

**U.S. Department of Energy (DOE)  
Office of State and Community Energy Programs**

**Bipartisan Infrastructure Law (BIL) 40503: Energy Auditor Training**

**Funding Opportunity Announcement (FOA) Number: DE-FOA-0003204**

**FOA Type: Initial**

**Assistance Listing Number: 81.041**

|                                                                       |                            |
|-----------------------------------------------------------------------|----------------------------|
| <b>FOA Issue Date:</b>                                                | 12/20/2023                 |
| <b>Informational Webinar:</b>                                         | 01/17/2024                 |
| <b>Submission Deadline for Concept Papers:</b>                        | 03/28/2024<br>5:00 p.m. ET |
| <b>Submission Deadline for Full Applications:</b>                     | 06/28/2024<br>5:00 p.m. ET |
| <b>Expected Submission Deadline for Replies to Reviewer Comments:</b> | 08/29/2024<br>5:00 p.m. ET |
| <b>Expected Date for DOE Selection Notifications:</b>                 | 10/10/2024                 |
| <b>Expected Timeframe for Award Negotiations:</b>                     | 12/31/2024                 |

- Applicants must submit a Concept Paper by 5:00 p.m. ET on the due date listed above to be eligible to submit a Full Application.
- To apply to this FOA, applicants must register with, and submit application materials through, Infrastructure eXCHANGE at [S3 eXCHANGE: Registration \(energy.gov\)](https://www.energy.gov/eexchange), SCEP's online application portal.
- Applicants must designate primary and backup points-of-contact in Infrastructure eXCHANGE with whom DOE will communicate to conduct award negotiations. If an application is selected for award negotiations, it is not a commitment to issue an award. It is imperative that the applicant/selectee be responsive during award negotiations and meet negotiation deadlines. Failure to do so may result in cancelation of further award negotiations and rescission of the selection.

**Unique Entity Identifier (UEI) 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) register in the SAM at <https://www.sam.gov> before submitting an application; (2) provide a valid UEI number in the application; and (3) maintain an active SAM registration with current information when the applicant 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 and, if an applicant has not fully



complied with the requirements by the time DOE is ready to make a federal award, 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 number 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 use the [HELP](#) feature on [SAM.gov](#). SAM.gov will address 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](#).**

## **Overview of Key Information**

**Agency:** U.S. Department of Energy (DOE)

**Program Overview:** The Energy Auditor Training (EAT) Program will provide Grant funding to States for the purpose of training individuals to conduct energy audits, or surveys, of commercial and residential buildings.

This program was established by Section 40503 of the Infrastructure Investment and Jobs Act (IIJA), more commonly known as the Bipartisan Infrastructure Law (BIL)<sup>1</sup>. The goals of the program are to offer auditor training certifications that include informed curriculum and program design that aligns with current and future standards; inform or empower States with current, standardized framing of the education and training requirements for energy auditors; enlarge the pipeline of diverse talent by closing gaps in job access; address workforce inclusion deficiencies and improve disparities with underrepresented groups; connect auditor trainees to career opportunities that promote job quality and economic mobility; and inspire sustainability through intentional practices and partnerships that support infrastructure development and the long-term value of a clean energy workforce. DOE recognizes that energy auditors are instrumental for inspecting buildings, assessing current energy use, verifying whether buildings meet energy codes, zero energy codes and building performance standards, and providing recommendations that optimize efficiency and minimize costs in residential and commercial buildings.

**Eligible Applicants:** In accordance with the BIL Section 40503, funding is only available to States, the District of Columbia, the Northern Mariana Islands, American Samoa, the U.S. Virgin Islands, Puerto Rico, and Guam and if they have a demonstrated need for assistance for training energy auditors<sup>2</sup>. These eligible entities are referred to throughout this FOA as “States”. No other entity types, including Local Government and Tribes, may be considered for this funding. In accordance with 2 CFR Section 910.126 and DOE Program Rule 10 CFR Part 420, eligibility for these awards is restricted to State Energy Offices.

**Funding Overview:** The BIL appropriated \$40 million in funding to be issued through a competitive Grant program<sup>3</sup>. DOE may issue one, multiple, or no awards. Individual awards may vary between \$200,000 and a maximum of \$2,000,000. DOE anticipates making approximately twenty (20) to thirty (30) awards under this FOA. In accordance with the BIL Section 40503(d)(1) the amount of a Grant awarded to an eligible State shall be determined by the Secretary, taking into account the population of the eligible State<sup>4</sup>. DOE reserves the right to determine the final award amount of selected eligible States.

