

**SUBMITTAL TO THE BOARD OF SUPERVISORS
COUNTY OF RIVERSIDE, STATE OF CALIFORNIA**



ITEM: 3.14
(ID # 24601)

MEETING DATE:
Tuesday, April 09, 2024

FROM : HOUSING AND WORKFORCE SOLUTIONS:

SUBJECT: HOUSING AND WORKFORCE SOLUTIONS (HWS): Adoption of Resolution No. 2024-084, Approving Funding Allocation and Support for Application for Low-Income Housing Tax Credits to the California Debt Limit Allocation Committee and Support for Application for Award of Private Activity Bonds to the California Tax Credit Allocation Committee for the Sandstone Valley Apartments Housing Project Located in the City of Murrieta, and Reapproval of Up to \$3,000,000 from Permanent Local Housing Allocation (PLHA) Funds to Sandstone Valley Apartments LP, for the Sandstone Valley Apartments Housing Project, District 3. [\$3,000,000 - 100% Permanent Local Housing Allocation (PLHA) funds]

RECOMMENDED MOTION: That the Board of Supervisors:

1. Adopt Resolution No. 2024-084, Approving Funding Allocation and Support for Application for Low-Income Housing Tax Credits to the California Tax Credit Allocation Committee and Support for Application for Award of Private Activity Bonds to the California Debt Limit Allocation Committee for the Sandstone Valley Apartments Project located in the City of Murrieta; and
2. Reapprove up to \$3,000,000 from Permanent Local Housing Allocation (PLHA) funds to Sandstone Valley Apartments LP, a California limited partnership, for the Sandstone Valley Apartments Housing Project, subject to the conditions set forth in Resolution No. 2024-084.

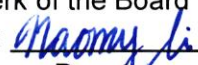
ACTION:Policy


Heidi Marshall, Director 3/27/2024

MINUTES OF THE BOARD OF SUPERVISORS

On motion of Supervisor Gutierrez, seconded by Supervisor Perez and duly carried by unanimous vote, IT WAS ORDERED that the above matter is approved as recommended.

Ayes: Jeffries, Spiegel, Washington, Perez and Gutierrez
Nays: None
Absent: None
Date: April 9, 2024
xc: HWS

Kimberly A. Rector
Clerk of the Board
By: 
Deputy

**SUBMITTAL TO THE BOARD OF SUPERVISORS COUNTY OF RIVERSIDE,
STATE OF CALIFORNIA**

FINANCIAL DATA	Current Fiscal Year:	Next Fiscal Year:	Total Cost:	Ongoing Cost
COST	\$ 0	\$3,000,000	\$3,000,000	\$ 0
NET COUNTY COST	\$ 0	\$ 0	\$ 0	\$ 0
SOURCE OF FUNDS: Permanent Local Housing Allocation (PLHA) Funds 100%			Budget Adjustment:	No
			For Fiscal Year:	24/25

C.E.O. RECOMMENDATION: Approve

BACKGROUND:

Summary

The Building Homes and Jobs Act, included as part of Senate Bill (SB) 2 (Chapter 364, Statutes of 2017), established the Permanent Local Housing Allocation (PLHA) Program which was designed to provide a permanent source of funding to local governments in California to help cities and counties implement plans to increase the affordable housing stock.

CRP Affordable Housing and Community Development LLC, a Delaware limited liability company registered to do business in the State of California (Developer), has applied to the County of Riverside (County) for Permanent Local Housing Allocation (PLHA) funding in the amount of \$3,000,000 to pay a portion of the costs to develop and construct the Sandstone Valley Apartments, an affordable multifamily low-income housing project (Proposed Project). The Proposed Project will be owned and operated by Sandstone Valley Apartments LP, a California limited partnership (Borrower), created by and between Community Revitalization and Development Corporation, a California nonprofit public benefit corporation as Managing General Partner, and Sandstone Valley Apartments AGP LLC, a California limited liability company as Administrative General Partner, for the specific purpose of selling tax credits and developing, constructing, and owning the Proposed Project. The Proposed Project will be developed on a total of 3.60 acres located at Hawthorn Street and Jefferson Avenue, in the City of Murrieta, County of Riverside, State of California, identified as Assessor's Parcel Numbers 909-020-020, 909-020-021 and 909-020-052 (Property). The Proposed Project will consist of 95 affordable units, and 1 manager unit, comprised of four three-story buildings including 18 one-bedroom units, 48 two-bedroom units, and 30 three-bedroom units. Under the County's PLHA program, 36 units will be restricted to households whose incomes do not exceed 80% of the area median income, and 10 units will be restricted to households whose incomes do not exceed 50% of the area median income, for the County of Riverside.

On January 24, 2023 (Minute Order 3.32), the Board of Supervisors approved Resolution No. 2023-038, approving a funding allocation of up to \$3,000,000 from PLHA funds and supporting an application for Low-Income Housing Tax Credits to the California Tax Credit Allocation Committee for the Sandstone Valley Apartments Project. The Resolution expired on January 31, 2024. Developer formally requested an extension through January 31, 2025. The Developer will be applying for financing through the California Tax Credit Allocation Committee in April 2024.

**SUBMITTAL TO THE BOARD OF SUPERVISORS COUNTY OF RIVERSIDE,
STATE OF CALIFORNIA**

In order to complete the California Tax Credit Allocation Committee (TCAC) application for an allocation of tax credits in April 2024, Developer must provide a resolution from the local jurisdiction providing support for the Proposed Project. The Proposed Project has a competitive tiebreaker score for low-income housing tax credits bolstered by the financial support from the County's PLHA commitment.

The attached proposed Resolution No. 2024-084, provides Board support for the Proposed Project and recommends an allocation of up to \$3,000,000 in PLHA funds to be used as a loan to Developer to pay a portion of the development and construction costs for the Proposed Project. Staff recommends that the allocation of the PLHA funds be valid until December 31, 2025.

The attached proposed Resolution 2024-084 allocates up to \$3,000,000 in PLHA funds to the Proposed Project, subject to Developer's satisfaction of the conditions specifically set forth in Resolution 2024-084, which include, but are not limited to, the following:

1. Securing any and all land use entitlements, permits, and approvals which may be required for development and construction of the Proposed Project, including, but not limited to, compliance with the California Environmental Quality Act (CEQA);
2. Obtaining sufficient equity capital or firm and binding commitments for construction and permanent financing necessary to undertake the development and completion of the Proposed Project; and
3. Successful negotiation of a Loan Agreement requiring compliance with the PLHA Program approved by the Board of Supervisors and approved as to form by County Counsel.

Staff recommends that the Board adopt Resolution No. 2024-084. County Counsel has reviewed and approved the attached Resolution No. 2024-084 as to form.

Impact on Residents and Businesses

Approving this item will have a positive impact on the citizens and businesses in the County of Riverside. The Proposed Project is expected to generate construction, permanent maintenance and property management jobs, and provide affordable housing for residents of the County of Riverside.

SUPPLEMENTAL:

Additional Fiscal Information

No impact upon the County's General Fund; the County's contribution will be fully funded with PLHA funds.

Attachment:

- Resolution No. 2024-084

SUBMITTAL TO THE BOARD OF SUPERVISORS COUNTY OF RIVERSIDE,
STATE OF CALIFORNIA


Brianna Lontajo, Principal Management Analyst 4/3/2024


Aaron Gettis, Chief of Deputy County Counsel 3/28/2024

BOARD OF SUPERVISORS

COUNTY OF RIVERSIDE

RESOLUTION 2024-084

APPROVING FUNDING ALLOCATION AND SUPPORT FOR APPLICATION FOR LOW-INCOME HOUSING TAX CREDITS TO THE CALIFORNIA DEBT LIMIT ALLOCATION COMMITTEE AND SUPPORT FOR APPLICATION FOR AWARD OF PRIVATE ACTIVITY BONDS TO THE CALIFORNIA TAX CREDIT ALLOCATION COMMITTEE FOR THE SANDSTONE VALLEY APARTMENTS HOUSING PROJECT LOCATED IN THE CITY OF MURRIETA; AND REAPPROVAL OF UP TO \$3,000,000 FROM PERMANENT LOCAL HOUSING ALLOCATION (PLHA) FUNDS TO SANDSTONE VALLEY APARTMENTS LP

WHEREAS, the COUNTY OF RIVERSIDE, a political subdivision of the State of California (“County”), is the recipient of funds derived from the Permanent Local Housing Allocation (“PLHA”) Program which was enacted under the Building Homes and Jobs Act, included as part of California Senate Bill (“SB”) 2 (Chapter 364, Statutes of 2017);

WHEREAS, the PLHA Program was designed to provide a permanent source of funding to local governments in California to help cities and counties implement plans to increase the affordable housing stock;

WHEREAS, the State of California (the “State”) Department of Housing and Community Development (“HCD”) issued a Notice of Funding Availability (“NOFA”), dated February 26, 2020, to provide approximately \$195,000,000 under the PLHA Program through its Entitlement and Non-entitlement Local Government Formula Component from the Fund for assistance to local governments pursuant to California Health and Safety Code (“HSC”) Section 50470 et seq. and SB 2 (Chapter 364, Statutes of 2017) (the “PLHA Statutes”);

WHEREAS, to implement the PLHA Program, HCD adopted and issued the HCD 2019 PLHA Final Guidelines (“Guidelines” or “PLHA Guidelines”);

WHEREAS, the County is an eligible local government for the program to administer one or more eligible activities, including on behalf of other local governments that have delegated County to submit an application and administer their PLHA formula allocations; and

WHEREAS, HSC Section 50470 authorizes the HCD to allocate moneys collected and deposited in the Fund for the PLHA Program, with 90 percent of PLHA funds to local governments, and to adopt Guidelines to implement the PLHA Program;

*RESOLUTION NUMBER 2024-084
Sandstone Valley Apartments*

FORM APPROVED COUNTY COUNSEL
BY: AMR DATE: 3/27/2024
BY: AMR PHILLON

1 **WHEREAS**, pursuant to the PLHA Program, the County and HCD entered into that
2 certain Standard Agreement dated June 17th, 2021, including Exhibits A through E (collectively,
3 the “PLHA Standard Agreement for County’s Allocation”), which allocates PLHA funding to
4 the County for use in the County in the estimated funding amount of \$23,977,026 for Allocation
5 Years 2019-2023;

6 **WHEREAS**, the PLHA Statutes, Guidelines, NOFA, PLHA Standard Agreement for
7 County’s Allocation and all applicable rules and regulations imposed by HCD on PLHA funding
8 recipients, shall collectively be referred to herein as the “PLHA Program”;

9 **WHEREAS**, CRP Affordable Housing and Community Development LLC, a Delaware
10 limited liability company registered to do business in the State of California (“Developer”), or its
11 affiliate, proposes to develop and construct a multi-family affordable rental housing project,
12 Sandstone Valley Apartments, for low-income family households consisting of 95 affordable
13 rental units, and one manager unit (“Project”) on approximately 3.60 acres of vacant land located
14 on Hawthorn Street and Jefferson Avenue, in the City of Murrieta, County of Riverside, State of
15 California, identified as Assessor’s Parcel Numbers 909-020-020, 909-020-021 and 909-020-052
16 (“Property”);

17 **WHEREAS**, a total of 36 units will be restricted under PLHA to households whose
18 incomes do not exceed 80% of the area median income, and 10 units will be restricted under
19 PLHA to households whose incomes do not exceed 50% of the area median income, for the
20 County of Riverside;

21 **WHEREAS**, Developer submitted an application to County requesting financial
22 assistance in the amount of \$3,000,000 in PLHA funds (“County Allocation”). The County
23 Allocation is needed to fill an existing Project financing gap in the amount of \$3,000,000;

24 **WHEREAS**, the California Debt Limit Allocation Committee (“CDLAC”) was created
25 to set and allocate California’s annual debt ceiling, and administer the State’s tax-exempt bond
26 program to issue the debt;

27 **WHEREAS**, the California Tax Credit Allocation Committee (“TCAC”) facilitates the
28 investment of private capital into the development of affordable rental housing for low-income

1 households through the allocation of federal and state tax credits to affordable housing
2 developers;

3 **WHEREAS**, TCAC allocates low-income housing tax credits to eligible affordable
4 housing projects that receive an award of bond authority from CDLAC to raise project equity
5 through the sale of tax benefits to investors;

6 **WHEREAS**, Sandstone Valley Apartments LP, a California limited partnership created
7 by and between Community Revitalization and Development Corporation, a California nonprofit
8 public benefit corporation as Managing General Partner, and Sandstone Valley Apartments AGP
9 LLC, a California limited liability company as Administrative General Partner, for the specific
10 purpose of selling tax credits and developing, constructing, and owning the Project, intends to
11 submit an application to CDLAC for bond authority and the right to apply for non-competitive
12 low-income housing tax credits, the sales proceeds of which will be used to finance the
13 development and construction of the Project;

14 **WHEREAS**, the application deadline to be considered for bond authority through
15 CDLAC for right to apply for allocation of tax credits through TCAC is April 23, 2024; and

16 **WHEREAS**, corporations provide equity to build the projects in return for the tax credits
17 in which TCAC verifies that the developers have met all the requirements of the program and
18 ensures the continued affordability and habitability of the developments for the succeeding 55
19 years;

20 **WHEREAS**, to complete the application process, Developer must provide a resolution
21 from the local jurisdictions, including the County, supporting the Project;

22 **WHEREAS**, the County desires to approve an allocation of funding in the approximate
23 amount of \$3,000,000 PLHA funds, to be used to pay a portion of the costs to develop and
24 construct the Project on the Property, subject to Developer's satisfaction of certain conditions
25 precedent for the benefit of the County; and

26 **WHEREAS**, the County desires to support the Developer's application to TCAC for an
27 allocation of low-income housing tax credits.

28 **NOW THEREFORE, BE IT RESOLVED, FOUND, DETERMINED AND**

1 **ORDERED** by the Board of Supervisors of the County of Riverside (“Board”), in regular
2 session assembled on April 9, 2024 at 9:30 a.m., in the meeting room of the Board of
3 Supervisors located on the 1st floor of the County Administrative Center, 4080 Lemon Street,
4 Riverside, California, as follows:

- 5 1) That the Board hereby finds and declares that the above recitals are true and correct and
6 incorporated as though set forth herein.
- 7 2) The Board supports Sandstone Valley Apartments LP’s application to TCAC for an
8 allocation of low-income housing tax credits, the sale proceeds of which will be used to
9 finance the development and construction of a multi-family affordable rental housing
10 project, Sandstone Valley Apartments, consisting of 96 total units, on real property
11 located on approximately 3.60 acres of vacant land located on Hawthorn Street and
12 Jefferson Avenue, in the City of Murrieta, County of Riverside, State of California,
13 identified as Assessor’s Parcel Numbers 909-020-020, 909-020-021 and 909-020-052.
- 14 3) Subject to any restrictions on the use PLHA funds, the Board agrees to provide financial
15 assistance to the Developer in the maximum amount of \$3,000,000 of PLHA funds, for
16 construction of eligible activities on the Project, subject to the satisfaction of the
17 following conditions precedent:
 - 18 a. Borrower shall be Sandstone Valley Apartments LP, a California limited
19 partnership created by and between Community Revitalization and Development
20 Corporation, a California nonprofit public benefit corporation as Managing
21 General Partner, and Sandstone Valley Apartments AGP LLC, a California
22 limited liability company as Administrative General Partner, for the specific
23 purpose of selling tax credits and developing, constructing, and owning the
24 Project;
 - 25 b. Project Name shall be Sandstone Valley Apartments.
 - 26 c. PLHA Loan Amount shall not to exceed Three Million Dollars (\$3,000,000);
27 Interest shall be three percent (3%) simple interest;
 - 28 d. Affordability Period shall be 55 years from recordation of the Notice of

1 Completion in the official records of the County of Riverside, subject to an
2 affordability covenant agreement recorded in a senior lien position, senior to all
3 deeds of trust;

4 e. PLHA Loan Term shall be 55 years;

5 f. Repayment shall be from loan payments derived from the Project's residual
6 receipts;

7 g. Entitlements and Governmental Approvals: Developer shall secure any and all
8 required land use entitlements, permits and approvals which may be required for
9 construction of the Project, including, but not limited to compliance with the
10 California Environmental Quality Act;

11 h. Other Financing: The PLHA loan is expressly conditioned upon the Developer's
12 ability to secure sufficient equity capital or firm and binding commitments for
13 financing necessary to undertake the development and construction of the Project.
14 All financing contemplated or projected with respect to the Project shall be, or
15 have been, approved in form and substance by the Board. Other financing sources
16 for the Proposed Project are anticipated to include \$34,370,617 in Citibank tax
17 exempt bonds, \$9,255,745 in Citibank taxable bonds, \$4,075,594 in State tax
18 credit equity, \$7,104,020 in tax credit equity, and \$8,251,367 in deferred costs.
19 The total cost of development, during the permanent financing period, is
20 approximately \$66,057,343;

21 i. Monitoring Fee: Payment of annual compliance monitoring fee to the County in
22 the amount of \$9,600. Monitoring fee shall increase annually by an amount equal
23 to the increase of the Consumer Price Index for the San Bernardino-Riverside-
24 Ontario, CA area ("CPI"), but in no event to exceed 5% annually. In the event of
25 a decrease in CPI, the Monitoring Fee currently in effect shall remain the same
26 and shall not decrease; and

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j. Successful negotiation of loan agreements evidencing the loan of the PLHA funds in the amounts approved herein, approved as to form by County Counsel, approved by the Board and executed by all required parties.

