Reduction Act (IRA) authorize the Department of Energy to administer the Home Energy Rebates. Sections 50121 and 50122 provide that a portion of the federal financial assistance made available to a state under the Home Energy Rebates may be used for planning, administration, or technical assistance related to the state's home energy rebate programs. Sections 50121(c)(4) and 50122(c)(9) of the IRA provide that the grantee may not use more than 20% of the grant amount for planning, administration, or technical assistance.¹ The remainder of the funds must be used for rebates, statutorily required incentives, and costs directly attributable to delivery of the rebate to eligible recipients. All Grant awards made under the Home Energy Rebates must comply with DOE and other federal regulations and procedures governing financial awards as outlined in the Uniform Administrative Requirements, Cost Principles, and Audit Requirements for Federal Awards, **2 CFR Part 200** as amended by **2 CFR Part 910** and other procedures applicable to this

¹ 42 U.S.C. 18795(c)(4); 42 U.S.C. 18795a(c)(9).



regulation as DOE may, from time-to-time, prescribe for the administration of financial assistance.

Part II Award Information

A. TYPE OF AWARD INSTRUMENT

DOE will award formula grants for this funding.

B. ESTIMATED FUNDING

Funding Level: A state may request up to 100% of total allocated funding from each section, less any funds received under the Early Administration Funds ALRD. If a state received funds under the Early Administration Funds ALRD, additional funds granted under this ALRD will be added to the existing grant.

A state may apply for funds for Home Efficiency Rebates (Section 50121), Home Electrification and Appliance Rebates (Section 50122), or both. A separate application is required for each section. Funds for Home Efficiency Rebates (Section 50121) must be tracked and managed separately from funds for Home Electrification and Appliance Rebates (Section 50122).

A state may apply for a portion of funds (for either program or both) to develop a “Quick Start” program. All requirements continue to apply. DOE will prioritize processing of applications identified for a “Quick Start” where the state plan indicates an intent to achieve a program launch in 2023. A state may request additional funding for its approved program prior to January 31, 2025, or may submit an application to administer a program operating under a different plan. As such, states may use a “Quick Start” application to pilot a rebate program.

The Grantee shall administer DOE funds received under these grants in accordance with Federal rules and regulations and state policies and procedures. The Grantee is to manage Federal Funds in a prudent, effective, and efficient manner to accomplish program objectives. Grantees shall take the necessary steps to ensure that funds are expended within the grant project period.

Pre-award costs will not be allowed.

C. PERIOD OF PERFORMANCE

DOE anticipates making awards that will run a maximum of 8 years in length, comprised of one budget period ending not later than September 30, 2031. DOE will evaluate project performance, project schedule adherence, the extent milestone objectives are met, compliance with reporting requirements, and overall contribution to the program goals and objectives. Allocated funding will be released, pending DOE review and approval, at the following project milestones.

Tranche #	Portion of awarded grant funds released	Required Deliverable(s) or Milestone(s)	LI Target*	LI Minimum†	LI MF Target*	LI MF Minimum†
1	25% funds	Negotiated and approved state grant application				
2	30% funds (55% total)	Approved Program Launch Approved State Implementation Blueprint	10-15%	5%		
3	25% funds (80% total)	Approved Market Transformation Plan	50-60%	35%	25%	5%
4	20% funds (100% total)	Approved independent privacy and security review Approved review of QA Plan Completed review of incentive implementation	80%	60%	70%	25%

* Targets indicate DOE’s expected performance towards expending low-income (LI) and low-income multifamily (LI MF) allocations. Applicants should strive to achieve targets.

† Minimums must be met to receive next tranche of funds.

The awardee is required to submit a continuation application to DOE 90 days prior to achieving these deliverables and/or milestones for review and approval. An awardee not meeting the targets must provide an improvement plan in its continuation application for how it will improve program performance to meet the next tranche’s targets. DOE approval is required in order to move to the next tranche and for funds to be released. As a result of this evaluation, DOE may, at its discretion, authorize the following actions:

- (1) continue to fund the project, contingent upon the availability of funds appropriated by Congress for the purpose of this program;
- (2) place a hold on federal funding for the project, pending further supporting data or funding; or
- (3) discontinue funding the project because of insufficient progress, change in strategic direction, or lack of funding.