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<sup>1</sup> Infrastructure Investment and Jobs Act (more commonly known as the Bipartisan Infrastructure Law (BIL)), Public Law 117-58 (November 15, 2021), Section 40503(a), is codified at 42 U.S.C. 18793.

<sup>2</sup> Under Section 40503(a)(2), an “eligible State” means a State that – “has a demonstrated need for assistance for training energy auditors; and [] meets any additional criteria determined necessary by the Secretary.” 42 U.S.C. 18793(a)(2).

<sup>3</sup> 42 U.S.C. 18793(b) and (g).

<sup>4</sup> 42 U.S.C. 18793(d).

**Cost Matching:** Cost match is not required for these awards. DOE encourages states to consider how they could leverage philanthropic and private sector funding to advance their goals and amplify the impact of the BIL funding. If cost match is proposed, it must be included in the budget and budget narrative. All sources of cost match are considered part of total project costs, and the cost match dollars will receive oversight under the same Federal regulations as Federal dollars.

**Period of Performance:** The expected period of performance is 36 months and includes all necessary implementation and start-up activities. DOE will consider applications that contain justification for a period of performance longer or shorter than 36 months.

**Application Components:** Eligible applicants seeking a Grant through this program must demonstrate a need for assistance for training energy auditors and, as required by BIL Section 40503, submit a proposed training curriculum for energy audit trainees; identify the covered certification(s) that those trainees will receive on completion of that training curriculum; describe the expected per-individual cost of training; submit a plan for connecting trainees with employment opportunities; and include any additional information required by this FOA<sup>5</sup>.

The covered certifications<sup>6</sup> include any of the following:

- (1) The American Society of Heating, Refrigerating, and Air-Conditioning Engineers (ASHRAE) Building Energy Assessment
- (2) The Association of Energy Engineers (AEE) Certified Energy Auditor
- (3) The Building Performance Institute (BPI) Home Energy Professional Energy Auditor
- (4) The Residential Energy Services Network Home Energy Rater
- (5) any other third-party certification recognized by the Department
- (6) any third-party certification that the Secretary determines is equivalent to the aforementioned certifications.

As of the publication date of this FOA, DOE has determined that the following third-party certifications meet this standard:

- Building Performance Institute's Building Analyst Professional
- Journey Card from an Energy Specialist or Energy Auditor and Analyst Registered Apprenticeship Program<sup>7</sup>
- Building Science Institute (BSI) Energy Code Compliance Specialist
- Building Science Institute (BSI) ENERGY STAR Verifier
- Building Science Institute (BSI) Zero Energy Ready Home Verifier
- California Home Energy Efficiency Rating Services (CHEERS) HERS Rater

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<sup>5</sup> 42 U.S.C. 18793(c)(2).

<sup>6</sup> 42 U.S.C. 18793(a)(1).

<sup>7</sup> [Occupation Finder: Energy Auditors | Apprenticeship.gov](https://www.apprenticeship.gov/apprenticeship-occupations/listings?occupationCode=47-4011.01) (<https://www.apprenticeship.gov/apprenticeship-occupations/listings?occupationCode=47-4011.01>)

*Note:* DOE will continue to determine if additional third-party certifications are covered under this program. All third-party certifications that meet the standard will be published on the [Energy Auditor Training Grant Program website](https://www.energy.gov/scep/energy-auditor-training-grant-program): <https://www.energy.gov/scep/energy-auditor-training-grant-program>. In addition, the qualified certifications<sup>8</sup> approved under the Efficient Home Improvement Credit<sup>9</sup> (Section 25C<sup>10</sup>) are also approved as covered certifications under the EAT program. States may conduct energy auditor training for certifications and as a new or stackable credential to promote marketability of trainees and incumbent workers.

DOE intends for the EAT Program to support workforce development efforts that recruit and train residential and commercial energy auditors. As energy regulations and standards continue to evolve, the increase in energy auditors and professionals with energy auditing skills will allow for more audits to be completed so more buildings will be retrofitted to meet current and future energy requirements. As part of the required Community Benefits Plan, further described below in FOA Section IV.D.v., DOE encourages applicants to establish a plan that not only recruits and trains individuals from disadvantaged communities but that also provides energy audits for residents of disadvantaged communities.