4) The Board’s commitment to provide the PLHA loan is subject to the satisfaction of the conditions precedent set forth herein, is valid until January 31, 2025, and shall thereafter have no force or effect, unless a PLHA loan agreement related to the financing of the Project (approved as to form by County Counsel) has been approved and executed by the Board and the Developer.

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ROLL CALL:

Ayes: Jeffries, Washington, Spiegel, Perez, and Gutierrez
Nays: None
Absent: None

The foregoing is certified to be a true copy of a resolution duly adopted by said Board of Supervisors on the date therein set forth.

KIMBERLY A. RECTOR, Clerk of said Board

By: Naomy Li
Deputy

ADMINISTRATIVE AND LEGAL REQUIREMENTS DOCUMENT (ALRD)



U.S. Department of Energy
Office of the Under Secretary for Infrastructure
Golden Field Office

**Energy Efficiency and Conservation Block Grant (EECBG) Program
Infrastructure Investment and Jobs Act (IIJA) of 2021
Energy Efficiency and Conservation Block Grant (EECBG) Program Formula Awards
(EECBG Program Formula) - IIJA ALRD
CFDA Number: 81.128, Energy Efficiency and Conservation Block Grant Program**

PURPOSE

The purpose of this Administrative and Legal Requirements Document (ALRD) is to provide guidance to States, Local Governments, and Indian Tribes for preparation of EECBG Program Formula Grant applications submitted in response to Section 40552 of the Infrastructure Investment and Jobs Act (IIJA), also known as the Bipartisan Infrastructure Law (BIL).

Issue Date: January 18, 2023

Application Due Dates:

- All Applicants: *Pre-Award Information Sheet or registration on the voucher portal due ASAP.*
- For State and Territory Applicants Only: *Application due by **July 31, 2023**, at 8:00 PM ET*
- Local Government Applicants Only: *Application due by **April 30, 2024**, at 8:00 PM ET*
- Tribal Government Applicants Only: *Application due by **May 31, 2025**, at 8:00 PM ET*

DOE will accept applications using five application periods. Applications meeting DOE priority criteria (see application instructions section 6.2 for more information) may apply in application Periods 1 and 2. All other applicants may apply in Periods 3, 4, and 5:

Application Period	Application Submittal Timeframe	Applications Accepted
1	January 18, 2023 – April 28, 2023	State, Local Government and Tribal applications in one or more priority categories
2	June 1, 2023 – July 31, 2023	
3	Sept 1, 2023 – Oct 31, 2023	All other Local Government and Tribal applications
4	December 1, 2023 – Jan 31, 2024	
5	March 1, 2024 – April 30, 2024	All other Tribal applications
6	May 1, 2024 – May 31, 2025	

Note: Due to the volume of applications, DOE may not review your application immediately upon submittal. Once a complete application is received and reviewed by DOE, it typically takes up to 60 days to process an EECBG Program formula grant. Applications are not necessarily considered

complete upon submission. For additional information on application requirements, see Section 6.0 of the application instructions.

REGISTRATION/SUBMISSION REQUIREMENTS

Registration Requirements (GRANT APPLICANTS ONLY): Allow at least 21 days to complete.

If you have not already registered, there are several one-time actions grant applicants must complete:

1. Register with the System for Award Management (SAM) at <https://www.sam.gov>. Designating an Electronic Business Point of Contact (EBiz POC) and obtaining a special password called an MPIN are important steps in SAM registration. **Please update your SAM registration annually.** Upon registration, SAM will automatically assign a Unique Entity ID (UEI).

Unique Entity ID and System for Award Management (SAM) — Each applicant (unless the applicant is excepted from those requirements under 2 CFR 25.110) is required to: (1) be registered in the SAM at <https://www.sam.gov> before submitting its application, (2) provide a valid UEI number in its application; and (3) continue to maintain an active SAM registration with current information at all times during which it has an active federal award or an application or plan under consideration by a federal awarding agency. DOE may not make a federal award to an applicant until the applicant has complied with all applicable UEI and SAM requirements. If an applicant has not fully complied with the requirements by the time DOE is ready to make a federal award, the DOE will determine that the applicant is not qualified to receive a federal award and use that determination as a basis for making a federal award to another applicant.

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 on 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](#).

2. 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. For additional questions, email support@fedconnect.net or call 1-800-899-6665.
3. Have a login for the Performance and Accountability for Grants in Energy (PAGE) System at <https://www.page.energy.gov/default.aspx> in order to submit your application. For questions regarding PAGE, refer to the Help Menu in PAGE or contact the PAGE hotline at PAGE-Hotline@ee.doe.gov or 1-866-492-4546.

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.

All modifications to the ALRD are [HIGHLIGHTED] in the body of the ALRD.

Mod. No.	Date	Description of Modification
1	5/1/2023	Deadline to submit Pre-Award Information Sheet extended to July 31, 2023. Original deadline was April 28, 2023.
2	10/31/2023	<p>Deadline for local government and Tribal EECBG Program applications extended to April 30, 2024. Original deadline was January 31, 2024.</p> <p>Section V.D.4. updated to include July 28, 2023, DOE Build America, Buy America General Applicability Public Interest Waiver.</p> <p>Links to new EECBG Program resources that were not available at the original time of drafting were added, including the EECBG Program Formula Application Hub and voucher guidance materials.</p> <p>National Environmental Policy Act (NEPA) Statements of Work were added to the list of Reference Material in Part VII.</p> <p>The IJA EECBG Program Application Instructions referenced in Part VII were updated in accordance with the October 31, 2023, ALRD modifications and to reflect recent developments in the EECBG Program.</p>
3	2/27/2024	<p>Deadline for Tribal EECBG Program applications extended to May 31, 2025. Previous deadline was April 30, 2024.</p> <p>In the previous IJA EECBG Program Attachment 1C: DOE Formula Grant Funding Allocations to Indian Tribes for the Energy Efficiency and Conservation Block Grant (EECBG) Program Document, Oneida Nation's state abbreviation was listed incorrectly listed as NY. It has been corrected to WI.</p> <p>The IJA EECBG Program Application Instructions referenced in Part VII were updated in accordance with the February 27, 2024, ALRD modifications.</p>

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PART I AUTHORITY

The EECBG Program is authorized by Title V, Subtitle E of the Energy Independence and Security Act of 2007 (EISA), as amended,¹ and signed into Public Law (PL 110-140) on December 19, 2007. All awards made under this program shall comply with applicable laws and regulations including, but not limited to, [2 CFR Part 200](#) as amended by [2 CFR Part 910](#) and Section 40552 of the [Infrastructure Investment and Jobs Act](#) (IIJA) (PL 117-58).

PART II AWARD INFORMATION

A. TYPE OF AWARD INSTRUMENT

DOE will award grants or vouchers.

Entities eligible for formula EECBG Program allocations, including state, local, and Tribal governments can apply to DOE for an EECBG Program award. States are eligible to apply for a grant. Local and Tribal governments can apply for either a grant or a voucher. Vouchers may be used for technical assistance and/or equipment rebates. Local governments and Tribal entities must **choose either a grant or voucher and must allocate 100% of their EECBG Program funding to either a voucher or a grant**. States are not eligible to apply for a voucher. Local and Tribal governments are encouraged to indicate whether they are choosing a grant or a voucher as soon as possible by submitting the Pre-Award Information Sheet. See “EECBG Program Application Instructions” for additional details.

B. ESTIMATED FUNDING

Entities shall administer DOE funds received under the EECBG Program in accordance with Federal rules and regulations as well as applicable state, local or Tribal policies and procedures. The Grantee is to manage Federal Funds in a prudent, effective, and efficient manner to accomplish program objectives.

The Infrastructure Investment and Jobs Act, Section 40552 provides \$550 million for EECBG Program for fiscal year 2022, to remain available until expended. DOE will distribute \$440 million in formula and competitive EECBG Program funding to eligible units of local government, states, and Indian Tribes. Of the amount appropriated by IIJA, DOE will allocate funds as prescribed in section 543 of EISA:

- 34% to eligible units of local government-alternative 1 through formula grants;
- 34% to eligible units of local government-alternative 2 through formula grants;
- 28% to states through formula grants;
- 2% to Indian Tribes through formula grants; and
- 2% for competitive grants to ineligible local governments and Indian Tribes.²

IIJA allocations for EECBG Program direct formula awards from the DOE, as adjusted, are based on the following funding amounts:

- \$299,200,000 for formula awards to eligible units of local government
 - \$149,600,000 to eligible units of local government-alternative 1
 - \$149,600,000 to eligible units of local government-alternative 2
- \$123,200,000 for formula awards to states

¹ 42 U.S.C. 17151 et seq.

² 42 U.S.C. 17153(a).

- Each state (except for those noted as exempt in Section 6.3.E of the application instructions) is required to pass not less than 60% of its allocation through to cities and counties within the state that are ineligible for direct formula grants from DOE.
- \$8,800,000 for formula awards to eligible Indian Tribes

DOE also intends to allocate \$8.8 million for competitive grants available to units of local government (including Indian Tribes) and consortia of units of local government that are not eligible to receive direct formula grants from DOE. Availability of competitive grants will be announced through a separate future Funding Opportunity Announcement (FOA).

Prior to distributing funding to eligible entities, DOE intends to utilize \$110 million to ensure delivery of an effective and efficient EECBG Program and to provide technical assistance to eligible entities throughout the lifetime of the EECBG Program.

Funding Amount: Funding allocations to states, local governments, and Indian Tribes are included as attachments to this document.

C. PERIOD OF PERFORMANCE

Grants will consist of a **3-year** Project and Budget Period for States, and a **2-year** Project and Budget Period for Local Governments and Indian Tribes. Vouchers to Local Governments and Indian Tribes will be for a **2-year** Project and Budget Period. Recipients may request a no-cost time extension (or a modification to shorten the period of performance) of their grant or voucher.

PART III ELIGIBILITY INFORMATION

A. ELIGIBLE APPLICANTS

In accordance with Section 543 of EISA, eligible entities for EECBG Program formula allocations include States (including U.S. Territories, and the District of Columbia, hereinafter referred to as “states”), local governments, and Indian Tribes.³ Eligibility for this award is restricted to eligible states, local governments and Indian Tribes applying for formula grant financial assistance under the EECBG Program. No other entity types may be considered for this funding.

B. COST MATCHING

Cost match is not required for these awards.

PART IV APPLICATION AND SUBMISSION INFORMATION

A. CONTENT AND FORM OF APPLICATION: GRANTS

The application must be submitted via the PAGE online system at <https://www.page.energy.gov/default.aspx>. DOE reserves the right to request additional or clarifying information for any reason deemed necessary. Applications will be reviewed for consistency with the EECBG Program objectives.

³ 42 U.S.C. 17153(a).

The EECBG Program Grant Application consists of:

- Standard Form 424 (Application form)
- Standard Form 424A (Budget summary)
- Budget Justification
- Energy Efficiency and Conservation Strategy
- EECBG Program Activity File
- Required certifications
- Electronic copy (or web link) to the applicant's latest single or program-specific audit as required by 2 CFR 200 Subpart F
- NEPA Statement of Work (SOW)
- An environmental questionnaire (EQ-1) (if applicable)
- Pre-Award Information Sheet

Please see Section 6.3 in the Application Instructions for more detail.

Note: applicants choosing a Voucher should not submit a grant application. Additional Guidance on the Voucher application process is available on the following website, <https://www.energy.gov/scep/eeccb-program-formula-grant-application-hub>.

PART V AWARD ADMINISTRATION INFORMATION

A. AWARD NOTICES

An Assistance Agreement issued by the Contracting Officer is the authorizing award document for traditional grants (as opposed to vouchers). The Assistance Agreement normally includes, either as an attachment or by reference: (1) Special Terms and Conditions; (2) Application as approved by DOE; (3) DOE Financial 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) Budget Summary; (6) Intellectual Property Provisions; (7) Federal Assistance Reporting Checklist, which identifies the Reporting Requirements; and (8) National Environmental Policy Act (NEPA) Determination. These documents are sent to the Recipient via [FedConnect](#).

B. FUNDING RESTRICTIONS

All expenditures must be allowable, allocable, and reasonable in accordance with the applicable Federal cost principles. Refer to the following Federal cost principles for more information: [2 CFR Part 200](#) as amended by [2 CFR Part 910](#).

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](#).

C. REPORTING

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

Awards initiated since 10/1/2010 are subject to the requirement of Reporting Subawards and Executive Compensation to comply with the Federal Funding and Transparency Act of 2006 (FFATA). Additional

information about this requirement can be found in the Special Terms and Conditions of the recipient's award, at <https://www.fsrs.gov>, and in [2 CFR Part 170](#).

Additional information regarding reporting is available from the EECBG Program website, at: <https://www.energy.gov/scep/eecbg-program-formula-grant-application-hub>.

D. ADMINISTRATIVE AND NATIONAL POLICY REQUIREMENTS

1. Administrative Requirements

- The administrative requirements for DOE grants and cooperative agreements are contained in:
 - [2 CFR Part 200](#) as amended by [2 CFR Part 910](#) and [10 CFR Part 420](#)
 - [2 CFR Part 25](#) – Universal Identifier and Central Contractor Registration
 - [2 CFR Part 170](#) – Reporting Subaward and Executive Compensation

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 <http://www.nsf.gov/awards/managing/rtc.jsp>.

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)

The Office of the Under Secretary for Infrastructure'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.

For further information on NEPA requirements, see section 6.3.G in the Application Instructions.

4. Build America, Buy America Requirements

Federally assisted projects which involve infrastructure work, undertaken by applicable recipient types, require that:

- All iron, steel, and manufactured products used in the infrastructure work are produced in the United States; and
- All construction materials used in the infrastructure work are manufactured in the United States.

Whether a given project must apply this requirement is project-specific and dependent on several factors, such as the recipient's entity type, whether the work involves "infrastructure," as that term is defined in Section 70914 of the BIL, and whether the infrastructure in question is publicly owned or serves a public function. Additionally, recipients with EECBG Program allocations less than \$250,000 are exempt from Build America, Buy America requirements under a July 28, 2023, DOE General Applicability Public Interest Waiver.⁴

⁴ See: https://www.energy.gov/sites/default/files/2023-07/DOE-Final-%20Public%20Interest-%20Sm%20Grant%20De%20Minimis%20Minor%20Component%20-%20Final%20for%20posting%207.26.23_0.pdf

Applicants are strongly encouraged to consult the Build America, Buy America Guidance and Resources⁵ to determine whether their project may have to apply this requirement, both to make an early determination as to the need of a waiver, as well as to determine what impact, if any, this requirement may have on the proposed project's budget.

5. Definitions

a. For purposes of the Buy America requirements, the following definitions apply:

- **Construction materials** includes an article, material, or supply—other than an item of primarily iron or steel; a manufactured product; cement and cementitious materials; aggregates such as stone, sand, or gravel; or aggregate binding agents or additives—that is or consists primarily of:
 - non-ferrous metals;
 - plastic and polymer-based products (including polyvinylchloride, composite building materials, and polymers used in fiber optic cables);
 - glass (including optic glass);
 - lumber; or
 - drywall.