If routine data reviews demonstrate Grantee is not meeting Plan terms, DOE reserves the right to put a hold on the funds the Grantee can draw down under the Automated Standard Application for Payments (ASAP) System.

Part III Eligibility Information

A. ELIGIBLE APPLICANTS

In accordance with the IRA Section 50121, funding is only available to States, U.S. Territories, and the District of Columbia (referred to throughout this ALRD as “states”). No other entity types may be considered for this funding.

In accordance with the IRA Section 50122(1)(A), certain funding is only available to States, U.S. Territories, and the District of Columbia. No other entity types may be considered for this funding. Note that DOE will be issuing a separate solicitation for Tribes pursuant to the IRA Section 50122(1)(B) after completing Tribal Consultations.

B. COST MATCHING

Cost match is not required for these awards.

Part IV Application and Submission Information

A. CONTENT AND FORM OF APPLICATION

The application must be submitted via the PAGE online system at <https://www.page.energy.gov/default.aspx>. It is the responsibility of the Grantee to verify successful transmission. DOE reserves the right to request additional or clarifying information for any reason deemed necessary. Applications will be reviewed for consistency with the SCEP program objectives. Please note that State Plans shall be submitted as PDF attachments to the SF-424 Application. See Part VIII for application requirements.

B. NATIONAL ENVIRONMENTAL POLICY ACT (NEPA) COMPLIANCE

DOE must comply with NEPA prior to authorizing the use of Federal funds. DOE must also consider the effects on historic properties, pursuant to Section 106 of National Historic Preservation Act (NHPA). Additionally, DOE must consider the impacts to floodplains and wetlands, pursuant to **10 CFR Part 1022– Compliance with Floodplain and Wetland Environmental Review Requirements**. To streamline these required reviews, DOE carries out each of these reviews under the umbrella of its NEPA review. States must review and follow the NEPA determination in their award documents for restrictions, and the list of activities that have been categorically excluded from further NEPA review. The activities in the NEPA determination (the DOE form once an award has been made that documents DOE’s environmental review of project activities) are the approved activities for awards under this ALRD and may be slightly different than listed below. Any proposed activities outside of the NEPA determination would require additional NEPA review with the submission of an Environmental Questionnaire-1 (EQ1) found at <https://www.eere-pmc.energy.gov/NEPA.aspx>, and approval by the DOE Contracting Officer. Applicants should contact their DOE Project Officer before submitting an EQ1.

DOE has developed a NEPA training website with PowerPoint presentations, sample template documents, (including a NEPA log, project scope of work, and a map demonstrating a project layout), and a word document of an EQ1 and an EQ1 submission guide. States are responsible for reviewing the online **NEPA and Historic Preservation training** and sample documents, prior to initiating projects and contacting their DOE Project Officer with any questions. Subgrantees are also encouraged to review the training website.

All states and territories except Guam have a DOE executed Historic Preservation Programmatic Agreement (PA) for historic preservation compliance. Guam does not have a Historic Preservation PA and must follow the added restrictions in the NEPA determination to ensure

historic preservation compliance. Each State or Territory Historic Preservation PA and amendments can be found [here](#). So long as the proposed project/undertaking is within a State or Territory that has executed a PA, the terms of the PA will apply to all DOE recipients and subrecipients within the applicable state or territory, and their activities, unless the activities are on Tribal property. Activities on Tribal properties have additional restrictions outlined in the NEPA determination.

The following proposed list of activities is applicable to states with a DOE executed Historic Preservation PA. All of the Historic Preservation PAs and amendments can be found [here](#). The proposed activities below may be slightly different than the final list of activities in the NEPA determination. The NEPA determination included with each state's award documents must be followed.

All project activities funded under the Home Energy Rebates must be listed within the NEPA determination. If a State wishes to conduct a project activity not listed within the NEPA determination, the State must submit an EQ1 and a statement of work in the Project Management Center (<https://www.eere-pmc.energy.gov/NEPA.aspx>). Contact your DOE Project Officer before submitting an EQ1.