The Application consists of the following required documents, as detailed in FOA section IV:

| Application Requirements                                                                                                                                                                                                                                                                                                                                                                                                    | FOA Section Reference |
|-----------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|-----------------------|
| Statement of Need                                                                                                                                                                                                                                                                                                                                                                                                           | section IV.D.ii.      |
| Energy Auditor Training Program Plan <ul style="list-style-type: none"> <li>• <i>Cover Page</i></li> <li>• <i>Overview</i></li> <li>• <i>Content</i></li> <li>• <i>Statement of Project Objectives, Activities, and Workplan</i></li> <li>• <i>Qualifications and Resources</i></li> <li>• <i>Sustainability Plan</i></li> <li>• <i>Community Benefits Plan and Community Benefits Plan Budget Justification</i></li> </ul> | section IV.D.iii.     |
| Budget Forms                                                                                                                                                                                                                                                                                                                                                                                                                |                       |
| • <i>Standard Form-424 (Application for Federal Assistance)</i>                                                                                                                                                                                                                                                                                                                                                             | section IV.D.ix-x.    |
| • <i>Budget Justification Workbook</i>                                                                                                                                                                                                                                                                                                                                                                                      | section IV.D.xi.      |
| Summary Assets                                                                                                                                                                                                                                                                                                                                                                                                              |                       |
| • <i>Summary/Abstract for Public Release</i>                                                                                                                                                                                                                                                                                                                                                                                | section IV.D.xii.     |
| • <i>Summary Slide</i>                                                                                                                                                                                                                                                                                                                                                                                                      | section IV.D.xiii.    |
| Other Forms                                                                                                                                                                                                                                                                                                                                                                                                                 |                       |

<sup>8</sup> [U.S. Department of Energy Recognized Home Energy Auditor Qualified Certification Programs for the Energy Efficient Home Improvement Credit \(Section 25C\) | Department of Energy](https://www.energy.gov/eere/buildings/us-department-energy-recognized-home-energy-auditor-qualified-certification-programs) (<https://www.energy.gov/eere/buildings/us-department-energy-recognized-home-energy-auditor-qualified-certification-programs>)

<sup>9</sup> [Energy Efficient Home Improvement Credit | Internal Revenue Service \(irs.gov\)](https://www.irs.gov/credits-deductions/energy-efficient-home-improvement-credit) (<https://www.irs.gov/credits-deductions/energy-efficient-home-improvement-credit>)

<sup>10</sup> Internal Revenue Service (IRS) Notice 2023-59 (<https://www.irs.gov/pub/irs-drop/n-23-59.pdf>)

|                                                                                                                                                                                                                                                                                  |                         |
|----------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|-------------------------|
| <ul style="list-style-type: none"> <li>• <i>Certifications regarding Lobbying (SF-LLL Disclosure Form to report lobbying)</i></li> </ul>                                                                                                                                         | section IV.D.xv.        |
| <ul style="list-style-type: none"> <li>• <i>As applicable:</i> <ul style="list-style-type: none"> <li>○ <i>Transparency of Foreign Connections</i></li> <li>○ <i>Potentially Duplicative Funding Notice</i></li> <li>○ <i>Current and Pending Support</i></li> </ul> </li> </ul> | section IV.D.xvi-xviii. |

### Energy Auditor Training Program Plan Content Requirements:

- Identify Training Curriculum for the Present & Future:
  - List residential and commercial training curriculum that align with industry, association, state, and Federal standards.
  - Utilize high-quality trainings that leverage existing programs and established best practices and support programs that prepare workers for future trends in the clean energy industry<sup>11</sup>.
- Determine Certifications:
  - Select certifications that clearly align with established program standards and industry needs.
  - Justify the connection between the program requirement for standard certifications and the inclusion of any third-party certifications not enumerated in BIL Section 40503<sup>12</sup>.
- Outline Expected Cost & Benefits of Training:
  - Calculate the expected per-individual cost of training<sup>13</sup>.
  - Describe the benefits that the trainee receives through participating in the program.
  - Indicate actual and projected/forecasted training needs.
  - Include resource and staffing plans that to ensures effective program management, implementation, and sustainability<sup>14</sup>.
- Plan for Connecting Trainees to Employment Opportunities:
  - Create plans for connecting trainees with employment opportunities.
  - Showcase how individuals will transition from participant to new hire.
  - Secure letters of support or memoranda of understanding with employers to hire participants, as permitted by the relevant state law.
  - Connect trainees with pre-apprenticeships that prepare them for registered or other on-the-job paid experiences<sup>15</sup>.