- **Infrastructure** includes, at a minimum, the structures, facilities, and equipment for, in the United States, roads, highways, and bridges; public transportation; dams, ports, harbors, and other maritime facilities; intercity passenger and freight railroads; freight and intermodal facilities; airports; water systems, including drinking water and wastewater systems; electrical transmission facilities and systems; utilities; broadband infrastructure; and buildings and real property. Infrastructure includes facilities that generate, transport, and distribute energy.

In addition to the above, the infrastructure in question must be publicly owned or must serve a public function; privately owned infrastructure that is solely utilized for private use is not considered “infrastructure” for purposes of Buy America applicability. The Agency, not the applicant, will have the final say as to whether a given project includes infrastructure, as defined herein. Accordingly, in cases where the “public” nature of the infrastructure is unclear, DOE strongly recommends that applicants complete their full application with the assumption that Buy America requirements will apply to the proposed project.

- **Project** means the construction, alteration, maintenance, or repair of infrastructure in the United States.

b. *Buy America Requirements for Infrastructure Projects (“Buy America” Requirements)*

In accordance with Section 70914 of the BIL, none of the project funds (includes federal share and recipient cost share) may be used for a project for infrastructure unless:

⁵ See: <https://www.madeinamerica.gov> and <https://www.whitehouse.gov/omb/management/made-in-america/build-america-buy-america-act-federal-financial-assistance/>

(1) all iron and steel used in the project are produced in the United States—this means all manufacturing processes, from the initial melting stage through the application of coatings, occurred in the United States;

(2) all manufactured products used in the project are produced in the United States—this means the manufactured product was manufactured in the United States; and the cost of the components of the manufactured product that are mined, produced, or manufactured in the United States is greater than 55 percent of the total cost of all components of the manufactured product, unless another standard for determining the minimum amount of domestic content of the manufactured product has been established under applicable law or regulation; and

(3) all construction materials⁶ are manufactured in the United States—this means that all manufacturing processes for the construction material occurred in the United States. The Buy America requirements only applies to articles, materials, and supplies that are consumed in, incorporated into, or affixed to an infrastructure project. As such, it does not apply to tools, equipment, and supplies, such as temporary scaffolding, brought to the construction site and removed at or before the completion of the infrastructure project. Nor do Buy America requirements apply to equipment and furnishings, such as movable chairs, desks, and portable computer equipment, that are used at or within the finished infrastructure project, but are not an integral part of the structure or permanently affixed to the infrastructure project.

These requirements must flow down to all sub-awards, all contracts, subcontracts, and purchase orders for work performed under the proposed project. For additional information related to the application and implementation of these Buy America requirements, please see OMB Memorandum M-22-11, issued April 18, 2022: <https://www.whitehouse.gov/wp-content/uploads/2022/04/M-22-11.pdf>.

c. DOE Submission Requirements for Full Application

Within the activity file, applicants must provide a short statement on whether the project will involve the construction, alteration, and/or repair of infrastructure in the United States. The ultimate determination about whether a project includes infrastructure remains with DOE. However, the applicant's statement will assist project planning and integration of domestic preference requirements, which may impact the project's proposed budget.

Waivers

In limited circumstances, DOE may waive the application of the Buy America requirements where DOE determines that:

- (1) applying the Buy America requirements would be inconsistent with the public interest;
- (2) the types of iron, steel, manufactured products, or construction materials are not produced in the United States in sufficient and reasonably available quantities or of a satisfactory quality;
or,
- (3) the inclusion of iron, steel, manufactured products, or construction materials produced in the United States will increase the cost of the overall project by more than 25 percent.

⁶ Excludes cement and cementitious materials, aggregates such as stone, sand, or gravel, or aggregate binding agents or additives.

On July 28, 2023, DOE issued a General Applicability Public Interest Waiver that, among other things, waives Build America, Buy America requirements for any financial assistance agreements that are less than \$250,000. The waiver also waives Build America, Buy America Preference where covered products represent less than 5 percent of the total applicable project costs (up to a maximum of \$1 million).⁷ Recipients with EECBG Program allocations under this threshold are covered by this waiver and therefore exempt from Build America, Buy America requirements.

If an applicant is seeking a waiver of the Buy America requirements, it must include a written waiver request with the Full Application. A waiver request must include:

- A detailed justification for the use of “non-domestic” iron, steel, manufactured products, or construction materials to include an explanation as to how the non-domestic item(s) is essential to the project
- A certification that the applicant or recipient made a good faith effort to solicit bids for domestic products supported by terms included in requests for proposals, contracts, and nonproprietary communications with potential suppliers
- Applicant /Recipient name and Unique Entity Identifier (UEI)
- Total estimated project cost, DOE and cost-share amounts
- Project description and location (to the extent known)
- List and description of iron or steel item(s), manufactured goods, and construction material(s) the applicant or recipient seeks to waive from Domestic Content Procurement Preference requirement, including name, cost, country(ies) of origin (if known), and relevant PSC and NAICS code for each.
- Waiver justification including due diligence performed (e.g., market research, industry outreach) by the applicant or recipient
- Anticipated impact if no waiver is issued DOE may require additional information before considering the waiver request.

DOE may require additional information before considering the waiver request. See [DOE Buy America Requirement Waiver Requests | Department of Energy](#)

Waiver requests are subject to public comment periods of no less than 15 days and must be reviewed by the Made in America Office. There may be instances where an award qualifies, in whole or in part, for an existing waiver described at <https://www.madeinamerica.gov/waivers/>.

5. Davis Bacon Prevailing Wage Requirements

Projects awarded under this ALRD will be funded under Division D of the BIL. Accordingly, per section 41101 of that law, all laborers and mechanics employed by the applicant, subrecipients, contractors or subcontractors in the performance of construction, alteration, or repair work funded in whole or in part under this ALRD shall be paid wages at rates not less than those prevailing on similar projects in the locality, as determined by the Secretary of Labor in accordance with subchapter IV of chapter 31 of title 40, United States Code commonly referred to as the “Davis-Bacon Act” (DBA).

By accepting an award as a result of this ALRD, the Applicant is acknowledging the DBA requirements above, and confirming that the laborers and mechanics performing construction, alteration, or repair work on projects funded in whole or in part by awards made as a result of this ALRD are paid or will be paid

⁷ See: https://www.energy.gov/sites/default/files/2023-07/DOE-Final-%20Public%20Interest-%20Sm%20Grant%20De%20Minimis%20Minor%20Component%20-%20Final%20for%20posting%207.26.23_0.pdf

wages at rates not less than those prevailing on projects of a character similar in the locality as determined by subchapter IV of Chapter 31 of Title 40, United States Code (Davis-Bacon Act). Applicants acknowledge that they will comply with all of the Davis-Bacon Act requirements, including but not limited to:

- (1) Ensuring that the wage determination(s) and appropriate Davis-Bacon clauses and requirements are flowed down to and incorporated into any applicable subcontracts or subrecipient awards.
- (2) Ensuring that if wage determination(s) and appropriate Davis-Bacon clauses and requirements are improperly omitted from contracts and subrecipient awards, the applicable wage determination(s) and clauses are retroactively incorporated to the start of performance.
- (3) Being responsible for compliance by any subcontractor or subrecipient with the Davis-Bacon labor standards.
- (4) Receiving and reviewing certified weekly payrolls submitted by all subcontractors and subrecipients for accuracy and to identify potential compliance issues.
- (5) Maintaining original certified weekly payrolls for 3 years after the completion of the project and must make those payrolls available to the DOE or the Department of Labor upon request, as required by 29 CFR 5.6(a)(2).
- (6) Conducting payroll and job-site reviews for construction work, including interviews with employees, with such frequency as may be necessary to assure compliance by its subcontractors and subrecipients and as requested or directed by the DOE.
- (7) Cooperating with any authorized representative of the Department of Labor in their inspection of records, interviews with employees, and other actions undertaken as part of a Department of Labor investigation.
- (8) Posting in a prominent and accessible place the wage determination(s) and Department of Labor Publication: WH-1321, Notice to Employees Working on Federal or Federally Assisted Construction Projects.
- (9) Notifying the Contracting Officer of all labor standards issues, including all complaints regarding incorrect payment of prevailing wages and/or fringe benefits, received from the recipient, subrecipient, contractor, or subcontractor employees; significant labor standards violations, as defined in 29 CFR 5.7; disputes concerning labor standards pursuant to 29 CFR parts 4, 6, and 8 and as defined in FAR 52.222-14; disputed labor standards determinations; Department of Labor investigations; or legal or judicial proceedings related to the labor standards under this Contract, a subcontract, or subrecipient award.
- (10) Preparing and submitting to the Contracting Officer, the Office of Management and Budget Control Number 1910-5165, Davis Bacon Semi-Annual Labor Compliance Report, by April 21 and October 21 of each year. Form submittal will be administered through the iBenefits system (<https://doeibenefits2.energy.gov>) or its successor system.

Recipients of funding under this ALRD will also be required to undergo DBA compliance training and to maintain competency in DBA compliance. The Contracting Officer will notify the recipient of any DOE sponsored DBA compliance trainings. The U.S. Department of Labor (“DOL”) offers free Prevailing Wage Seminars several times a year that meet this requirement, at <https://www.dol.gov/agencies/whd/government-contracts/construction/seminars/events>.

For additional guidance on how to comply with the DBA provisions and clauses, see <https://www.dol.gov/agencies/whd/government-contracts/construction> and <https://www.dol.gov/agencies/whd/government-contracts/protections-for-workers-in-construction>.

PART VI 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 ALRD will be processed and disseminated in the same manner as other EECBG Program Notices.

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:

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 Part 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 VII REFERENCE MATERIAL

IIJA EECBG Program Formula Allocations

IIJA EECBG Program Application Instructions

IIJA EECBG Program Formula Pre-Award Information Sheet

IIJA EECBG Program Energy Efficiency and Conservation Strategy Templates

IIJA EECBG Program NEPA Statements of Work

**SUBJECT: INFRASTRUCTURE INVESTMENT AND JOBS ACT OF 2021 ENERGY
EFFICIENCY AND CONSERVATION BLOCK GRANT PROGRAM FORMULA GRANT
APPLICATION INSTRUCTIONS**

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1.0 PURPOSE

The Department of Energy (DOE) is establishing Formula Grant Application Instructions and management information for the Infrastructure Investment and Jobs Act (IIJA) Energy Efficiency and Conservation Block Grant (EECBG) Program, including (1) Administrative and Legal Requirements Document (ALRD), (2) IIJA Formula Allocations to States, Local Governments and Indian Tribes, (3) IIJA Application Checklist, (4) IIJA EECBG Program Pre-Award Information Sheet, and (5), IIJA Energy Efficiency and Conservation Strategy Templates.

The EECBG Program assists eligible states, units of local government, and Indian Tribes, as described below (herein called “entities” or “eligible entities”) in implementing strategies to:

- Reduce fossil fuel emissions in a manner that is environmentally sustainable and, to the maximum extent practicable, maximizes benefits for local and regional communities;
- Reduce the total energy use of the eligible entities; and
- Improve energy efficiency in the transportation sector, the building sector, and other appropriate sectors.¹
- Build a clean and equitable energy economy that prioritizes disadvantaged communities and promotes equity and inclusion in workforce opportunities and deployment activities, consistent with the [Justice40 Initiative](#).

These stated purposes describe the overall intent of the EECBG Program. Entities may develop various initiatives and projects that address one or more of the purposes and each activity an entity undertakes is not required to meet all of the stated purposes. Entities may choose from a range of eligible activities, as defined in Section 544 of the Energy Independence and Security Act of 2007²(EISA) as amended by Section 40552(a) of the IIJA ([Public Law 117-58](#)).

Each entity receiving EECBG Program funds (including State sub-recipients) is required to use the funds in a cost-effective manner that is of maximum benefit to the population of that entity and in a manner that will yield sustained long-term impacts in terms of energy, emission reductions, and equitable workforce and community investment opportunities. To these ends, DOE encourages entities to develop new and innovative approaches within the framework of the legislation and Program Guidance.

2.0 SCOPE

The provisions of this Program Notice apply to eligible entities applying for formula grant financial assistance under DOE’s EECBG Program with appropriations provided by the IIJA under Section 40552(b). The information in this Program Notice incorporates relevant provisions from the Code of Federal Regulations (CFR) applicable to financial assistance awards under the EECBG Program, including [2 CFR Part 200](#) as amended by [2 CFR Part 910](#) (the DOE Financial Assistance Rules) and the EECBG Statute, located at [42 U.S.C. Chapter 152, Subchapter IV, Part C](#).

These regulations are the official sources for program requirements.

2.1 ELIGIBLE APPLICANTS

In accordance with [Section 543 of EISA](#), eligible entities for EECBG Program formula allocations include States, local governments, and Indian Tribes.³ Eligibility is restricted to eligible state, local, and Tribal governments applying for funding under the EECBG Program. The list of eligible entities and

¹ 42 U.S.C. 17152(b).

² [42 U.S.C. 17154](#).

³ 42 U.S.C. 17153(a).

funding allocations are attached to the ALRD and available on the EECBG Program website at: <https://www.energy.gov/clean-energy-infrastructure/energy-efficiency-and-conservation-block-grant-program>.

State Government Eligibility

For the purposes of the EECBG Program, there are 56 entities eligible for state formula grants. These are the 50 states, the District of Columbia, and the following five U.S. Territories: the Commonwealth of Puerto Rico, the U.S. Virgin Islands, American Samoa, Guam, and the Commonwealth of the Northern Mariana Islands.

Local Government Eligibility

[Section 541\(2\)](#) of EISA divides eligible units of local government into two categories, defined as “eligible unit of local government-alternative 1” (“local government-alternative 1”) and “eligible unit of local government-alternative 2” (“local government-alternative 2”).⁴ DOE determined that 1,878 local governments are eligible for EECBG Program formula grants.

Local Government-Alternative 1

There are 1,878 local governments eligible under the definition of Local Government-Alternative 1 and meet the following criteria outlined in [section 541\(3\)\(A\)](#) of EISA:

- cities that are one of the top 10 most populous cities within their state or that have a population of at least 35,000; and
- counties that are one of the 10 most populous counties within their state or that have a population of more than 200,000.⁵

Local Government-Alternative 2

There are 1,032 local governments eligible under the definition of the Local Government-Alternative 2 and meet the following criteria outlined in [section 541\(3\)\(B\)](#) of EISA:

- cities with populations of at least 50,000; or
- counties with populations of at least 200,000.⁶

Local governments eligible for Local Government-Alternative 2 funding are also eligible for Local Government-Alternative 1 funding.

DOE used the U.S. Census Bureau’s 2020 Decennial Census Redistricting Data to determine the population of local governments. City and county governments that do not meet the eligibility requirements for direct formula grants from DOE are eligible for EECBG Program funds through the state in which they are located and can also apply for EECBG Program competitive grants from DOE. While EISA directs DOE to provide grants to cities and counties that qualify as eligible units of local government, EISA does not define “city” or “county.” DOE established the definitions of “city” and “county” in alignment with the eligibility criteria DOE used for the EECBG Program under the American Recovery and Reinvestment Act (ARRA), to the extent practicable.⁷

⁴ [42 U.S.C. 17151\(2\)](#).

⁵ [42 U.S.C. 17151\(3\)\(A\)](#).

⁶ [42 U.S.C. 17151\(3\)\(B\)](#).

⁷ [71 FR 17461, 17462](#) (Apr. 15, 2009).

Definition of “City”

For the purposes of the EECBG Program, DOE is defining “city” to include certain city-equivalent units of local government. Specifically, a city-equivalent unit of local government such as a town, village, or other municipality will be considered eligible if it is listed in the [2021 Census of Governments Survey](#) as a currently incorporated entity, has a governance structure consisting of an elected official and governing body, is capable of carrying out the activities outlined in EISA, and meets the required population thresholds outlined in EISA. DOE used the [2022 Boundary and Annexation Survey Code Lists](#) to identify eligible local governments within the Commonwealth of Puerto Rico. Additionally, a consolidated or unified city-county government in which a city and a county overlap geographically and govern as one consolidated government is considered a city by DOE.