The following list of allowable activities is applicable to states with a DOE executed Historic Preservation PA:

1. Administrative activities associated with management of the designated State Energy Office and management of programs and strategies in support of rebate activities.
2. Development and implementation of outreach strategies to encourage uptake of rebates and incentives.
3. Development and implementation of programs and strategies to encourage uptake of rebates such as policy development and stakeholder engagement.
4. Residential energy analysis and monitoring, including energy use assessments involving building monitoring equipment and smart thermostats.
5. Funding commercially available energy or energy/water efficiency or renewable energy upgrades, provided that projects adhere to the requirements of the respective state's DOE executed Historic Preservation Programmatic Agreement, and are installed in existing buildings, without ground disturbance beyond placement of a slab for heating and/or cooling units adjacent to the foundation of a building, do not require structural reinforcement, no trees are removed or trimmed, are appropriately sized, and are limited to:
 - a. Insulation applied to building structures, ducts, hot water heater tanks, and heating pipes.
 - b. Installation of air sealing materials, weather stripping and/or other weather sealing materials on building structures and/or ducts.
 - c. Installation of new or improvement to existing ventilation systems.
 - d. Installation of programmable and smart thermostats.

- e. Installation of energy efficient lighting.
 - f. Upgrading, retrofitting, tuning, repairing, and/or replacing of existing heating, ventilation, and air conditioning (HVAC) equipment.
 - g. Repairing and/or replacing water heating system equipment.
 - h. Installation of energy or water monitoring and control systems.
 - i. Retrofitting, repairing, and/or replacing of windows and doors, including installation of energy efficient storm windows and energy-saving window attachments.
 - j. Installation of new appliances or replacement of existing home appliances with more efficient appliances that are powered through either the same fuel source or electric power.
 - k. Electric load service center/electric panel upgrades.
 - l. Electric wiring upgrades to accommodate home electrification and electric load service center/electric panel upgrades.
 - m. Installation of Combined Heat and Power System—systems sized appropriately for the buildings in which they are located, not to exceed peak electrical production at 300kW).
6. Development, implementation, and installation of onsite renewable energy/energy efficiency technology from renewable resources, provided that activities adhere to the requirements of the respective state’s DOE executed Historic Preservation PA, are installed in or on an existing structure, without ground disturbance, do not require structural reinforcement, no trees are removed or trimmed, are appropriately sized, and are limited to:
- a. Solar Electricity/Photovoltaic—not to exceed 60 kW.
 - b. Installing and/or repairing solar thermal systems, including solar thermal hot water systems that are 200,000 BTU/hour or smaller in size.
7. Installing, repairing, or optimizing use of energy storage systems, including electrochemical and thermal storage systems, provided that projects adhere to the requirements of the respective state’s DOE executed Historic Preservation PA are installed in or on an existing structure, without ground disturbance, do not require structural reinforcement, no trees are removed or trimmed, and are appropriately sized not to exceed 400kWh.

The following list of allowable activities is applicable Guam, which does not have a DOE executed Historic Preservation PA:

- 1. Administrative activities associated with management of the designated State Energy Office and management of programs and strategies in support of rebate activities.