<sup>11</sup> 42 U.S.C. 18793(c)(2)(A)(i).

<sup>12</sup> 42 U.S.C. 18793(c)(2)(A)(ii).

<sup>13</sup> 42 U.S.C. 18793(c)(2)(B).

<sup>14</sup> 42 U.S.C. 18793(c)(2)(B).

<sup>15</sup> 42 U.S.C. 18793(c)(2)(C).

- Strategize Diversity, Equity, Inclusion and Accessibility (DEIA) Activities:
  - Plan for creating or expanding a pipeline for diverse talent through program implementation.
  - Leverage targeted marketing avenues, such as digital and social media advertising as well as translation services, to promote the program to participants in an inclusive and intentional manner.
  - Offer training features, like wraparound or supportive services, to provide holistic support for workforce preparation<sup>16</sup>.
- Submit a Community Benefits Plan:
  - Describe how the proposed training program(s) will benefit the community.
  - Explore meaningful community and labor engagement.
  - Explain how the program is investing in America's workforce.
  - Offer advancement of diversity, equity, inclusion, and accessibility opportunities.
  - Develop a plan that contributes to the President's goal that 40% of the overall benefits from certain federal investments flow to disadvantaged communities. (Justice40 Initiative).

**Questions/Agency Contacts:**

- Questions relating to the Infrastructure eXCHANGE website should be directed to: InfrastructureExchangeSupport@hq.doe.gov.
- Interested applicants should reach out to the SCEP Workforce Development Team with any FOA-specific questions: energyauditor@hq.doe.gov, subject line "Energy Auditor Training FOA Question."

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<sup>16</sup> 42 U.S.C. 18793(c)(2)(D).

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## I. Funding Opportunity Description

### A. Background and Context

The Office of State and Community Energy Programs (SCEP) is issuing this Funding Opportunity Announcement (FOA). Awards made under this FOA will be funded with appropriations by the Infrastructure Investment and Jobs Act<sup>17</sup>, more commonly known as the Bipartisan Infrastructure Law (BIL). SCEP works with state and local organizations to significantly accelerate the deployment of clean energy technologies, catalyze local economic development and create jobs, reduce energy costs, and avoid pollution through place-based strategies involving a wide range of government, community, business, and other stakeholders. SCEP supports the mission of the U.S. Department of Energy.

BIL is a once-in-a-generation investment in modernizing and upgrading American infrastructure to enhance U.S. competitiveness, drive the creation of good-paying union jobs, tackle the climate crisis, and ensure strong access to economic, environmental, and other benefits for disadvantaged communities<sup>18</sup>. BIL appropriates more than \$62 billion to the U.S. Department of Energy (DOE)<sup>19</sup> to invest in American manufacturing and workers; expand access to energy efficiency and clean energy; deliver reliable, clean, and affordable power to more Americans; and demonstrate and deploy the technologies of tomorrow through clean energy demonstrations.

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<sup>20</sup> to benefit all Americans.

Through this program, BIL will invest up to \$40 million for the 36-month period encompassing Fiscal Years 2025 through 2028 for the purpose of training individuals to conduct energy audits, or surveys, of commercial and residential buildings<sup>21</sup>.

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<sup>17</sup> Infrastructure Investment and Jobs Act, Public Law 117-58 (November 15, 2021). (<https://www.congress.gov/bill/117th-congress/house-bill/3684>.) This FOA uses the more common name Bipartisan Infrastructure Law.

<sup>18</sup> Pursuant to 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 and M-23-09, DOE recognizes disadvantaged communities as defined and identified by the White House Council on Environmental Quality's Climate and Economic Justice Screening Tool (CEJST), located at <https://screeningtool.geoplatform.gov/>. DOE's Justice40 Implementation Guidance is located at: <https://www.energy.gov/sites/default/files/2022-07/Final%20DOE%20Justice40%20General%20Guidance%20072522.pdf>.