DOE includes the following clarifications to the records used to calculate the universe of cities that are eligible for the EECBG Program:

- In the Commonwealth of Puerto Rico, Municipios are treated as cities. Though designated as counties by the [2020 Census: Redistricting File \(Public Law 94-171\) Dataset](#), governments of Municipios have the functionality of city governments.
- Towns, townships, and boroughs that are incorporated places are treated as cities. The governments of these places have the functionality of city governments.
- In the states of Connecticut, Maine, Massachusetts, Michigan, Minnesota, New Hampshire, New Jersey, New York, Pennsylvania, Rhode Island, Vermont, and Wisconsin, minor civil divisions are treated as cities.⁸
- There are no eligible entities in the District of Columbia, U.S. Virgin Islands, American Samoa, Guam, and the Commonwealth of the Northern Mariana Islands.

Definition of “County”

For the purposes of the EECBG Program, a county will be considered eligible for direct formula grants if it is listed in the [2021 Census of Governments Survey](#) as a currently incorporated county, has a governance structure with an elected official and governing body, is capable of carrying out the activities outlined in EISA, and meets the required population thresholds outlined in EISA.

For counties, all population figures are adjusted to reflect only the balance of their population, excluding the populations of any eligible cities therein. This population is referred to as the “county balance population.” In determining county balance populations, DOE identified a number of cities with geographic boundaries that cross the borders of multiple counties. In calculating county balance populations for those counties that contain only a part of an eligible city, DOE subtracted the portion of the eligible city’s population living within that county.

DOE includes the following clarifications to the records used to calculate the universe of counties that are eligible for the EECBG Program:

- Counties that are not a part of the [2021 Census of Governments Survey](#) and are without governmental authority are not a part of the database and are thus not eligible for direct EECBG Program formula grants. This pertains to some counties in Alaska and Massachusetts, as well as all counties in Connecticut and Rhode Island.

⁸ [United States Census Bureau Terms and Definitions – Minor Civil Divisions.](#)

- If one or more of the 10 most populated counties is ineligible or considered a city (i.e., a city-county consolidated government), the next largest county by population will be moved into the list of the 10 most populated counties for that state.
- Census areas in Alaska were not considered eligible counties because they have limited government functions.⁹
- There are no counties in the District of Columbia.

Indian Tribe Eligibility

As defined by [section 541\(4\)](#) of EISA, the term “‘Indian Tribe’ has the meaning given the term” in [section 4](#) of the Indian Self-Determination and Education Assistance Act.”¹⁰ The Indian Self-Determination and Education Assistance Act states that the term “Indian Tribe” means any Indian Tribe, band, nation, or other organized group or community, including any Alaska Native village or regional or village corporation as defined in or established pursuant to [the Alaska Native Claims Settlement Act \(ANSCA\)](#),¹¹ which is recognized as eligible for the special programs and services provided by the United States to Indians because of their status as Indians.

There are 774 Indian Tribes eligible for a formula grant through the EECBG Program including: [574 federally recognized Indian Tribes listed by the Bureau of Indian Affairs \(BIA\) in the 2022 Federal Register Notice](#);¹² six additional Indian Tribes because eight bands of Indian Tribes comprise two of the federally recognized Indian Tribes, 12 Alaska Native Regional Corporations established under the [ANSCA](#);¹³ and 182 currently active Alaska Native Village Corporations, group corporations, and urban corporations. ANSCA defines “group corporation” and “urban corporation,” which are similar to village corporations except that they apply to established Native groups and urban communities of Alaska Native people. As such, “group corporations” and “urban corporations” are included in the definition of Indian Tribes defined by DOE for the EECBG Program.

DOE includes the following clarifications to the records used to identify the Indian Tribes that are eligible for the EECBG Program, in line with the BIA’s 2022 Federal Register Notice:

- Minnesota Chippewa is comprised of six separate bands of Indian Tribes each eligible for a direct formula grant: Boise Forte Band, Fond Du Lac Band, Grand Portage Band, Leech Lake Band, Mille Lacs Band, and White Earth Band.
- Capitan Grande Band of Diegueno Mission Indians of California is comprised of two separate bands of Indian Tribes both eligible for a direct formula grant: Barona Group of Capitan Grande Band of Mission Indians of the Barona Reservation and Viejas (Baron Long) Group of Capitan Grande Band of Mission Indians of the Viejas Reservation.
- The Passmaquoddy Tribe is made up of Pleasant Point and Indian Township. There will be one formula allocation made to the Passmaquoddy Tribe that will be split proportionally between the two parts upon the grant being awarded.

2.2 ALLOWABLE ACTIVITIES

Under the EECBG Program, entities will develop various initiatives and projects that address one or more of the program purposes. Entities are encouraged to use their EECBG Program funds in a manner that is of maximum benefit to their population, in a manner that will leverage other sources of financing or

⁹ [Guide to the State and Local Census Geography – Alaska.](#)

¹⁰ [42 U.S.C. 17151\(4\)](#), referencing [25 U.S.C. 5304\(e\)](#).

¹¹ [Public Law 92-203, Dec. 18, 1971, 85 Stat. 688.](#)

¹² [87 FR 4636](#) (Jan. 28, 2022).

¹³ [33 U.S.C. 1602 et seq.](#)

funding, and will yield maximum benefits over time in terms of energy and emission reductions. DOE also encourages entities to consider investing the funding in ways that lead to equitable and just outcomes. To these ends, DOE encourages entities to develop new and innovative approaches within the framework of the legislation and the guidance. Eligible activities are listed below, and full details are described in section 544 of the EISA.¹⁴

An eligible entity may use its EECEBG Program 2022 formula award to carry out activities to achieve the purposes of the program, including—

- (1) Development and implementation of an Energy Efficiency and Conservation Strategy;
- (2) Retaining technical consultant services to assist the eligible entity in the development of such a strategy, including—
 - (A) formulation of energy efficiency, energy conservation, and energy usage goals;
 - (B) identification of strategies to achieve those goals—
 - (i) through efforts to increase energy efficiency and reduce energy consumption; and
 - (ii) by encouraging behavioral changes among the population served by the eligible entity;
 - (C) development of methods to measure progress in achieving the goals;
 - (D) development and publication of annual reports to the population served by the eligible entity describing—
 - (i) the strategies and goals; and
 - (ii) the progress made in achieving the strategies and goals during the preceding calendar year; and
 - (E) other services to assist in the implementation of the energy efficiency and conservation strategy;
- (3) Conducting residential and commercial building energy audits;
- (4) Establishment of financial incentive programs for energy efficiency improvements;
- (5) The provision of grants to nonprofit organizations and governmental agencies for the purpose of performing energy efficiency retrofits;
- (6) Development and implementation of energy efficiency and conservation programs for buildings and facilities within the jurisdiction of the eligible entity, including—
 - (A) design and operation of the programs;
 - (B) identifying the most effective methods for achieving maximum participation and efficiency rates;
 - (C) public education;
 - (D) measurement and verification protocols; and
 - (E) identification of energy efficient technologies;
- (7) Development and implementation of programs to conserve energy used in transportation, including—
 - (A) use of flex time by employers;
 - (B) satellite work centers;
 - (C) development and promotion of zoning guidelines or requirements that promote energy efficient development;
 - (D) development of infrastructure, such as bike lanes and pathways and pedestrian walkways;
 - (E) synchronization of traffic signals; and

¹⁴ 42 U.S.C. 17154.

- (F) other measures that increase energy efficiency and decrease energy consumption;
- (8) Development and implementation of building codes and inspection services to promote building energy efficiency;
- (9) Application and implementation of energy distribution technologies that significantly increase energy efficiency, including—
 - (A) distributed resources; and
 - (B) district heating and cooling systems;
- (10) Activities to increase participation and efficiency rates for material conservation programs, including source reduction, recycling, and recycled content procurement programs that lead to increases in energy efficiency;
- (11) The purchase and implementation of technologies to reduce, capture, and, to the maximum extent practicable, use methane and other greenhouse gases generated by landfills or similar sources;
- (12) Replacement of traffic signals and street lighting with energy efficient lighting technologies, including—
 - (A) light emitting diodes; and
 - (B) any other technology of equal or greater energy efficiency;
- (13) Development, implementation, and installation on or in any government building of the eligible entity of onsite renewable energy technology that generates electricity from renewable resources, including—
 - (A) solar energy;
 - (B) wind energy;
 - (C) fuel cells; and
 - (D) biomass; and
- (14) Programs for financing energy efficiency, renewable energy, and zero-emission transportation (and associated infrastructure), capital investments, projects, and programs, which may include loan programs and performance contracting programs, for leveraging of additional public and private sector funds, and programs that allow rebates, grants, or other incentives for the purchase and installation of energy efficiency, renewable energy, and zero-emission transportation (and associated infrastructure) measures; and
- 15) Any other appropriate activity, as determined by the Secretary, in consultation with—
 - (A) the Administrator of the Environmental Protection Agency;
 - (B) the Secretary of Transportation; and
 - (C) the Secretary of Housing and Urban Development.¹⁵

For additional information on allowable activities, please see the [EECBG Eligible Activities and Program Guidance document](#).

2.3 EECBG PROGRAM FORMULA AWARDS: GRANTS AND VOUCHERS

To streamline the award process, DOE is providing local and Tribal governments applying for an EECBG Formula Program award with the option to select a grant or voucher. In addition, DOE is providing project blueprints, which are designed to help further streamline the award process. Blueprints may be used with either grants or vouchers. Entities selecting a grant should follow the application instructions

¹⁵ [42 U.S.C. 17154](#).

shown in Section 7.0. Additional guidance on the application process for Vouchers is available in the [EECBG Program Voucher Handbook](#) and application templates available on the following website, <https://www.energy.gov/scep/eccbg-program-formula-grant-application-hub>. The expected award period for vouchers is up to two years.

IJA grant awards will consist of a Project and Budget Period up to two years for local governments and Tribes, and up to three years for states, with options for extensions upon approval by the DOE Contracting Officer.

To assist applicants with planning, DOE is providing estimated award processing timeframes for each award type below. Note that these timeframes are estimates and are subject to change based on total volume of applications received, completeness of submitted applications, and award negotiation requirements. Applications may be subject to additional review prior to award or release of funds, including financial, legal, programmatic, or NEPA review.

Type of Award	Vouchers	Grants following Blueprints	Grants not following Blueprints
Typical award processing timeframe*	30-60 days	Up to 60 days	Minimum of 90 days
Additional application requirements or award conditions	Comply with Voucher Terms and Conditions	May be subject to additional review (e.g., indirect cost rates, sub-grants, accounting system and financial controls)	May be subject to additional review and award conditions (e.g., NEPA)**
Application method	Submit voucher application by April 30, 2024 (local governments) and May 31, 2025 (Tribes)***	Submit grant application by July 31, 2023 (states and territories), April 30, 2024 (local governments), and May 31, 2025 (Tribes)	

Table notes:

*Award processing times shown are estimates, based on submission of a complete application that is responsive to all required application materials and system registration requirements. Award processing times may vary depending on multiple factors, including the number of applications submitted, complexity of award applications, and additional review required to process applications (such as NEPA review and approval of proposed projects). The above timeframes do not include the time required for applicants to prepare and submit an application to DOE.

**Awards requiring individual NEPA review will require extended time to review applications, including completion of a categorical exclusion review, environmental assessment, or an Environmental Impact Statement, depending on the scope of the proposed activity. Awards may be partially or fully conditioned (funds restricted from expenditure) until completion of required NEPA reviews.

***Additional information on the Voucher application process is available in the [EECBG Program Voucher Handbook](#) and application templates available on the following website, <https://www.energy.gov/scep/eccbg-program-formula-grant-application-hub>.

Local and Tribal entities will have the choice between a grant OR a voucher. The financial value of the voucher is expected to be equivalent to the formula award allocated to the eligible entity.¹⁶ Vouchers are

¹⁶Administrative costs directly associated with the voucher, including contracting, reporting, site inspections and regulatory compliance are included as part of the total financial amount of the voucher. Recipients will be responsible for ongoing costs of installed equipment, such as operations and maintenance.

subject to the same legislation and guidance that applies to EECBG Program formula grants, including Voucher Terms and Conditions. Vouchers will be available to formula-eligible local governments and Indian Tribes for two purposes:

- technical assistance (TA) and
- equipment rebates.

A separate application process will be utilized for entities interested in applying for a voucher in lieu of a grant. The scope of activities eligible for vouchers and application procedures, and comparison of grant and voucher application requirements is provided in Section 9 to assist applicants in selecting whether to choose a grant or voucher for their formula award under the EECBG Program.

2.4 TEAMING AND PARTNERSHIPS

All EECBG Program formula-eligible entities are encouraged to team up with neighboring or peer entities that are also eligible for EECBG Program formula awards, to align EECBG Program 2022 plans and efforts. Pooling funds could allow jurisdictions to share the costs of analyses or programs in an efficient and mutually beneficial way. Opportunities for collaboration are vast, and could foster peer learning, reduced administrative burden, more effective use of limited grant dollars, and more impactful outcomes. Teams could collaborate on regional activities, create programs to serve multiple jurisdictions regardless of geography, or simply team up to work in parallel on similar proposals.

Below are illustrations of teaming opportunities:

- Create a regional clean energy infrastructure strategy and hire consultants to develop regional economic development analyses
- Stand up an energy efficiency workforce training program¹⁷ to serve several neighboring communities, and pool EECBG Program funds to hire a part-time program administrator
- Create a low-interest financing program for income-qualified residential energy retrofits and rooftop solar to serve community members across a state
- Design and establish a revolving loan fund¹⁸ to deploy virtual power plants (e.g., grid-interactive efficient buildings, battery storage systems) and building and transportation electrification projects across a utility territory
- Coordinate with peer municipalities to design and execute innovative programs to lower energy burdens in rural or urban settings
- Pursue energy audits and retrofits of municipal buildings across several communities and hire a shared energy manager to support projects across the state
- Develop a regional stretch energy code for new construction and a building performance standard for existing buildings and provide technical support and training for local code adoption and compliance

Each team will opt for either vouchers or grants. Each entity within a team will receive its own EECBG Program grant or voucher, and entities on a team may choose to jointly fund EECBG Program activities. However, each entity will be ultimately responsible for accounting and tracking the use of their own

¹⁷ For more information on related BIL workforce development funding opportunities, see the [Career Skills Training Program](#) and the [Energy Auditor Training Grant Program](#).

¹⁸ For more information on related state Revolving Loan Fund formula allocations, see the [EE RLF Infrastructure Investment and Jobs Act Administrative and Legal Requirements Document \(ALRD\)](#).

funds and for reporting outcomes of their own efforts. Teams may consist of any number of eligible entities, with two as the minimum.

Teams pursuing a grant award will submit a single joint application to DOE, with one eligible EECBG Program entity as the Prime Applicant. Team applications will describe the plan for the use of each entity's EECBG Program funds and list the primary point of contact for the team, as well as points of contact for all entities on the team. Each entity must submit and receive approval of its own EECS, as part of the team application.

Teaming partners should indicate their permission allowing the prime applicant to submit the application on their behalf. Teams may consider developing a separate partnership agreement, such as a Memorandum of Understanding, in which all parties agree in writing to how the funds will be spent, roles and responsibilities, and any other terms and conditions to ensure clear expectations and a mutually beneficial approach.

Partnerships

In addition to eligible entities teaming with other eligible entities to co-invest their awards, EECBG Program grantees may partner with other stakeholders that can help drive the progress and success of their programs and projects, including utilities, energy industry and financial companies, community-based organizations, labor unions, and other non-profit organizations.

3.0 LEGAL AUTHORITY

The EECBG Program is authorized under Title V, Subtitle E of the Energy Independence and Security Act of 2007 (EISA), as amended,¹⁹ and signed into Public Law (PL 110-140) on December 19, 2007. All awards made under this program shall comply with applicable laws and regulations including, but not limited to, the DOE financial assistance regulations at 2 CFR Part 200 as amended by 2 CFR Part 910 and Section 40552 of the [Infrastructure Investment and Jobs Act](#).

4.0 PROGRAM OVERVIEW & GOALS

Projects awarded under this ALRD will be funded, in whole or in part, with funds appropriated by IJJA,²⁰ also known as the Bipartisan Infrastructure Law (BIL).

The BIL is a once-in-a-generation investment in infrastructure, designed to modernize and upgrade American infrastructure to enhance United States competitiveness, drive the creation of good-paying union jobs, tackle the climate crisis, and ensure stronger access to economic, environmental, and other benefits for disadvantaged communities²¹. The BIL appropriates more than \$62 billion to the Department of Energy (DOE)²² to invest in American manufacturing and workers; expand access to energy efficiency

¹⁹ 42 U.S.C. 17151 et seq.