2. Development and implementation of outreach strategies to encourage uptake of rebates and incentives.
3. Development and implementation of programs and strategies to encourage uptake of rebates such as policy development and stakeholder engagement.
4. Residential energy analysis and monitoring, including energy use assessments involving building monitoring equipment and smart thermostats.
5. Funding commercially available energy or energy/water efficiency or renewable energy upgrades, provided that projects are installed in or on existing buildings less than forty-five (45) years old, without ground disturbance beyond placement of a slab for heating and/or cooling units adjacent to the foundation of a building, do not require structural reinforcement, no trees are removed or trimmed, are appropriately sized, and are limited to:
 - a. Insulation applied to building structures, ducts, hot water heater tanks, and heating pipes.
 - b. Installation of air sealing materials, weather stripping and/or other weather sealing materials on building structures and/or ducts.
 - c. Installation of programmable and smart thermostats.
 - d. Installation of new or improvement to existing ventilation systems.
 - e. Installation of energy efficient lighting.
 - f. Upgrading, retrofitting, tuning, repairing, and/or replacing of existing heating, ventilation, and air conditioning (HVAC) equipment.
 - g. Repairing and/or replacing water heating system equipment.
 - h. Installation of energy or water monitoring and control systems.
 - i. Retrofitting, repairing, and/or replacing of windows and doors, including installation of energy efficient storm windows and energy-saving window attachments.
 - j. Installation of new appliances or replacement of existing home appliances with more energy efficient appliances that are powered through either the same fuel source or electric power.
 - k. Electric load service center/electric panel upgrades.
 - l. Electric wiring upgrades to accommodate home electrification and electric load service center/electric panel upgrades.
 - m. Installation of Combined Heat and Power System—systems sized appropriately for the buildings in which they are located, not to exceed peak electrical production at 300kW).
6. Development, implementation, and installation of onsite renewable energy/energy

efficiency technology from renewable resources, provided that activities are installed in or on an existing structure less than forty-five (45) years old without ground disturbance, do not require structural reinforcement, no trees are removed or trimmed, are appropriately sized, and are limited to:

- a. Solar Electricity/Photovoltaic—not to exceed 60 kW.
 - b. Installing and/or repairing solar thermal systems, including solar thermal hot water systems that are 200,000 BTU/hour or smaller in size.
7. Installing, repairing, or optimizing use of energy storage systems, including electrochemical and thermal storage systems, provided that projects are installed in or on an existing structure less than forty-five (45) years old without ground disturbance, do not require structural reinforcement, no trees are removed or trimmed, and are appropriately sized not to exceed 400kWh.

As outlined above, Guam does not have a DOE executed Historic Preservation PA. The activities in Guam’s NEPA determination would be more restrictive than the NEPA determination for a state with a Historic Preservation PA. Guam must follow the restrictions in its NEPA determination or submit an EQ1 in the Project Management Center (<https://www.eere-pmc.energy.gov/NEPA.aspx>) for DOE review of projects that do not comply with the restrictions of its NEPA determination. Guam may contact their Project Officer for a Historic Preservation Worksheet to request a review of activities that are listed below on tribal homes/buildings forty-five (45) years and older. NEPA review and concurrence are required prior to initiating activities reviewed on a Historic Preservation Worksheet.

States are responsible for identifying and promptly notifying DOE of extraordinary circumstances, cumulative impacts, or connected actions that may lead to significant impacts on the environment, or any inconsistency with the “integral elements” (as contained in **10 CFR Part 1021, Appendix B**) as they relate to a particular Project; compliance with Section 106 of NHPA, and **10 CFR Part 1022**—Compliance with Floodplain and Wetland Environmental Review Requirements, as applicable.

For activities/projects requiring additional NEPA review, states must complete an EQ1 at <https://www.eere-pmc.energy.gov/NEPA.aspx> for review by DOE. Contact your DOE Project Officer before submitting an EQ1.

Part V Award Administration Information

A. AWARD DOCUMENTS

An Assistance Agreement issued by the Contracting Officer is the authorizing award document. The Assistance Agreement normally includes, either as an attachment or by reference: (1) Special Terms and Conditions; (2) Application package as approved by DOE (Budget Information, Planned Activities, etc.); (3) DOE assistance regulations at **2 CFR Part 200** as amended by **2 CFR Part 910**; (4) National Policy Assurances To Be Incorporated As Award Terms; (5) Intellectual Property Provisions; (6) Federal Assistance Reporting Checklist, which

identifies the Reporting Requirements; and (7) National Environmental Policy Act (NEPA) Determination. These documents are sent to the Recipient via FedConnect.

B. FUNDING RESTRICTIONS

Costs must be allowable, allocable and reasonable in accordance with the applicable Federal cost principles referenced in 2 CFR 200. The cost principles for commercial organizations are in Federal Acquisition Regulation (FAR) Part 31. (Under **2 CFR Part 200** as amended by **2 CFR Part 910** regulations, the cost principles are contained in Subpart E-Cost Principles within **2 CFR Part 200**.)