<sup>19</sup> 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>)

<sup>20</sup> Executive Order (EO) 14008, "Tackling the Climate Crisis at Home and Abroad," January 27, 2021.

<sup>21</sup> 42 U.S.C. 18793(g), 18802(b).

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The Federal Government has made significant investments to establish initiatives that support residential and commercial clean energy. These investments have primarily advanced two overarching goals: (1) to save customers money on energy bills, and (2) to reduce pollution from building energy use. To pursue these goals, and spur future demand for energy-saving technologies, the U.S. Department of Energy, state and local governments, and utilities are implementing energy efficiency policies and programs. The creation of initiatives such as residential Home Energy Rebate Programs<sup>22</sup>, which provide incentives to homeowners for weatherization improvements that improve energy use; energy efficient home improvements and residential clean energy property credits<sup>23</sup>, which provides a 30-percent credit for certain qualified expenditures made by a taxpayer for residential energy efficient property; and statutes such as the [Energy Policy Act of 2005](#)<sup>24</sup> (EPACT) and the Inflation Reduction Act<sup>25</sup>, which offers businesses tax deductions for the costs of improving the energy efficiency of commercial buildings – were instrumental in creating a foundation for the future need for continuous improvement in clean energy.

The energy auditor profession represents the future sustainability of energy efficiency and cost savings in both the residential and commercial spaces. DOE recognizes that energy auditors are instrumental for inspecting buildings, assessing current energy use, verifying whether buildings meet energy codes, zero energy codes and building performance standards, and providing recommendations that optimize efficiency and minimize costs in residential and commercial buildings. After the energy auditors conduct the energy audits, or surveys, the energy auditors can advise on how to reduce energy usage, promote energy efficiency, and offer energy savings to the customer.

The Energy Auditor Training (EAT) Program supports the administration’s broader efforts to:

- (1) Build the clean energy workforce by training workers for placement into energy auditor jobs;
- (2) Create or expand a diverse pipeline of workers for energy auditor jobs;
- (3) Align existing or new training and curriculum with existing and relevant professional certifications; and

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<sup>22</sup> 42 USC 18795. <https://www.energy.gov/scep/home-energy-rebates-programs>.

<sup>23</sup> [Energy Efficient Home Improvement Credit | Internal Revenue Service \(irs.gov\)](#) (<https://www.irs.gov/credits-deductions/energy-efficient-home-improvement-credit> and <https://www.irs.gov/credits-deductions/frequently-asked-questions-about-energy-efficient-home-improvements-and-residential-clean-energy-property-credits>)

<sup>24</sup> Energy Policy Act of 2005. 42 USC 1580 Subtitle C—Conservation and Energy Efficiency Provisions Sec. 1331. Energy efficient commercial buildings deduction. Sec. 1332. Credit for construction of new energy efficient homes. Sec. 1333. Credit for certain nonbusiness energy property. Sec. 1334. Credit for energy efficient appliances. Sec. 1335. Credit for residential energy efficient property. Sec. 1336. Credit for business installation of qualified fuel cells and stationary microturbine power plants. Sec. 1337. Business solar investment tax credit.

<sup>25</sup> Inflation Reduction Act of 2022, Sec. 13303, Pub. L. 117-169 (Aug. 16, 2022) (codified at 26 U.S.C. 179D.)

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(4) Save commercial and residential customers money on energy bills by reducing building energy use.

**i. Program Purpose**

EAT's purpose is to train individuals to conduct energy audits, or surveys, of commercial and residential buildings. Applicants must demonstrate a need for assistance in training energy auditors and submit a proposed training curriculum for energy auditor trainees that identifies the types of covered certification that those trainees will receive on upon program completion; the expected cost per-individual; a plan for connecting trainees with employment opportunities; and any additional information as required by this FOA. Covered certifications under this FOA are: (1) The American Society of Heating, Refrigerating, and Air-Conditioning Engineers (ASHRAE) Building Energy Assessment, (2) The Association of Energy Engineers (AEE) Certified Energy Auditor, (3) The Building Performance Institute (BPI) Home Energy Professional Energy Auditor, (4) The Residential Energy Services Network Home Energy Rater, (5) any other third-party certification recognized by the Department, and (6) any third-party certification that the Secretary determines is equivalent to the aforementioned certifications<sup>26</sup>. As of the publication of this FOA, DOE has determined that the following third-party certifications meet this standard:

- Building Performance Institute's Building Analyst Professional
- Journey Card from an Energy Specialist or Energy Auditor and Analyst Registered Apprenticeship Program
- Building Science Institute (BSI) Energy Code Compliance Specialist
- Building Science Institute (BSI) ENERGY STAR Verifier
- Building Science Institute (BSI) Zero Energy Ready Home Verifier
- California Home Energy Efficiency Rating Services (CHEERS) HERS Rater

**ii. Program Overview and Strategic Goals**

DOE intends for the EAT Program to support workforce development efforts that recruit and train residential and commercial energy auditors. As energy regulations and standards continue to evolve, energy codes, zero energy codes, and building performance standards become more widespread, and the Home Rebates Programs<sup>27</sup> (Home Efficiency Rebates and the Home Electrification and Appliance Rebates) are delivered, the increase in energy auditors, and professionals with energy auditing skills will be necessary. After the energy auditors conduct the energy audits, or surveys, the energy auditors can advise on how to reduce energy usage, promote energy efficiency, and offer energy savings to the customer. This will allow

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<sup>26</sup> DOE will continue to determine if third-party certifications are equivalent to the aforementioned certifications. All third-party certifications that meet the standard will be published on the [Energy Auditor Training Grant Program](https://www.energy.gov/scep/energy-auditor-training-grant-program) website: (<https://www.energy.gov/scep/energy-auditor-training-grant-program>).

<sup>27</sup> [Home Energy Rebate Program | Department of Energy](https://www.energy.gov/scep/home-energy-rebate-program) (<https://www.energy.gov/scep/home-energy-rebate-program>)  
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more building owners to have the information they need to meet current and future energy requirements.

The goals of the program are to offer auditor training certifications that include:

- informed curriculum and program design that aligns with current and future standards;
- supports States to establish standardized education and training requirements for energy auditors;
- enlarges the pipeline of diverse talent by closing gaps in job access, address workforce inclusion deficiencies, and improve disparities with underrepresented groups;
- connects auditor trainees to career opportunities that promote job quality and economic mobility; and
- prioritizes sustainability through practices and partnerships that support infrastructure development and the long-term value of a clean energy workforce.

This broader approach will produce sustainable, clean energy auditing efforts in commercial and residential spaces through the deepening of partnerships and collaborative initiatives across and among States, agencies, organizations, and the Department of Energy. This approach will maximize the benefits of the clean energy transition as the nation works to curb the climate crisis, empower workers, and advance environmental justice.

The EAT Program will serve as a national catalyst to strengthen the nation's competitive advantage in clean energy by supporting workforce development efforts that recruit, support, and train residential and commercial energy auditors.

As energy regulations and standards continue to evolve, change, and improve, the increase in energy auditors will promote sustainability efforts on the local, state, and national levels, assuring industry alignment with current and future clean energy requirements. Successful applicants will design their Grant projects from both (1) a strategic level, such as describing their planned training activities and opportunities for collaboration to demonstrate a clear need for commercial and/or residential energy auditors; and (2) an operational level, such as incorporating in their plans how they would implement their comprehensive training and certification strategy, and including the activities that would be involved in such efforts.



As part of the whole-of-government approach to advance equity and encourage worker organizing and collective bargaining<sup>28,29,30</sup>, and in alignment with BIL, any related activities under this FOA will seek to encourage meaningful engagement and participation of workforce organizations, including labor unions, as well as underserved communities and underrepresented groups, including Indian Tribes.<sup>31</sup> Consistent with Executive Order 14008<sup>32</sup>, this FOA is designed to help meet the goal that 40% of the overall benefits of the Administration's investments in clean energy and climate solutions be delivered to disadvantaged communities, as defined and identified by the Climate and Economic Justice Screening Tool (CEJST) pursuant to the Executive Order, and to drive creation of accessible, good-paying jobs with the free and fair chance for workers to join a union.