²⁰ Infrastructure Investment and Jobs Act, Public Law 117-58 (November 15, 2021).

<https://www.congress.gov/bill/117th-congress/house-bill/3684>

²¹ Pursuant to Executive Order (EO) 14008, "Tackling the Climate Crisis at Home and Abroad," January 27, 2021, and the Office of Management and Budget's Interim Justice40 Implementation Guidance M-21-28, DOE has developed a definition and tools to locate and identify disadvantaged communities. These resources can be located at <https://energyjustice.egs.anl.gov/>. DOE will also recognize disadvantaged communities as defined and identified by the White House Council of Environmental Quality's Climate and Economic Justice Screening Tool (CEJST), which can be located at <https://screeningtool.geoplatform.gov/>.

²² U.S. Department of Energy. November 2021. "DOE Fact Sheet: The Bipartisan Infrastructure Deal Will Deliver For American Workers, Families and Usher in the Clean Energy Future." <https://www.energy.gov/articles/doe-fact-sheet-bipartisan-infrastructure-deal-will-deliver-american-workers-families-and-0>

and clean energy; deliver reliable, clean, and affordable power to more Americans; and demonstrate and deploy the technologies of tomorrow through clean energy demonstrations.

As part of and in addition to upgrading and modernizing infrastructure, DOE's BIL investments will support efforts to build a clean and equitable energy economy that achieves a zero-carbon electricity system by 2035, and to put the United States on a path to achieve net-zero emissions economy-wide by no later than 2050 to benefit all Americans.²³

Through this funding action, the BIL will invest appropriations of \$550,000,000 for fiscal year 2022, to remain available until expended to 2,708 eligible entities, in accordance with the [EECBG Program allocation formulas](#) issued on June 29, 2022. EECBG Program recipients may use funds for a diverse range of eligible activities that support investments in programs, policies, and projects, including actions that: 1) reduce energy use and carbon emissions; 2) achieve ongoing energy and operational cost-savings for local governments and taxpayers; and 3) increase community investment/workforce development opportunities.

DOE seeks to deliver an efficient and effective EECBG Program designed to achieve sustained impacts that put communities on a pathway to reducing fossil fuel use and total energy use and improving energy efficiency while fulfilling Justice40 Initiative goals (see Section 4.2). As part of the whole-of-government approach to advance equity and encourage worker organizing and collective bargaining,^{24,25,26} this funding action and any related activities will seek to encourage meaningful engagement and participation of workforce organizations, including labor unions, as well as underserved communities and underrepresented groups, including consultation with Tribal Nations.^{27,28} Consistent with EO 14008,²⁹ this funding action is designed to help meet the goal that 40% of the overall benefits of certain investments in clean energy and climate solutions flow to disadvantaged communities (underserved, overburdened, and frontline communities) as defined by the Department pursuant to the EO and to drive the creation of good-paying jobs with the free and fair chance for workers to join a union.³⁰

4.1 DIVERSITY, EQUITY, INCLUSION, AND ACCESSIBILITY

It is the policy of the Administration that:

“[T]he Federal Government should pursue a comprehensive approach to advancing equity³¹ for all, including people of color and others who have been historically underserved, marginalized, and adversely affected by persistent poverty and inequality. Affirmatively advancing equity, civil rights, racial justice, and equal opportunity is the

²³ [EO14008](#).

²⁴ EO 13985, “Advancing Racial Equity and Support for Underserved Communities Through the Federal Government,” January 20, 2021.

²⁵ EO 14025, “Worker Organizing and Empowerment,” April 26, 2021.

²⁶ EO 14052, “Implementation of the Infrastructure Investment and Jobs Act,” November 18, 2021.

²⁷ EO 13175, “Consultation and Coordination with Indian Tribal Governments,” November 6, 2000, charges all executive departments and agencies with engaging in regular, meaningful, and robust consultation with Tribal officials in the development of federal policies that have Tribal implications.

²⁸ [Memorandum on Tribal Consultation and Strengthening Nation-to-Nation Relationships | The White House](#)

²⁹ EO 14008, “Tackling the Climate Crisis at Home and Abroad,” January 27, 2021.

³⁰ [EXEC-2022-004682 - FINAL S1 J40 Letter 7-25-2022.pdf \(energy.gov\)](#)

³¹ The term “equity” means the consistent and systematic fair, just, and impartial treatment of all individuals, including individuals who belong to underserved communities that have been denied such treatment, such as Black, Latino, and Indigenous and Native American persons, Asian Americans and Pacific Islanders and other persons of color; members of religious minorities; lesbian, gay, bisexual, transgender, and queer (LGBTQ+) persons; persons with disabilities; persons who live in rural areas; and persons otherwise adversely affected by persistent poverty or inequality. EO 13985.

responsibility of the whole of our government. Because advancing equity requires a systematic approach to embedding fairness in decision-making processes, executive departments and agencies must recognize and work to redress inequities in their policies and programs that serve as barriers to equal opportunity.

By advancing equity across the Federal Government, we can create opportunities for the improvement of communities that have been historically underserved, which benefits everyone.”³²

As part of this whole-of-government approach, this funding action seeks to encourage eligible entities to include the participation of underserved communities³³ and underrepresented groups in the activities they undertake with these funds. EECBG Program eligible entities are highly encouraged to include contractors and sub-contractors from groups historically underrepresented^{34,35} in their project scoping. Further, Minority Serving Institutions³⁶, Minority Business Enterprises, Minority Owned Businesses, Woman Owned Businesses, Veteran Owned Businesses, or entities located in an underserved community that meet the eligibility requirements (See Section III) are encouraged to be considered as sub-recipients for proposed EECBG Program-funded projects.

4.2 JUSTICE40 INITIATIVE

EECBG Program is a Justice40-covered program³⁷ and as such contributes to the President’s goal that 40% of the overall benefits of Federal investments in clean energy and climate solutions flow to Disadvantaged Communities that for too long have faced disinvestment and underinvestment. DOE strongly encourages eligible entities to maximize project benefits and describe how these benefits will flow to Disadvantaged Communities to the greatest extent practicable. DOE has released [General Guidance on Justice40 Implementation](#) designed to help eligible entities and other interested parties incorporate Justice40 Initiative goals into DOE-funded projects. Information from the General Guidance on Justice40 Implementation is provided below.

³² EO 13985.

³³ The Office of Management and Budget [Interim Implementation Guidance for Justice40](#) defines a disadvantaged community as either: (1) a group of individuals living in geographic proximity (such as census tract), or (2) a geographically dispersed set of individuals (such as migrant workers or Native Americans), where either type of group experiences common conditions.

³⁴ According to the National Science Foundation’s 2019 report titled, “[Women, Minorities and Persons with Disabilities in Science and Engineering](#)”, women, persons with disabilities, and underrepresented minority groups—blacks or African Americans, Hispanics or Latinos, and American Indians or Alaska Natives—are vastly underrepresented in the STEM (science, technology, engineering and math) fields that drive the energy sector. For example, in the U.S., Hispanics, African Americans and American Indians or Alaska Natives make up 24 percent of the overall workforce, yet only account for 9 percent of the country’s science and engineering workforce. DOE seeks to inspire underrepresented Americans to pursue careers in energy and support their advancement into leadership positions. <https://www.energy.gov/articles/introducing-minorities-energy-initiative>

³⁵ Note that Congress recognized in section 305 of the American Innovation and Competitiveness Act of 2017, Public Law 114-329: “[I]t is critical to our Nation’s economic leadership and global competitiveness that the United States educate, train, and retain more scientists, engineers, and computer scientists; (2) there is currently a disconnect between the availability of and growing demand for STEM-skilled workers; (3) historically, underrepresented populations are the largest untapped STEM talent pools in the United States; and (4) given the shifting demographic landscape, the United States should encourage full participation of individuals from underrepresented populations in STEM fields.”

³⁶ Minority Serving Institutions (MSIs), including Historically Black Colleges and Universities/Other Minority Institutions as educational entities recognized by the Office of Civil Rights (OCR), U.S. Department of Education, and identified on the [OCR's Department of Education U.S. accredited postsecondary minorities' institution list](#).

³⁷ [Justice40 Initiative | Department of Energy](#)

Identifying Benefits

Benefits include (but are not limited to) measurable direct or indirect investments or positive project outcomes that achieve or contribute to the following in Disadvantaged Communities:

- (1) a decrease in energy burden;
- (2) a decrease in environmental exposure and burdens;
- (3) an increase in access to low-cost capital;
- (4) an increase in job creation, the clean energy job pipeline, and job training for individuals;
- (5) increases in clean energy enterprise creation and contracting (e.g., minority-owned or disadvantaged business enterprises);
- (6) increases in energy democracy, including community ownership;
- (7) increased parity in clean energy technology access and adoption; and
- (8) an increase in energy resilience.

Not all eight policy priorities will be applicable to all DOE programs or funding opportunities. The matrix below provides **examples** of measurable benefits and how they map to the different DOE policy priorities mentioned above.

Policy Priorities	Benefit Metric and Units
1. N/A	Dollars spent [\$] by DOE Covered Programs [\$] in Disadvantaged Communities
2. Decrease energy burden in Disadvantaged Communities	Dollars saved [\$] in energy <i>expenditures</i> due to technology adoption in Disadvantaged Communities
	Energy saved [MMBTU or MWh] or reduction in fuel [GGe] by Disadvantaged Communities
3. Decrease environmental exposure and burdens for Disadvantaged Communities	Avoided air pollutants (CO2 equivalents, NOx, SO2, and/or PM2.5) in Disadvantaged Communities
	Remediation impacts on surface water, groundwater, and soil in Disadvantaged Communities
	Reduction of legacy contaminated waste in Disadvantaged Communities
4. Increase clean energy jobs, job pipeline, and job training for individuals from Disadvantaged Communities	Dollars spent [\$] and/or number of participants from Disadvantaged Communities in job training programs, apprenticeship programs, STEM education, tuition, scholarships, and recruitment.
	Number of hires from Disadvantaged Communities resulting from DOE job trainings
	Number of jobs created for Disadvantaged Communities because of DOE program
	Number of and/or dollar value [\$] of partnerships, contracts, or training with minority serving institutions (MSIs)
5. Increase clean energy enterprise creation and contracting for minority or disadvantaged businesses in Disadvantaged Communities	Number of contracts and/or dollar value [\$] awarded to businesses that are principally owned by women, minorities, disabled veterans, and/or LGBT persons
6. Increase energy democracy in Disadvantaged Communities	Number of stakeholder events, participants, and/or dollars spent to engage with organizations and residents of Disadvantaged Communities, including participation and notification of how input was used

	Number of tools, trainings for datasets/tools, people trained and/or hours dedicated to dataset/tool and technical assistance and knowledge transfer efforts to Disadvantaged Communities
	Dollars spent [\$] or number of hours spent on technical assistance for Disadvantaged Communities
	Dollar value [\$] and number of clean energy assets owned by Disadvantaged Communities members
7. Increase access to low-cost capital in Disadvantaged Communities	Dollars spent [\$] by source and purpose and location
	Leverage ratio of private to public dollars [%]
	Loan performance impact through dollar value [\$] of current loans and of delinquent loans (30-day or 90-day) and/or number of loans (30-day delinquent or 90-day default)
8. Increase parity in clean energy technology access and adoption in Disadvantaged Communities	Clean energy resource [MWh] adopted in Disadvantaged Communities
9. Increase reliability, resilience, and infrastructure to support reliability and resilience in Disadvantaged Communities	Increase in community resilience hubs in Disadvantaged Communities
	Number and size (MWh) of community resilience infrastructure deployed in Disadvantaged Communities (e.g., Distributed solar plus storage, utility scale, Distributed Energy Resources, microgrids)

Identifying Disadvantaged Communities

Justice40 directs that 40% of the overall benefits realized from Covered Programs flow to “disadvantaged communities.” OMB’s Interim Implementation Guidance defines a community as either: (1) a group of individuals living in geographic proximity (such as census tract), or (2) a geographically dispersed set of individuals (such as migrant workers or Native Americans), where either type of group experiences common conditions. [M-21-28 \(whitehouse.gov\)](#).

Pursuant to the Interim Implementation Guidance, DOE has developed DOE’s working definition and tool to identify applicable Disadvantaged Communities at [Energy Justice Dashboard \(anl.gov\)](#). DOE will also recognize Disadvantaged Communities as defined and identified by the White House Council of Environmental Quality’s Climate and Economic Justice Screening Tool (CEJST), which can be located at <https://screeningtool.geoplatform.gov/>.

DOE’s working definition of disadvantaged is based on cumulative burden and includes data for thirty-six (36) indicators collected at the census tract level.

To be considered a Disadvantaged Communities under the DOE definition, a census tract must rank in or above the 80th percentile of the cumulative sum of the 36 burden indicators for its state and have at least 30% of households classified as low-income.

Nationwide, 13,581 census tracts were identified as disadvantaged (18.6% of 73,056 total U.S. census tracts). Additionally, federally recognized Tribal lands and U.S. territories, in their entirety, are categorized as Disadvantaged Communities in accordance with OMB’s Interim Implementation Guidance “common conditions” definition of community

Please see [General Guidance on Justice40 Implementation](#) for more information regarding identifying Disadvantaged Communities with available tools.

Justice40 Implementation:

As a best practice, DOE recommends that recipients develop and sustain procedures and systems that can easily track what benefits are flowing to specific communities or locations (e.g., connecting benefits accrued with zip codes, and/or census tracts). Tracking benefits will allow funding recipients to measure progress and ensure programs are meeting intended goals. Further analysis of this data can also be used to empower program designers and lawmakers with information that is often needed to update or create new programs that better assist communities most in need.

To understand state, local, and Tribal government needs around equity and the Justice40 Initiative, DOE hosted listening sessions for state and local governments that discussed the Justice40 Initiative. The feedback received in those sessions informed this document and the IJA application materials for the EECBG Program.

DOE may provide eligible entities with support and training on tools and resources for implementing the Justice40 initiatives (e.g., Justice40 dashboard, EJ Screen, LEAD tool, etc.), along with other training opportunities, such as webinars and workshops.

4.3 JOB GROWTH AND QUALITY

As an agency whose mission is to help strengthen our country's energy prosperity, DOE strongly supports efforts to invest in the American workforce. This includes investments that expand quality jobs by adopting labor standards; ensure workers have a free and fair chance to join a union; engage responsible employers; reduce systemic barriers to accessibility of quality jobs; foster safe, healthy, and inclusive workplaces and communities; and develop a diverse workforce well-qualified to build and maintain the country's energy infrastructure and to grow domestic manufacturing.

Through the EECBG Program, DOE intends to support eligible entities in their efforts to support good-paying jobs with the free and fair choice to join a union and support labor-management training partnerships, such as registered apprenticeships. In their project planning, eligible entities are highly encouraged to engage with an inclusive collection of local stakeholders including labor unions and community-based organizations that support or work with Disadvantaged Communities. The DOE Justice40 Guidance provides a helpful template strategy for undertaking strategic stakeholder engagement.

Stakeholder engagement is a relatively small cost that delivers high value. Proactive and meaningful engagement with stakeholders ensures stakeholders' perspectives can be incorporated into the project plan, allows for transparency, and helps reduce or eliminate certain risks associated with the project. Eligible entities are encouraged to include information in their EECBG Program application about how they have engaged labor and community stakeholders in ways that foster the negotiation of new community and workforce agreements.

DOE will provide future guidance and resources to assist eligible entities in incorporating workforce and community agreements and other tools into their EECBG Program-funded programs and activities, including blueprints and technical assistance resources focused on workforce and economic development.

4.4 TECHNICAL ASSISTANCE

Local governments and Indian Tribes have the option to select a voucher for technical assistance and/or an equipment rebate in lieu of applying for and administering an EECBG Program formula grant. The intent in offering this option is to 1) reduce the administrative burden associated with applying for and managing a federal grant and 2) provide additional resources and assistance needed to accomplish eligible entities' goals. Additional information on vouchers is provided in Section 9.0.