Rebates issued under these awards are not federal public benefits.

C. MONITORING AND REPORTING

States must comply with DOE and other federal regulations and procedures governing financial awards as outlined in the Uniform Administrative Requirements, Cost Principles, and Audit Requirements for Federal Awards, 2 CFR Part 200 as amended by 2 CFR Part 910. Federal regulations require DOE to monitor each grant recipient and grantees for each project, program, sub-recipient, function, or initiative supported by federal funds to ensure compliance with all federal regulations.

The goal of grant monitoring is to maximize the effectiveness of awards, to confirm compliance with applicable federal and state regulations and to ensure awards are on schedule and on budget. Monitoring also provides an opportunity for DOE to communicate with states and states with sub-recipients to provide assistance to help achieve our mutual energy goals. DOE will issue grant monitoring procedures in the near future.

Reporting requirements are identified on the Federal Assistance Reporting Checklist (FARC), attached to the award agreement.

D. ADMINISTRATIVE AND NATIONAL POLICY REQUIREMENTS

1. Administrative Requirements

- The administrative requirements for DOE grant awards are contained in:
 - **2 CFR Part 200** as amended by **2 CFR Part 910**
 - **2 CFR Part 25** - Universal Identifier and Central Contractor Registration
 - **2 CFR Part 170** - Reporting Subaward and Executive Compensation Information to comply with the Federal Funding and Transparency Act of 2006 (FFATA). Additional information regarding FFATA is found at <https://www.fsr.gov>.
- The Electronic Code of Federal Regulations is found at www.ecfr.gov.

2. National Policy Requirements

The National Policy Assurances to be incorporated as Award Terms are located at <https://www.energy.gov/management/financial-assistance-forms-and-information-applicants-and-recipients>.

Intellectual Property Provisions. The standard DOE financial assistance intellectual property provisions applicable to the various types of recipients are located at <http://energy.gov/gc/standard-intellectual-property-ip-provisions-financial-assistance-awards>.

3. Environmental Review in Accordance with National Environmental Policy Act (NEPA)

DOE's decision whether and how to distribute Federal funds is subject to the National Environmental Policy Act (42 U.S.C. 4321, et seq.). NEPA requires Federal agencies to integrate environmental values into their decision-making processes by considering the potential environmental impacts of their proposed actions. Recipients should review the NEPA determination in their award documents for the list of activities that have been categorically excluded from further NEPA review.

Additional information regarding NEPA is in Part IV.

Part VI Questions/Agency Contacts

A. QUESTIONS

Questions and comments concerning this document shall be submitted not later than 10 calendar days prior to the application due date. Questions submitted after that date may not allow sufficient time to respond. All questions regarding this announcement must be submitted either to 1) the IRA Home Rebates Programs [website](#), or 2) the Home Rebates email irahomerebates@hq.doe.gov. Submitting questions through the Home Rebates website is preferred. All questions will be responded to in a timely manner, and will be publicly posted on the IRA Home Rebates [website](#). Any responses received from sources other than what is publicly posted by DOE are not binding.

For questions regarding DOE Project Officer Assignments, please contact Mary Hubbard at the email address below.

B. AGENCY CONTACT

Name: Mary Hubbard, DOE Monitoring and Delivery Supervisor

E-Mail: mary.hubbard@hq.doe.gov

Part VII Other Information

A. INTERGOVERNMENTAL REVIEW

Program Subject to Executive Order 12372

This program is subject to [Executive Order 12372](#) (Intergovernmental Review of Federal Programs) and the regulations at [10 CFR Part 1005](#).

One of the objectives of the Executive Order is to foster an intergovernmental partnership and a strengthened federalism. The Executive Order relies on processes developed by state and local governments for coordination and review of proposed Federal financial assistance.

Applicants should contact the appropriate State Single Point of Contact (SPOC) to find out about, and to comply with, the state's process under [**Executive Order 12372**](#). The names and addresses of the SPOCs are listed on the Web site of the Office of Management and Budget at Intergovernmental Review (SPOC List) (whitehouse.gov) [**Intergovernmental Review \(SPOC List\) \(whitehouse.gov\)**](#).