In addition to the technical assistance vouchers described above, DOE plans to provide technical assistance support to all entities, to help accelerate their efforts and preparations to leverage other IJA funding. This assistance may include tools, online resources, access to experts, webinars, peer learning opportunities, and local and regional workshops. The technical resources will span a wide range of topic areas, with an emphasis on the blueprint topics described below. Please see the [EECBG Program Technical Assistance webpage](#) for more information on technical assistance offerings.

4.5 BLUEPRINTS

Blueprints are step-by-step roadmaps of energy project and programs that guide EECBG Program entities to success. By no means an exclusive list, the blueprints are a select list of high-impact projects and programs based on proven practices that entities can choose to follow. While entities may use their EECBG Program funds for a wide array of energy-related activities, those that choose to spend their EECBG Program funds exclusively on “key activities” listed in the blueprints should expect a streamlined and expedited application review. Blueprints listed within DOE-prepared NEPA Statements of Work (See Section 6.3 G) may receive a streamlined NEPA review. DOE will provide resources such as webinars, trainings, tools, and additional support along these topic areas.

The blueprints are designed to achieve several goals: 1) guide grantees towards high-impact and effective projects and programs; 2) focus DOE’s technical assistance and support in key areas; 3) support grantees as they leverage other BIL and Inflation Reduction Act (IRA) investments; and 4) streamline the application review and approval process for eligible entities. The blueprints span a wide variety of topic areas: energy planning, energy efficiency, renewable energy, transportation infrastructure, workforce and economic development, and financing.

Blueprint Topics:³⁸

1. Energy Planning
2. Energy Efficiency
 - A. Energy Efficiency: Energy Audits and Building Upgrades
 - B. Energy Savings Performance Contracts: Energy Efficiency and Electrification in Government Buildings
 - C. Building Electrification Campaign
 - D. Building Performance Standards & Stretch Codes
3. Renewables
 - A. Solar & Storage – Power Purchase Agreements and Direct Ownership
 - B. Community Solar
 - C. Solarize Campaign
 - D. Renewable Resource Planning for Rural and Tribal Communities
4. Transportation
 - A. Electric Vehicles and Fleet Electrification
 - B. EV Charging Infrastructure for the Community
5. Unlocking Sustainable Financing Solutions for Energy Projects and Programs with Revolving Loan Funds
6. Workforce Development

Key activities: Under each blueprint, DOE has identified key activities that are critical to successful program or project implementation. These activities have been reviewed and vetted as eligible uses of EECBG Program formula award funds. Activities listed within the NEPA Statements of Work (SOW) may not require additional NEPA review for initial approval, provided that the scope of proposed activities adheres to the NEPA determination, including DOE’s Historic Preservation Programmatic

³⁸ This list shows current Blueprints by topic area. Blueprint topic areas may be added or revised, based on grantee and stakeholder interests, and effectiveness in achieving program goals.

Agreements (see Section 6.3.G). Projects involving public works or infrastructure may be subject to Build America, Buy America and Davis Bacon Act requirements. **Entities may choose to follow one or more blueprints and spend their EECBG Program funds on the recommended activities, which are pre-determined as eligible uses of EECBG Program funding. Doing so may lead to an expedited process for reviewing applications.**

See “Appendix 2” for a chart that outlines blueprint topic areas and the key activities for a streamlined approval process. Streamlined approval means DOE has determined that these activities fall within categories of eligible EECBG Program activities. Activities listed within DOE-prepared Statements of Work would receive a streamlined NEPA review. Applicants must read their NEPA determination included in their award documents, which is DOE’s form that records DOE’s NEPA review of a project or activities. Applicants may be required to complete additional NEPA documentation.

For more information, please see the [EECBG Program Blueprints webpage](#).

5.0 FUNDING

Funding for all awards and future budget periods is contingent upon the availability of funds appropriated by Congress for the purpose of this program.

5.1 IIJA FORMULA ALLOCATIONS

The Infrastructure Investment and Jobs Act, Section 40552 provides \$550 million for EECBG Program for fiscal year 2022, to remain available until expended. DOE will distribute \$440 million in formula and competitive EECBG Program funding to eligible units of local government, states, and Indian Tribes. Of the amount appropriated by IIJA, DOE will allocate funds as prescribed in section 543 of EISA:

- 34% to eligible units of local government-alternative 1 through formula grants;
- 34% to eligible units of local government-alternative 2 through formula grants;
- 28% to states through formula grants;
- 2% to Indian Tribes through formula grants; and
- 2% for competitive grants to ineligible local governments and Indian Tribes.³⁹

IIJA allocations for EECBG Program direct formula awards from the DOE, as adjusted, are based on the following funding amounts:

- \$299,200,000 for formula awards to eligible units of local government
 - \$149,600,000 to eligible units of local government-alternative 1
 - \$149,600,000 to eligible units of local government-alternative 2
- \$123,200,000 for formula awards to states
 - Each state (except for those noted as exempt in section 6.3 E) is required to pass not less than 60% of its allocation through to cities and counties within the state that are ineligible for direct formula grants from DOE
- \$8,800,000 for formula grants to eligible Indian Tribes

Individual state, local and Tribal EECBG Program allocations are included as an attachment to this document. See the [Federal Register Notice 87 FR13859](#) issued on June 29, 2022, for the allocation formulas.

³⁹ 42 U.S.C. 17153(a).

5.2 COST MATCH

Cost match is not required for the EECBG Program. DOE encourages eligible entities to consider how they may leverage philanthropic and private sector funding to advance their goals and amplify the impact of the IIJA funding and include strategies to facilitate it to the extent practicable in the plans they are submitting for IIJA Section 40552 funding. DOE may provide ideas and assistance toward eligible entities' efforts during the application phase and implementation of the IIJA EECBG funds.

5.3 PROGRAM INCOME

DOE allows eligible entities to earn income in connection with EECBG Program activities to defray program costs. If the Local strategy or program activities (e.g., loan funds) includes such activities, entities should include an estimated amount of earned income in the budget portion of their application for financial assistance. Program income is defined in federal regulations as gross income earned by the recipient that is directly generated by a supported activity or earned because of the award. Program income includes but is not limited to:

- Income from fees for services performed.
- The use or rental of real or personal property acquired with grant funds.
- The sale of commodities or items fabricated under a grant agreement.
- License fees and royalties on patents and copyrights.
- Payments of principal and interest on loans made with grant funds.

Program income does not include interest on grant funds except as otherwise provided in this subpart, program regulations, or the terms and conditions of the award. Nor does it include rebates, credits, discounts, refunds, etc., or interest earned on any of them.

(See [2 CFR Part 200.80](#) and [2 CFR Part 200.307](#) for further information.)

6.0 APPLICATION INSTRUCTIONS FOR IIJA EECBG PROGRAM FORMULA GRANTS

6.1 OVERVIEW

The application package for EECBG Program grants consists of the materials shown in Section 6.3, and includes the application for financial assistance, the budget, proposed energy efficiency and conservation strategy (if submitted at time of application) and required supporting documents. Applications must be submitted in accordance with the IIJA EECBG PROGRAM ALRD. Application due dates are identified on the cover page of the ALRD.

As a reminder, application documents, forms, and data submitted to the EECBG Program may be made available to the public at DOE's discretion, following all applicable laws and regulations that protect confidential or proprietary information.

6.2 APPLICATION REVIEW PROCESS

DOE will process EECBG Program applications for grants and vouchers on a rolling basis beginning January 18, 2023.

Grant Award Application Reviews Prioritization and Phasing

To assist in planning and phasing the processing of award applications, DOE is establishing four application periods for submission of grant applications. Applicants that meet one or more of the priority categories (see below), including Indian Tribes, may apply in Periods 1 or 2. All States must apply in Period 1 or 2. All other Applicants may apply in Periods 3, 4, or 5.

Application Period	Application Submittal Timeframe	Applications Accepted
1	January 18, 2023 – April 28, 2023	State, Local Government and Tribal applications in one or more priority categories (see below)
2	June 1, 2023 – July 31, 2023	
3	Sept 1, 2023 – Oct 31, 2023	All other Local Government and Tribal applications
4	December 1, 2023 – Jan 31, 2024	
5	March 1, 2024 – April 30, 2024	
6	May 1, 2024 – May 31, 2025	All other Tribal applications

Grant Applications will be accepted on a rolling basis, and DOE will prioritize its review of applications based on the order in which complete applications are received and as follows:

1. States⁴⁰
2. Entities following blueprints
3. Teams
4. Entities with activities benefitting disadvantaged communities
5. Entities with activities limited to Energy Efficiency and Conservation Strategy Development, Technical Consultant Services (or other activities strictly limited to planning, analysis, and stakeholder engagement).
6. All other

Applicants are strongly encouraged to review the application instructions and submit complete applications. Submission of incomplete applications may result in a significant delay in processing individual grant awards.

Note: Due to the volume of applications, DOE may not review an application immediately upon submittal. Once a complete application is received and reviewed by DOE, it typically takes up to 60 days to process a formula grant. Applications are not necessarily considered complete upon submission. For additional information on application requirements, see the application instructions, which includes a pre-award checklist.

6.3 EECBG PROGRAM GRANT AWARD APPLICATION

The EECBG Program Formula Application (for grant awards only) consists of:

- Standard Form 424 (Application form)
- Standard Form 424A (Budget summary)
- Budget Justification

⁴⁰ Expedited review of State applications will enable speedier subgrants to other local governments

- Energy Efficiency and Conservation Strategy⁴¹
- EECBG Program Activity File
- Application attachments:⁴²
 - Certifications regarding lobbying
 - Authorized Applicant Assurance Letter
 - Davis-Bacon Act Assurance Letter
 - National Environmental Policy Act (NEPA) Statement of Work
 - Electronic copy (or web link) to the applicant's latest single or program-specific audit as required by 2 CFR 200 Subpart F⁴³
 - An environmental questionnaire (if applicable)
 - Pre-Award Information Sheet

Note: applicants choosing a Voucher will use a streamlined application submitted through an application portal that DOE anticipates will open in late 2023. Additional information on the Voucher application process and contents can be found in the [EECBG Program Voucher Handbook and application templates available on the following website, https://www.energy.gov/scep/eccbg-program-formula-grant-application-hub](#).

DOE financial assistance regulations govern all funds budgeted in the EECBG Program Application, whatever their source. All funds must be spent on the activities described in the Application and addressed in the financial and performance reports required under the grant.

6.3. A. STANDARD FORM 424 (APPLICATION)

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. Applicants should select "New" in section 2.c.

The list of certifications and assurances referenced in Field 21 may be found [here](#). Please verify compliance with Intergovernmental Review ([SPOC List](#)).

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.**

6.3. B. STANDARD FORM 424A (BUDGET)

The budget includes Standard Form 424A Summary which includes a Budget Justification. Each of these forms should be completed following the guidelines set out below.

⁴¹ Local and Tribal governments have the option to submit an Energy Efficiency and Conservation Strategy with their application or within one year of their award date. Entities that choose the latter option should include an Activity File describing their intention to develop a Strategy within this timeframe in their application.

⁴² See Appendix 1 for a complete checklist of application materials, including attachments. DOE has prepared templates for several of these attachments, which are available under "Direct Grant Application Templates" on the [EECBG Program Formula Grant Application Hub](#).

⁴³ For additional information, see CFR § 200.501, Audit requirements. "A non-Federal entity that expends \$750,000 or more during the non-Federal entity's fiscal year in Federal awards must have a single or program-specific audit conducted for that year in accordance with the provisions of this part."

Standard Form 424A: Applications must include a budget for all funds. It should be completed as follows:

- Section A: Budget Summary Lines 1-4, Columns (a) through (g). On line 1, enter new DOE funds. Section B: Budget Categories. Separate column headings (with the same name as the rows in Section A) should be utilized for each funding source. The total in Column G, Section A, must equal the total of all columns in Section B.

Budget Justification: The Budget Justification consists of a detailed explanation of the object class categories listed in line 6, Section B, of Standard Form 424A. In preparing the Budget Justification, states should address the following as requested for each budget category.

Personnel: Identify all positions to be supported by title and the amounts of time (e.g., % of time) to be expended on EECBG Program activities, 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.

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). established computation methodology approved for your jurisdiction, provide a copy with the SF424 Application.

Travel: Provide the purpose of travel, such as professional conference(s), DOE sponsored meeting(s), project monitoring, etc. Identify the number of trips, and the destination/location if known. Provide the basis for the travel estimate such as past trips, current quotations, federal or state travel regulations, etc. All listed travel must be necessary or beneficial to the performance of the EECBG Program. All foreign travel must be identified and requires pre-approval.

Equipment: Equipment is defined as an item with an acquisition cost greater than \$5,000 and a useful life expectancy of more than one year. List all proposed equipment and briefly justify its need as it applies to the objectives of this award. Provide a basis of cost such as vendor quotes, catalog prices, prior invoices, etc. If the equipment is being proposed as cost match and was previously acquired, provide the value of its contribution to the project and a rationale for the estimated value shown. If it is new equipment that will retain a useful life upon completion of the project, provide a rationale for the estimated value shown. Also, indicate whether the equipment is being used for other projects or is 100% dedicated to this project.

Supplies: Supplies are defined as items with an acquisition cost of \$5,000 or less or a useful life expectancy of less than one year. Supplies are generally consumed during the project performance. List all proposed supplies and the estimated cost and briefly justify the need for the supplies as they apply to the objectives of this award. Supply items must be direct costs to the project and not duplicative of supply costs included in the indirect pool that is the basis of any indirect rate applied for this project. Provide a basis of cost for each item listed. Examples include vendor quotes, prior purchases of similar or like items, published price list, etc.

Contractual: All sub-recipients, vendors, contractors and consultants and their estimated costs should be identified. 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 activity the work or service falls under. Include the basis of cost for each item listed (competitive, historical, quote, catalog, etc.).

Other Direct Costs: Other direct costs are direct cost items required for the project that do not fit clearly into other categories. These direct costs must not be included in the indirect costs (if indirect costs are proposed for this project). Examples are conference fees, meetings within the scope of work, subscription costs, printing costs, etc. that can be directly charged to the project and are not duplicated in indirect (overhead) costs. Provide a general description, cost, and justification of need for each direct cost item. Provide a basis of cost for each item. Examples include vendor quotes, prior purchases of similar or like items, published price list, etc.

Indirect Costs: If the indirect cost rate has been approved by a federal agency, identify the agency and the date of the latest rate agreement and submit a copy of the agreement with the application. If the indirect cost rate has not been approved by a federal agency, provide the basis for computation of rates including the types of benefits to be provided, the rate(s) used and the cost basis for each rate.

6.3. C. ENERGY EFFICIENCY AND CONSERVATION STRATEGY

Per [section 545 of EISA](#), each eligible unit of government that receives funding under this program must submit an Energy Efficiency and Conservation Strategy for approval by DOE that meets the guidelines outlined below.⁴⁴

Eligible Units of Local Governments and Indian Tribes: Proposed Energy Efficiency and Conservation Strategy (EECS)

Units of local government and Indian Tribes must submit to the DOE a proposed EECS. The proposed strategy shall include:

- a description of the goals of the eligible unit of local government or Indian Tribe for increased energy efficiency and conservation in the relevant jurisdiction; and
- a plan for the use of the grant to assist the eligible unit of local government or Indian Tribe in achieving those goals in accordance with the eligible use of funds outlined in [section 544](#) of EISA.⁴⁵

The EECS can be submitted through one of two methods:

- a) submit the EECS with the application through the PAGE application system; or
- b) submit the EECS not later than 1 year after the effective date of the award.

If an entity chooses option B, the entity must submit an EECBG Program Activity File with their application and select Activity 1 (Energy Efficiency and Conservation Strategy). The EECS should be a comprehensive strategy that covers, at a minimum, all items detailed in the EECS Template provided by DOE. DOE will provide informational resources and technical assistance to support the development of comprehensive strategies.

Eligible Units of Local Government: Additional EECS Requirements

In developing the strategy, section 544 of EISA directs that an eligible unit of local government shall:

- take into account any plans for the use of funds by adjacent eligible units of local governments that receive grants under the EECBG Program; and

⁴⁴ 42 U.S.C. 17155(b).

⁴⁵ 42 U.S.C. 17155(b)(1)(B).

- coordinate and share information with the State in which the eligible unit of local government is located to maximize the energy efficiency and conservation benefits.⁴⁶

DOE has provided a streamlined EECS Template that local governments and Indian Tribes may use when submitting their EECS, but the template is not required. If an entity chooses to submit an EECS using an alternative format, the information outlined in Part A of the EECS Template must be included in the submission. DOE has a maximum of 120 days after receiving a complete proposed strategy to approve or disapprove it. If DOE disapproves a proposed strategy, DOE shall provide to the grantee the reasons for the disapproval, and the grantee may revise and resubmit the proposed strategy as many times as necessary until DOE approves a proposed strategy.

States and Territories: Revision of the State Energy Conservation Plan

DOE has determined that states are already meeting the requirement outlined in 42 U.S.C. 17155(c)(2)(A) through their annual reporting for the State Energy Program.

States and Territories: EECS Requirements

States and Territories must submit to DOE a proposed EECS that:

- 1) establishes a process for providing subgrants to units of local government that are not eligible for direct formula grants from DOE; and
- 2) includes a plan of the state for the use of funds received under the EECBG Program to assist the state in achieving the goals established in EISA, in accordance with EISA section 545(c)(2)(B).⁴⁷

DOE has provided a streamlined EECS Template that states and territories may use when submitting their EECS, but the template is not required. If an entity chooses to submit an EECS using an alternative format, the information outlined in Part A of the EECS Template must be included in the submission. DOE has a maximum of 120 days after receiving a complete proposed strategy to approve or disapprove it. If DOE disapproves a proposed strategy, DOE shall provide to the state the reasons for the disapproval, and the state may revise and resubmit the proposed strategy as many times as necessary until DOE approves a proposed strategy.

6.3. D. EECBG PROGRAM ACTIVITY FILE

As program-wide performance indicators are valuable to all EECBG Program stakeholders, metrics are an important element of formula grant reporting. For additional information, see the EECBG Program website for reporting guidance.

“Unpaired” metrics should be avoided. For example, if an eligible entity reports the number of buildings retrofitted, the square footage retrofitted must be included as well. DOE is working to identify metrics for future reporting on how EECBG Program-funded investments by recipients of DOE financial assistance impact additional topics including energy equity and environmental justice and how they relate to disadvantaged communities. DOE will provide guidance and technical assistance to assist eligible entities in addressing these metrics.

EECBG Program applicants are encouraged to consult with the EECBG Program to identify metrics that best capture the work they will be performing. EECBG Program activities that do not fit well into the metrics section should be reported in the Milestones section. Entities should list planned milestones in the Activity Milestones section in their applications. If entities are proposing use of EECBG Program funds

⁴⁶ 42 U.S.C. 17155(b)(1)(C).

⁴⁷ 42 U.S.C. 17155(c)(2)(B).

to develop their EECS, the EECS should be listed as a separate activity with all subsequent project activities following the EECS completion milestone. Approval of the EECS by DOE is required prior to initiating any EECBG Program project activities.

For each Activity, applicants should identify the dollar amounts allocated. The sum of the budgets of each Activity must equal the totals in Section A of the SF424A.

6.3. E. LIMITATIONS

Administrative Expenses

Grantees should use their established definitions of “administrative expenses”. States may not use more than 10 percent of amounts provided under the program for administrative expenses⁴⁸). Units of local government and Indian Tribes may not use more than 10 percent or \$75,000, whichever is greater, for administrative expenses.⁴⁹ EECBG Program funds may be used for compensation of employees or contractors. Whether or not the administrative cost cap applies depends on the nature of the responsibilities of the staff hired. Administrative activities are those that cannot be identified with any single program but are necessary to the general conduct of the activities of the entity organization; this could include such items as the overall direction of the organization, record keeping, budgeting, and business management.

States and Territories: Distribution of Subgrants

Each state that receives a grant under the program shall use not less than 60% of the amount received to provide subgrants to units of local government in the state that are not eligible for direct formula grants. The state shall provide the subgrants no later than 180 days after the date on which DOE approves the proposed energy efficiency and conservation strategy.⁵⁰

States are required to develop a subgranting process that expeditiously allocates funding, prevents fraudulent spending, generates robust reporting, and promotes the EECBG Program principles outlined in law.

The District of Columbia is explicitly included in the definition of a state, according to [section 541\(6\)\(B\)](#) of EISA.⁵¹ Because the District of Columbia is a consolidated city-state government, it is not subject to the requirement applicable to states that not less than 60% of state funding must be subgranted to local units of government.

American Samoa, the Commonwealth of the Northern Mariana Islands, Guam, Hawaii, and the U.S. Virgin Islands have no eligible entities; these entities are exempt from having to provide subgrants.

⁴⁸ 42 U.S.C. 17155(c)(4).

⁴⁹ 42 U.S.C. 17155(b)(3)(A).

⁵⁰ 42 U.S.C. 17155(c)(1).

⁵¹ 42 U.S.C. 17151(6)(B).

Summary of Limitations on Use of Funds

	State	Formula-eligible unit of local government and Formula-eligible Indian Tribe	Formula-ineligible unit of local government and Formula-ineligible Indian Tribe
Limit on administrative expenses including the cost of the reporting requirements	Not more than 10% of the amounts provided to the State	Not more than the greater of a. 10% of the amount provided to the eligible unit of local gov't (or eligible Tribe); or b. \$75,000	None
Amount required to be provided as subgrants to formula-ineligible units of local government	Not less than 60% of the amount provided to the State (subgrantees must be within the jurisdiction of the State)	None	None

6.3. F. OTHER FORMS

The following files should be submitted as attachments with your application if applicable:⁵²

1. Indirect Rate Agreement or Rate Proposal
2. [Certifications regarding Lobbying \(SF-LLL Disclosure Form to report lobbying\)](#)
3. A document providing the name, phone number and email address of the Program Manager and Business Officer
4. Pre-Award Information Sheet
5. Authorized Applicant Assurance Letter
6. Davis-Bacon Act Assurance Letter
7. National Environmental Policy Act (NEPA) Statement of Work

6.3. G. NATIONAL ENVIRONMENTAL POLICY ACT INFORMATION

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 the National Historic Preservation Act (NHPA) and effects on threatened and endangered species, pursuant the Endangered Species Act (ESA). 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. Entities should review and follow the NEPA determination in their award documents for restrictions and requirements.

DOE has developed a NEPA and Historic Preservation training website with PowerPoint presentations, sample template documents (including a NEPA log, project scope of work, and a project layout), forms (EECBG NEPA logs and Historic Preservation Worksheet), a Word document of an Environmental Questionnaire-1 (EQ1) and an EQ1 submission guide. Applicants are responsible for completing mandatory online NEPA training and reviewing the sample documents provided at

⁵² DOE has prepared templates for several of these attachments, which are available under “Direct Grant Application Templates” on the [EECBG Program Formula Grant Application Hub](#).

www.energy.gov/node/4816816 prior to initiating projects. Recipients may contact the NEPA team with any questions at EECBG.NEPA@ee.doe.gov. NEPA applies to subgrantees and 3rd party loan administrators, these entities should also review the NEPA training website prior to initiating projects.

All states and most territories have a DOE executed Historic Preservation Programmatic Agreement (PA) to assist DOE with historic preservation compliance. The territory of Guam and Indian Tribes do not have a PA. EECBG Program applicants that do NOT have a PA must follow the added restrictions in the NEPA determination to ensure compliance with the National Historic Preservation Act. All PAs and amendments can be found at <https://www.energy.gov/node/812599>.

For most applicants there are two paths to complete a NEPA review for EECBG Program activities: 1) entities determine and document that a project falls within one of the Additional Activities or Blueprints listed within one of the EECBG NEPA Statements of Work (SOW), or 2) entities determine a project does not fit within an EECBG NEPA SOW and submit an Environmental Questionnaire (EQ-1) in the Project Management Center for DOE to complete an individual NEPA review. EECBG Program recipients will receive approval from a DOE Contracting Officer with a NEPA determination for their records. All paths require a documented NEPA review.

DOE has prepared four SOWs, which are described below. In order to utilize an SOW instead of an individual NEPA review, an applicant's proposed activities must adhere to all conditions and parameters listed within their State or Territory's PA and the SOW they select.

DOE has prepared eight Statements of Work (SOWs) which correspond to eight NEPA determinations covering a variety of EECBG Program activities and applicant scenarios. A recipient's NEPA determination will be based on their SOW selection. If an Applicant is proposing activities not listed within one of the SOWs, an EQ-1 submittal is required to initiate an individual NEPA review.

The following list of SOWs is applicable to applicants applying for a **Formula Grant**. The contents of these SOWs may be slightly different than the NEPA Determination. The NEPA Determination included in each recipient's award documents must be followed:

1. Non-Tribal Statement of Work WITH Historic Preservation Programmatic Agreement and WITH Ground-Disturbing Activities
2. Non-Tribal Statement of Work WITH Historic Preservation Programmatic Agreement and NO Ground-Disturbing Activities
3. Non-Tribal Statement of Work WITHOUT Historic Preservation Programmatic Agreement and WITH Ground Disturbance
4. Tribal Statement and non-Tribal Statement of Work WITHOUT Historic Preservation Programmatic Agreement and NO Ground Disturbance

The following list of SOWs is applicable to applicants applying for an **equipment rebate voucher**. The contents of these SOWs may be slightly different than the NEPA Determination. The NEPA Determination included in each recipient's award file must be followed:

1. Equipment Rebate Non-Tribal Statement of Work WITH Historic Preservation Programmatic Agreement and WITH Ground-Disturbing Activities
2. Equipment Rebate Non-Tribal Statement of Work WITH Historic Preservation Programmatic Agreement and NO Ground-Disturbing Activities
3. Equipment Rebate Non-Tribal Statement of Work WITHOUT Historic Preservation Programmatic Agreement and WITH Ground Disturbance
4. Equipment Rebate Tribal and Non-Tribal Statement of Work WITHOUT Historic Preservation Programmatic Agreement and NO Ground-Disturbing Activities

Applicants applying for a **technical assistance voucher** will be issued a standard NEPA determination in their award file and do not need to include a NEPA Statement of Work with their application.

Recipients proposing ground disturbing projects (operating under SOW 1 or SOW 3) must document all activities (via a NEPA log) to ensure compliance with the requirements of their NEPA Determination. Templates for EECBG Program NEPA logs can be found at <http://www.energy.gov/node/4816816> . <mailto:NEPALogs@ee.doe.gov> While completing NEPA log entries, recipients 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 C.F.R. Part 1021, Appendix B) as they relate to a particular Project; compliance with Section 106 of the NHPA and 10 CFR Part 1022.4—Compliance with Floodplain and Wetland Environmental Review Requirements, as applicable. The NEPA logs must be available for DOE review upon request and must be submitted quarterly to EECBG.NEPA@ee.doe.gov and your DOE Project Officer. NEPA reviews must be completed prior to initiating project activities; this includes DOE NEPA reviews and recipient reviews documented in their NEPA log. Project expenses incurred without a DOE NEPA review **may be deemed unallowable and recipients may be required to repay any unallowable funds to DOE.**

All recipients must adhere to the requirements included in the “Historic Preservation” term included in the Special Terms and Conditions of the financial assistance agreement. This includes compliance with the DOE Historic Preservation Programmatic Agreements (PA) applicable to their State or Territory. All recipients, regardless of having a PA, are required to submit an annual Historic Preservation Report. Grant recipients will submit annual Historic Preservation Reports through PAGE. Voucher recipients will submit annual Historic Preservation Reports through a form provided by DOE.

7.0. APPLICATION FORMAT AND CHANGES (FORMULA GRANTS)

Note: See section 9.0 below for information related to vouchers. Equipment rebate and technical assistance voucher applicants will submit streamlined applications through an application portal that DOE anticipates will open in late 2023.

7.1. A. CONTENT AND FORM OF APPLICATION

EECBG Program grant applications must be submitted via the PAGE online system [here](#). All grant applicants must first establish an account in PAGE to submit an application. Instructions will be submitted to the authorized contact, as designated in the applicant’s pre-application information sheet.

The PAGE Help System has detailed instructions for creating and submitting an EECBG Program application. The Help instructions can be found in PAGE by selecting ‘help’ from the blue horizontal menu bar, and under the Contents in the left panel selecting ‘EECBG’ and the subtopic for ‘New Grant Application’.

From the Home PAGE, select ‘Create New Application.’ Then, select the ‘Add New Application Package’. Once the application has been completed, be sure to validate and submit the application.

7.1. B. OTHER SUBMISSION AND REGISTRATION REQUIREMENTS

Submission of application documents and award documents, including modifications, through electronic systems used by the DOE, including PAGE, FedConnect, constitutes the authorized representative’s approval and acceptance of the terms and conditions of the award. Award acknowledgement via FedConnect constitutes the authorized representative’s electronic signature.

7.1. C. QUESTIONS/AGENCY CONTACTS

Questions relating to the registration process, system requirements, how an application form works, or the submittal process must be directed to the PAGE hotline at 866-492-4546, or page-hotline@ce.doe.gov. Entities should contact the EECBG Program with specific questions at the contacts provided below.

EECBG Program email: eecbg@hq.doe.gov

EECBG NEPA email: EECBG.NEPA@ce.doe.gov

For general information regarding the EECBG Program, please visit the [EECBG Program website](#).

8.0 REPORTING REQUIREMENTS

Reporting requirements for each eligible entity are identified on the Financial Assistance Reporting Checklist (FARC), DOE EERE 355, attached to the award agreement.

Additional information and guidance that addresses the scope and purpose of reporting for EECBG Program formula grants and vouchers is available on the [EECBG program website](#).

Awards initiated since 10/1/2010 are subject to the requirement of Reporting Subawards and Executive Compensation at <https://www.fsr.gov>. Please see Part V.C. of the Administrative and Legal Requirements Document (ALRD) for additional information.

9.0 VOUCHERS

9.1 PURPOSE

DOE has sought to simplify and streamline the process for entities that choose a voucher in lieu of a grant. Entities that opt into a voucher are not required to apply for and administer a direct federal grant. Entities choosing vouchers will submit a separate application using a streamlined process with reduced documentation, monitoring and reporting requirements compared to applying for and administering a federal grant. DOE anticipates the voucher application portal will open in late 2023. For example, if an entity opts in for a voucher, entities that have never managed a federal grant before will not be required to establish the necessary financial management systems, including accounting for federal funds, invoicing, and internal audits typically needed to comply with federal grant management requirements as described in the following regulations:

- 2 CFR §200.302 Financial management
- 2 CFR §200.303 Internal controls
- 2 CFR § 200,305 Federal payment
- 2 CFR §200.232 Requirements for pass-through entities 2 CFR §200.344 Closeout
- 2 CFR §200.345 Post-closeout adjustments and continuing responsibilities.
- 2 CFR § 200 Subpart F – Audit Requirements.

9.2 A. TECHNICAL ASSISTANCE VOUCHERS

Vouchers for technical assistance will be used to access support from experts, across a wide array of high-value opportunities in energy efficiency, renewable energy, transportation, and related areas. Activities will fit into the following broad categories:

- Policy, Planning & Program Design
- Building Retrofits Planning and Design
- Engineering and Modeling

- Community and Stakeholder Engagement
- Program Administration and Implementation Support

9.2 B. VOUCHERS FOR EQUIPMENT REBATES

Vouchers for equipment purchase and installation rebates will also be available to reimburse entities for the purchase of energy-related equipment used to meet the program goals. Equipment eligible for rebates will span a wide range of technologies that are deployed to lower fossil fuel use or increase energy efficiency. Examples include:

- Efficient materials and technologies used to retrofit buildings such as HVAC equipment, air source heat pumps, heat pump water heaters, windows, doors, insulation, and other weatherization materials;
- Electric vehicles and electric vehicle charging stations and equipment;
- Equipment for renewable energy installations, including wind, solar, and storage;
- Metering equipment; and
- Ancillary equipment such as electric system upgrades to accommodate technology installations.

Voucher applications must be reviewed and approved, including a NEPA review and approval. If activities are not listed within one of the Voucher NEPA SOWs, and Environmental Questionnaire (EQ-1) must be submitted through the PMC for an individual NEPA review. A NEPA determination (i.e., the DOE form that documents DOE's NEPA review of a project or activities) must be received prior to the purchase or installation of equipment to be eligible for reimbursement.