B. GOVERNMENT RIGHT TO REJECT OR NEGOTIATE

DOE reserves the right, without qualification, to reject any or all applications received in response to this ALRD and to select any application, in whole or in part, as a basis for negotiation and/or award.

C. COMMITMENT OF PUBLIC FUNDS

The Contracting Officer is the only individual who can make awards or commit the Government to the expenditure of public funds. A commitment by other than the Contracting Officer, either explicit or implied, is invalid.

D. LOBBYING RESTRICTIONS

By accepting funds under this award, you agree that none of the funds obligated on the award shall be expended, directly or indirectly, to influence congressional action on any legislation or appropriation matters pending before Congress, other than to communicate to Members of Congress as described in 18 U.S.C. 1913. This restriction is in addition to those prescribed elsewhere in statute and regulation.

E. EXPENDITURE RESTRICTIONS

By accepting funds under this award, you agree that none of the funds obligated on the award shall be expended, directly or indirectly, to support or oppose union organizing.

F. MODIFICATIONS

Modifications to this Administrative and Legal Requirements Document will be processed and disseminated via email and posting on [**https://www.energy.gov/scep/home-energy-rebate-programs-guidance**](https://www.energy.gov/scep/home-energy-rebate-programs-guidance).

G. PROPRIETARY APPLICATION INFORMATION

DOE will use data and other information contained in applications strictly for evaluation purposes. Applicants should not include confidential, proprietary, or privileged information in their applications unless such information is necessary to convey an understanding of the proposed project.

Applications containing confidential, proprietary, or privileged information must be marked as described below. Failure to comply with these marking requirements may result in the disclosure of the unmarked information under the Freedom of Information Act or otherwise. The U.S. Government is not liable for the disclosure or use of unmarked information and may use or disclose such information for any purpose.

The cover sheet of the application must be marked as follows and identify the specific pages containing confidential, proprietary, or privileged information:

Notice of Restriction on Disclosure and Use of Data: Pages [list applicable pages] of this document may contain trade secrets or commercial or financial information that is privileged or confidential, and is exempt from public disclosure. Such information shall be used or disclosed only for evaluation purposes or in accordance with a financial assistance or loan agreement between the submitter and the Government. The Government may use or disclose any information that is not appropriately marked or otherwise restricted, regardless of source. [End of Notice]

The header and footer of every page that contains trade secrets or commercial or financial information that is privileged must be marked as follows: "May contain trade secrets or commercial or financial information that is privileged or confidential and exempt from public disclosure."

In addition, each line or paragraph containing trade secrets or commercial or financial information that is privileged or confidential must be enclosed in brackets.

The above markings enable DOE to follow the provisions of **10 CFR 1004.11(d)** in the event a Freedom of Information Act (FOIA) request is received for information submitted with an application. Failure to comply with these marking requirements may result in the disclosure of the unmarked information under a FOIA request or otherwise. The U.S. Government is not liable for the disclosure or use of unmarked information and may use or disclose such information for any purpose.

Please be aware that all information provided to DOE (including confidential proprietary or confidential commercial information) is subject to public release under the Freedom of Information Act (FOIA). (5 U.S.C. § 552(a) (3) (A) (2006), amended by OPEN Government Act of 2007, Pub. L. No. 110175, 121 Stat. 2524). When a FOIA request covers information submitted to DOE by an applicant, and the cognizant DOE FOIA Officer cannot make an independent determination regarding the public releasability of this information, the cognizant DOE FOIA Officer will contact the submitter and ask for comment regarding the redaction of information under one or more of the nine FOIA exemptions. However, the cognizant DOE FOIA Officer will make the final decision regarding FOIA redactions. Submitters are given a minimum of 7 days to provide redaction comments and if DOE disagrees with the submitter's comment, DOE will notify the submitter of the intended public release no less than seven (7) days prior to the public disclosure of the information in question." (**10 CFR § 1004.11**).