9.3 VOUCHER APPLICATION PROCESS

A complete description of the voucher application process and contents can be found in the [EECBG Program Voucher Handbook](#) and application templates available are on the [website](#). Voucher applications will be accepted on a rolling basis, and review of applications will be prioritized as follows:

- Teams opting into vouchers
- Voucher applicants following one or more EECBG Program Blueprints
- Entities opting for vouchers with >40% of their program benefits going to disadvantaged communities
- All other Local or Tribal entities choosing a voucher

In addition, applications that propose and prioritize activities that will benefit disadvantaged communities may be considered higher priority and may be reviewed before other applications.

Applicants are strongly encouraged to review the application and submit complete applications. Submission of incomplete applications may result in a significant delay in processing individual grant awards.

A comparison of the necessary application documents and some administrative steps needed for a grant vs. a voucher is shown in Appendix I. While entities choosing a voucher must still submit and receive approval for their Energy Efficiency and Conservation Strategy as described below, they will follow a simplified application process to receive a voucher, which briefly describes their voucher selection, its intended use, and expected outcomes, such as energy savings, job creation, leveraged funds and benefits to disadvantaged communities.

DOE strongly encourages the following local and Tribal entities to consider the voucher option for their formula award:

1. Entities with limited or no experience managing federal grant awards
2. Entities with limited internal staff or local capacity to manage an EECBG Program formula grant over multiple years
3. Entities receiving EECBG Program award allocations of \$250,000 or less

10.0 CONCLUSION

The EECBG Program seeks to support communities on their path to clean energy and decarbonization. The EECBG Program will assist States, local governments, and Indian Tribes as they advance efficient and effective programs to develop and deploy equitable and inclusive community energy savings strategies, clean energy infrastructure investments and projects. Through the EECBG Program, DOE will provide direct funding, technical assistance, and local, regional, and national coordination support to States, Local Governments and Indian Tribes and their stakeholders to build a clean and equitable energy economy that enhance United States competitiveness, drive the creation of good-paying union jobs, tackle the climate crisis, and ensure stronger access to economic, environmental, and other benefits for disadvantaged communities and promotes equity and inclusion in workforce opportunities and deployment activities, as identified in the Biden Administration's Justice40, job growth and quality, and DEIA goals.

DOE looks forward to continuing to work with its State, Local and Tribal partners to implement new and innovative approaches that achieve sustained progress toward energy savings, carbon emissions reductions, and building more equitable and inclusive communities.

Henry McKoy, Director
Office of State and Community Energy Programs
Office of the Under Secretary for Infrastructure
U.S. Department of Energy

REFERENCE MATERIAL

IIJA EECBG Administrative and Legal Requirements Document
IIJA EECBG Program Formula Allocations
IIJA EECBG Program Pre-Award Information Sheet
IIJA EECBG Program Energy Efficiency and Conservation Strategy Templates
IIJA EECBG Program NEPA Statements of Work

APPENDIX 1: APPLICATION MATERIALS CHECKLIST

Grant ⁵³	Voucher ⁵⁴
Register in SAM (allow several weeks)	
Obtain DUNS number for all prime and sub awardees	
Obtain EIN and UEI number	
Register in FedConnect	
Register in PAGE	
Contact information for Principal Investigator and Business Officer	Contact information for Principal Investigator and Business Officer
Teaming partners (if applicable)	Teaming partners (if applicable)
Energy Efficiency and Conservation Strategy	Energy Efficiency and Conservation Strategy
EECBG Program Activity file	For TA voucher: Summary description of the technical assistance request, including a proposed scope of work and budget. For Rebate: Summary description of the requested equipment, proposed location and facility type (i.e., municipal building, school, commercial or residential building, or site) and estimated cost
Verify compliance with Intergovernmental Review SPOC list	
EECBG Program Pre-Award Information Sheet	EECBG Program Pre-Award Information Sheet (Voucher sections only)
Standard Form 424 (Application form)	EECBG Formula Program Voucher Application
Standard Form 424A (Budget summary)	
Budget Justification: - Personnel, fringe benefits, travel, equipment, supplies, contractual, other direct costs, indirect costs	
Authorized Applicant: (Assurance Letter or Tribal Resolution)	
Assurance Letter: Davis Bacon Act	
A link to the applicant's latest single audit as required by 2 CFR 200 Subpart F	
NEPA Statement of Work (for expedited reviews)	
NEPA Environmental Questionnaire (EQ-1), if directed to submit	NEPA environmental questionnaire (EQ-1), If directed to submit.

⁵³ Templates for many of the required grant application materials are available on the website, <https://www.energy.gov/scep/eeecbg-program-formula-grant-application-hub>.

⁵⁴ A complete description of the voucher application process and contents can be found in the [EECBG Program Voucher Handbook](#) and application templates available on the website, <https://www.energy.gov/scep/eeecbg-program-formula-grant-application-hub>.

Indirect Rate Agreement or Rate Proposal (if applicable)	
Certifications regarding Lobbying (SF-LLL Disclosure Form to report lobbying)	

APPENDIX 2: BLUEPRINTS – TOPICS AND KEY ACTIVITIES WITH STREAMLINED REVIEWS⁵⁵

Blueprint Topic	Key Activities with Streamlined Reviews
1. Energy Planning	Energy data collection to assist in reducing fossil fuel emissions, reducing total energy use, or improving energy efficiency
	Develop energy vision, goals, and strategies
	Stakeholder engagement, education, and outreach
	Write, adopt, and publicize energy plan
2.A. Energy Efficiency: Energy Audits and Building Upgrades	Building energy assessments
	Energy audits
	Building upgrades, including energy efficiency, grid-interactivity, and electrification upgrades (as defined below)
2.B. Energy Savings Performance Contracts: Energy Efficiency and Electrification in Government Buildings	Explore potential future financing options
	Procurement of energy savings performance contractor and legal support/technical assistance
2.C. Building Electrification Campaign	Develop energy retrofit goal and strategies, e.g., how to reach disadvantaged or low-income residents or small businesses
	Bulk procurement of building energy efficiency and electrification equipment (as described below) to be installed by for-profit and non-profit installers and contractors
	Procurement, legal and technical support and assistance
	Communications and website development
	Program education, outreach, and advertising
2.D. Building Performance Standards & Stretch Codes	Stakeholder engagement, education, and outreach
	Data collection & benchmarking
	Metric selection and target setting
	Determine compliance and enforcement approach
3.A. Solar & Storage: Power Purchase	Site assessment
	Project savings assessment

⁵⁵ For more information, please see the [EECBG Program Blueprints webpage](#)

Agreements and Direct Ownership	Procurement & legal support
	Installation of solar systems & battery storage (Limited to solar projects ≤60kW and 1,000kWh battery storage, with further restrictions defined below)
3.B Community Solar	Site assessment
	Stakeholder engagement, education, and outreach
	Procurement of developer, legal and technical support
	Communications, program education and promotion, including advertising and program website development
	Installation of solar panels (Limited to projects ≤60kW with further restrictions defined below)
3.C. Solarize Campaign	Design program details, including financing options for customers and how to support low-income customers and EJ communities
	Stakeholder engagement through education and outreach
	Procurement of developer & legal, technical support
	Program education, outreach, and advertising
3.D. Renewable Resource Planning for Rural and Tribal Communities	Stakeholder engagement through education and outreach
	Plan development & publication
	Preliminary resource planning and siting assessments
4.A. Electric Vehicles and Fleet Electrification	Develop fleet replacement plan, including stakeholder engagement and input
	Siting planning and preliminary assessments
	Develop utility data sharing agreement
	Develop charging plan including cost assessment of electric bill
	Procurement, legal, and technical support to purchase EVs and EVSE
	Installation of electric vehicle supply equipment (further restrictions listed below)
4.B. EV Charging Infrastructure for the Community	Procurement, legal and technical support to purchase EVSE
	Siting plan and site assessments
	Stakeholder engagement through education and outreach
	Installation of electric vehicle supply equipment (EVSE) (further restrictions listed below)
	Communications and program promotion
5. Unlocking Sustainable Financing Solutions for Energy Projects and Programs with Revolving Loan Funds	Market analysis; programmatic research and design
	Stakeholder engagement through outreach and education
	Legal and technical support
	Program evaluation
	Program design, and curriculum development

6. Workforce Development	Stakeholder engagement through education, outreach, and program advertising
	Paying trainers and trainees including supplemental services

Application for Federal Assistance SF-424		
* 1. Type of Submission: <input type="checkbox"/> Preapplication <input checked="" type="checkbox"/> Application <input type="checkbox"/> Changed/Corrected Application	* 2. Type of Application: <input checked="" type="checkbox"/> New <input type="checkbox"/> Continuation <input type="checkbox"/> Revision	* If Revision, select appropriate letter(s): _____ * Other (Specify): _____
* 3. Date Received: 03/19/2024	4. Applicant Identifier: _____	
5a. Federal Entity Identifier: N/A	5b. Federal Award Identifier: B-23-UC-06-0506	
State Use Only:		
6. Date Received by State: _____	7. State Application Identifier: _____	
8. APPLICANT INFORMATION:		
* a. Legal Name: County of Riverside		
* b. Employer/Taxpayer Identification Number (EIN/TIN): 95-6000930	* c. UEI: MN1HJ72DTDF9	
d. Address:		
* Street1: 3403 Tenth Street	Street2: Suite 300	
* City: Riverside	County/Parish: Riverside	
* State: CA: California	Province: _____	
* Country: USA: UNITED STATES	* Zip / Postal Code: 92501-3659	
e. Organizational Unit:		
Department Name: Housing & Workforce Solutions	Division Name: Community& Housing Development	
f. Name and contact information of person to be contacted on matters involving this application:		
Prefix: Mr.	* First Name: Juan	
Middle Name: _____	* Last Name: Garcia	
Suffix: _____	Title: HWS Deputy Director	
Organizational Affiliation: _____		
* Telephone Number: 951-955-8126	Fax Number: _____	
* Email: Jugarcia@rivco.org		

Application for Federal Assistance SF-424

*** 9. Type of Applicant 1: Select Applicant Type:**

B: County Government

Type of Applicant 2: Select Applicant Type:

Type of Applicant 3: Select Applicant Type:

* Other (specify):

*** 10. Name of Federal Agency:**

U.S. Department of Energy

11. Catalog of Federal Domestic Assistance Number:

81.128

CFDA Title:

Office of the Under Secretary for Infrastructure Golden Field Office

*** 12. Funding Opportunity Number:**

N/A

* Title:

N/A

13. Competition Identification Number:

Title:

14. Areas Affected by Project (Cities, Counties, States, etc.):

Add Attachment

Delete Attachment

View Attachment

*** 15. Descriptive Title of Applicant's Project:**

Projected use of Energy Efficiency and Conservation Block Grant (EECBG) Program Formula funds

Attach supporting documents as specified in agency instructions.

Add Attachments

Delete Attachments

View Attachments

Application for Federal Assistance SF-424

16. Congressional Districts Of:

* a. Applicant

* b. Program/Project

Attach an additional list of Program/Project Congressional Districts if needed.

Add Attachment

Delete Attachment

View Attachment

17. Proposed Project:

* a. Start Date:

* b. End Date:

18. Estimated Funding (\$):

* a. Federal	<input type="text" value="0.00"/>
* b. Applicant	<input type="text" value="0.00"/>
* c. State	<input type="text" value="477,090.00"/>
* d. Local	<input type="text" value="0.00"/>
* e. Other	<input type="text" value="0.00"/>
* f. Program Income	<input type="text" value="0.00"/>
* g. TOTAL	<input type="text" value="477,090.00"/>

*** 19. Is Application Subject to Review By State Under Executive Order 12372 Process?**

- a. This application was made available to the State under the Executive Order 12372 Process for review on
- b. Program is subject to E.O. 12372 but has not been selected by the State for review.
- c. Program is not covered by E.O. 12372.

*** 20. Is the Applicant Delinquent On Any Federal Debt? (If "Yes," provide explanation in attachment.)**

- Yes
- No

If "Yes", provide explanation and attach

Add Attachment

Delete Attachment

View Attachment

21. *By signing this application, I certify (1) to the statements contained in the list of certifications and (2) that the statements herein are true, complete and accurate to the best of my knowledge. I also provide the required assurances** and agree to comply with any resulting terms if I accept an award. I am aware that any false, fictitious, or fraudulent statements or claims may subject me to criminal, civil, or administrative penalties. (U.S. Code, Title 18, Section 1001)**

** I AGREE

** The list of certifications and assurances, or an internet site where you may obtain this list, is contained in the announcement or agency specific instructions.

Authorized Representative:

Prefix: * First Name:
Middle Name:
* Last Name:
Suffix:

* Title:

* Telephone Number: Fax Number:

* Email:

* Signature of Authorized Representative:

* Date Signed:

BUDGET INFORMATION - Non-Construction Programs

OMB Number: 4040-0006
Expiration Date: 02/28/2025

SECTION A - BUDGET SUMMARY

Grant Program Function or Activity (a)	Catalog of Federal Domestic Assistance Number (b)	Estimated Unobligated Funds		New or Revised Budget		
		Federal (c)	Non-Federal (d)	Federal (e)	Non-Federal (f)	Total (g)
1. Energy Efficiency Retrofit Grants for Government Agencies and Nonprofit Organizations	81.128	\$ 477,090.00	\$	\$	\$	\$ 477,090.00
2.						
3.						
4.						
5. Totals		\$ 477,090.00	\$	\$	\$	\$ 477,090.00

SECTION B - BUDGET CATEGORIES

6. Object Class Categories	GRANT PROGRAM, FUNCTION OR ACTIVITY				Total (5)
	(1)	(2)	(3)	(4)	
	Energy Efficiency Retrofit Grants for Government Agencies and Nonprofit Organizations				
a. Personnel	\$ <input type="text"/>	\$ <input type="text"/>	\$ <input type="text"/>	\$ <input type="text"/>	\$ <input type="text"/>
b. Fringe Benefits	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>
c. Travel	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>
d. Equipment	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>
e. Supplies	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>
f. Contractual	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>
g. Construction	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>
h. Other	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>
i. Total Direct Charges (sum of 6a-6h)	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>	\$ <input type="text"/>
j. Indirect Charges	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>	\$ <input type="text"/>
k. TOTALS (sum of 6i and 6j)	\$ <input type="text"/>	\$ <input type="text"/>	\$ <input type="text"/>	\$ <input type="text"/>	\$ <input type="text"/>
7. Program Income	\$ <input type="text"/>	\$ <input type="text"/>	\$ <input type="text"/>	\$ <input type="text"/>	\$ <input type="text"/>

Authorized for Local Reproduction

SECTION C - NON-FEDERAL RESOURCES

(a) Grant Program		(b) Applicant	(c) State	(d) Other Sources	(e) TOTALS
8.	Energy Efficiency Retrofit Grants for Government Agencies and Nonprofit Organizations	\$ <input type="text"/>	\$ <input type="text"/>	\$ <input type="text"/>	\$ <input type="text"/>
9.	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>
10.	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>
11.	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>
12. TOTAL (sum of lines 8-11)		\$ <input type="text"/>	\$ <input type="text"/>	\$ <input type="text"/>	\$ <input type="text"/>

SECTION D - FORECASTED CASH NEEDS

	Total for 1st Year	1st Quarter	2nd Quarter	3rd Quarter	4th Quarter
13. Federal	\$ <input type="text"/>	\$ <input type="text"/>	\$ <input type="text"/>	\$ <input type="text"/>	\$ <input type="text"/>
14. Non-Federal	\$ <input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>
15. TOTAL (sum of lines 13 and 14)	\$ <input type="text"/>	\$ <input type="text"/>	\$ <input type="text"/>	\$ <input type="text"/>	\$ <input type="text"/>

SECTION E - BUDGET ESTIMATES OF FEDERAL FUNDS NEEDED FOR BALANCE OF THE PROJECT

(a) Grant Program		FUTURE FUNDING PERIODS (YEARS)			
		(b) First	(c) Second	(d) Third	(e) Fourth
16.	Energy Efficiency Retrofit Grants for Government Agencies and Nonprofit Organizations	\$ <input type="text"/>	\$ <input type="text"/>	\$ <input type="text"/>	\$ <input type="text"/>
17.	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>
18.	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>
19.	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>
20. TOTAL (sum of lines 16 - 19)		\$ <input type="text"/>	\$ <input type="text"/>	\$ <input type="text"/>	\$ <input type="text"/>

SECTION F - OTHER BUDGET INFORMATION

21. Direct Charges: <input type="text"/>	22. Indirect Charges: <input type="text"/>
23. Remarks: <input type="text"/>	