H. PROTECTED PERSONALLY IDENTIFIABLE INFORMATION

In responding to this ALRD, Applicants must ensure that Protected Personally Identifiable Information (PII) is not included in the application documents. PII is defined by the Office of Management and Budget (OMB) and DOE as:

Any information about an individual maintained by an agency, including but not limited to, education, financial transactions, medical history, and criminal or employment history and information that can be used to distinguish or trace an individual's identity, such as their

name, social security number, date and place of birth, mother's maiden name, biometric records, etc., including any other personal information that is linked or linkable to an individual.

This definition of PII can be further defined as: (1) Public PII and (2) Protected PII.

Public PII: PII found in public sources such as telephone books, public websites, business cards, university listing, etc. Public PII includes first and last name, address, work telephone number, email address, home telephone number, and general education credentials.

Protected PII: PII that requires enhanced protection. This information includes data that if compromised could cause harm to an individual such as identity theft.

Listed below are examples of Protected PII that Applicants must not include in their application.

- Social Security Numbers in any form
- Place of Birth associated with an individual
- Date of Birth associated with an individual
- Mother's maiden name associated with an individual
- Biometric record associated with an individual
- Fingerprint
- Iris scan
- DNA
- Medical history information associated with an individual
- Medical conditions, including history of disease
- Metric information, e.g., weight, height, blood pressure
- Criminal history associated with an individual
- Employment history and other employment information associated with an individual
- Ratings
- Disciplinary actions
- Performance elements and standards (or work expectations) are PII when they are so intertwined with performance appraisals that their disclosure would reveal an individual's performance appraisal
- Financial information associated with an individual
- Credit card numbers
- Bank account numbers
- Security clearance history or related information (not including actual clearances held)

Part VIII Submitting an Application

A. ALRD RESPONSE

States interested in applying for the state allocation of Section 50121 and/or Section 50122 funds are required to submit an application in PAGE as described in Part IV of this document. For any issues with the PAGE system at the time of submission, please contact the assigned Project Offer for further instruction.

B. APPLICATION OVERVIEW

Each application package will consist of:

- Completed SF424
- Completed SF424A
- Completed Planned Activities
- Completed narrative document (template available) addressing the application requirements found in the Program Requirements and Application Instructions document,
- Completed budget justification workbook (template available) detailing how requested funds will be spent
- Completed application checklist
- Completed pre-award information sheet
- Any additional required documents as stated in ALRD or Program Requirements

States are allowed to request up to the total funding from each formula allocation of Sections 50121 and 50122 under this ALRD.

C. STANDARD FORM 424

A completed and signed Standard Form 424 (SF424) containing current information must be submitted. Please ensure all sections have been updated to reflect any changes, including changes to the person to be contacted on matters involving the application and the authorized representative.

- Section 2 of this Form asks for states to select the type of application. All states should mark "New".
- Section 18 of this form should reflect only the new funds being requested.
- Please verify compliance with **Intergovernmental Review (SPOC List) (whitehouse.gov)**.

The list of certifications and assurances referenced in Field 21 may be found [here](#).

Once **the SF424 is completed**, add an attachment to the document with the name, title, phone number and email address for both the Principal Investigator and the Business Officer. **These must be re-validated every year.**

D. STANDARD FORM 424A

Standard Form 424A should match the Budget Justification Workbook. Each of these forms should be completed following the guidelines set out below.

- D.1. Standard Form 424A: Applications must include a budget for the federal funds requested. It should be completed as follows:
- Section A: Budget Summary Lines 1-4, Columns (a) through (g). On line 1, enter the amount of DOE funds requested. Only columns a, b, e, and g should have data. There should be no other entries listed.
 - Section B: Budget Categories. There should only be one column for the federal funding source. The total in column g, Section A, must equal the total of all columns in Section B.
- D.2. Budget Justification: The Budget Justification consists of an explanation of the object class categories listed in line 6, Section B, of Standard Form 424A. In preparing the Budget Justification, states should only address the following as requested for each budget category.
- Grantee Administrative, which is a total of:
 - Planning: Identify all activities related to the planning and preparation of the Home Energy Rebate state programs by activity title and estimated costs.
 - Administration: Identify all positions to be supported by title and the amounts of time (e.g., % of time) to be expended on development of the Home Energy Rebate state programs, the base pay rate, and the total direct personnel compensation. Personnel must be direct costs to the project and not duplicative of personnel costs included in the indirect pool that is the basis of any indirect rate applied for this project.
 - Technical Assistance: Identify all activities related to technical assistance to develop the Home Energy Rebate state programs. Provide a brief description of the TA and the estimated cost of the activity.
 - Fringe Benefits: If fringe cost rates are approved by a federal agency, identify the agency and date of latest rate agreement, and include a copy of the rate agreement with the application. If fringe cost rates are not approved by a federal agency, explain how total fringe benefit costs were calculated. Your calculations should identify all rates used along with the base they were applied to (and how the base was derived), and a total for each (along with the grand total). If there is an established computation methodology approved for state-wide use, provide a copy with the SF424 Application.
 - Subgrantee Administrative: Any sub-recipients, vendors, contractors and consultants and their estimated costs should be identified as they are expected to support planning, administration and/or technical assistance tasks. Use TBD if the entity is unknown. Provide a brief description of the work to be performed or the service to

be provided and reference the individual market title the work or service falls under. Include the basis of cost for each item listed (competitive, historical, quote, catalog, etc.).

- Grantee Rebate Funds: The total rebate budget planned to be executed by the prime grantee.
- Subgrantee Rebate Funds: Any sub-recipients, vendors, contractors and consultants and their estimated costs should be identified as they are expected to execute the rebates program on behalf of the prime grantee. Use TBD if the entity is unknown. Provide a brief description of the work to be performed or the service to be provided and reference the individual market title the work or service falls under. Include the basis of cost for each item listed (competitive, historical, quote, catalog, etc.).

Funds for Home Efficiency Rebates state program (Section 50121) must be tracked and managed separately from funds for Home Electrification and Appliance Rebates state program (Section 50122). This will apply to administrative funds as well as rebate funds when funds are released.

E. PLANNED ACTIVITIES

The Planned Activities tab in PAGE must be completed as part of the application. Applicants are required to project, to the best of their ability, key metrics they plan to achieve as part of their Tranche 1 funding. As the award progresses, this section will be updated to reflect additional planned targets the grantee expects to achieve for each Tranche.

F. NARRATIVE DOCUMENT

A completed narrative document is required. A template is available with guidance on how to complete the document in order to meet all application requirements as outlined in the Requirements Document. Guidance will also be provided as to how to complete the template for Quick Start applications.

G. BUDGET JUSTIFICATION WORKBOOK

A completed budget justification workbook is required. A template is available with instructions for how to complete the document. These budgets should match the Standard Form 424A and Standard Form 424.

Applicants must complete each tab of the Budget Justification Workbook for the project, including all work to be performed by the prime recipient and its subrecipients and contractors. Applicants should include costs associated with implementing the program requirements and with required annual audits and incurred cost proposals in their proposed budget documents. Such costs may be reimbursed as a direct or indirect cost. All costs associated with the Community Benefits Plan must be clearly identified in the budget justification. The "Instructions and Summary" included with the Budget Justification Workbook will auto-populate as the applicant enters information into the Workbook. Applicants must carefully read the "Instructions and Summary" tab provided within the Budget Justification Workbook.

Applicants must also provide a separate budget justification workbook for each subgrantee that is expected to perform work estimated to be more than \$250,000 or 25% of the total work effort, whichever is less. The budget justification must include the same justification information described above including costs associated with the Community Benefits Plan. The Community Benefit Plan costs must be clearly identified in the budget justification.

H. OTHER FORMS AS APPLICABLE

Please refer to the Requirements document for any additional forms including Application Checklist, Pre-Award Information Sheet, etc. that may be required as part of the application package.

Part X Reference Material

Home Energy Rebates Application Instructions and Program Requirements

- Data and Tools Requirements

- Categorical Eligibility Guide

Home Energy Rebates Funding Allocations

Home Energy Rebates Technical Information, Best Practices, and Implementation Recommendations

- Best Practices Website

- Utility Data Access Guidelines