### iii. Overall Strategic Goals for the EAT Program

This FOA seeks applications to address the skills and labor shortage by focusing on:

- (1) Offering energy auditor training for certifications and as a new or stackable credential to promote marketability of trainees and incumbent workers.
- (2) Providing States with current, standardized framing of the education and training requirements for energy auditors.
- (3) Enlarging the pipeline of diverse talent by closing gaps in job access, addressing workforce inclusion deficiencies, and improving disparities with underrepresented groups.
- (4) Connecting energy auditor trainees to high quality jobs and career opportunities that promote economic mobility.
- (5) Inspiring sustainability through intentional practices and partnerships that support long-term energy auditor training programs.

**To support the overall strategic goal (1), offer energy auditor training for certifications**, the program will fund States to implement training and development of energy auditors for commercial and residential buildings. This training would include instruction that leads to the attainment of covered certifications, which include the following certifications: (1) the American Society of Heating, Refrigerating, and Air-Conditioning Engineers (ASHRAE) Building Energy Assessment, (2) the Association of Energy Engineers (AEE) Certified Energy Auditor, (3) the Building Performance Institute (BPI) Home Energy Professional Energy Auditor, (4)

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<sup>28</sup> EO 13985, "Advancing Racial Equity and Support for Underserved Communities Through the Federal Government," January 20, 2021. EO 14091, "Further Advancing Racial Equity and Support for Underserved Communities Through the Federal Government," February 16, 2023.

<sup>29</sup> EO 14025, "Worker Organizing and Empowerment," April 26, 2021.

<sup>30</sup> EO 14052, "Implementation of the Infrastructure Investment and Jobs Act," November 18, 2021.

<sup>31</sup> 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. [Memorandum on Tribal Consultation and Strengthening Nation-to-Nation Relationships The White House](#) [Memorandum on Tribal Consultation and Strengthening Nation-to-Nation Relationships The White House](#).

<sup>32</sup> EO 14008, "Tackling the Climate Crisis at Home and Abroad," January 27, 2021.

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the Residential Energy Services Network Home Energy Rater, (5) any other third-party certification recognized by the Department of Energy, and (6) any third-party certification that the Energy Secretary determines is equivalent to the certifications previously described<sup>33</sup>. As of the publication of this FOA, DOE has determined that the following third-party certifications meet this standard: Building Performance Institute's Building Analyst Professional, Journey Card from a Relevant Registered Apprenticeship Program, Building Science Institute (BSI) Energy Code Compliance Specialist, BSI ENERGY STAR Verifier, BSI Zero Energy Ready Home Verifier, and the California Home Energy Efficiency Rating Services (CHEERS) HERS Rater.

States are encouraged to utilize curriculum, and promote certifications, that are flexible and relevant to the needs of the energy industry, including promoting curriculum improvements that enhance current certifications that align with future workforce needs. These efforts will strengthen efforts between industry associations, the States, and the Department by utilizing the covered certification(s) to train individuals to conduct energy audits, or surveys, of commercial and residential buildings and providing consistent audits on the local, state, and federal levels.

**To support the overall strategic goal (2), provide States with current, standardized education and training requirements for energy auditors,** applicants may consider the implementation of the latest curriculum standards in the development of training programs to ensure industry alignment with State energy auditor needs. This alignment will promote cohesiveness between the commercial and residential energy auditor efforts taking place among the States, national organizations, and the Federal government. This alignment is critical for meeting national energy sustainability goals. Meeting this goal would involve initiatives that encourage worker mobility locally, regionally, and nationally while addressing the demand for auditors through uniform training standards. Similarly, as an output, achieving this goal will strengthen the national baseline of knowledge among energy auditors across the country, while ensuring all States meet the minimum standards for residential and commercial building energy audits.

**To support the overall strategic goal (3), enlarge the pipeline of diverse talent by closing gaps in job access, addressing workforce inclusion deficiencies,** and improving disparities with underrepresented groups, applicants may consider opportunities to coordinate program communication efforts among States, associations, and local workforce agencies to create a broader pool of diverse talent in the energy efficiency auditor occupation. States within similar regions of the country or that share similar challenges related to energy efficiency and diversity

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<sup>33</sup> DOE will continue to determine if third-party certifications are equivalent to the aforementioned certifications. All third-party certifications that meet the standard will be published on the [Energy Auditor Training Grant Program website](https://www.energy.gov/scep/energy-auditor-training-grant-program): <https://www.energy.gov/scep/energy-auditor-training-grant-program>.

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may consider collaborative efforts that will address both the need to train and prepare more energy auditors, as well as shortfalls in the number of workers from underserved communities that are qualified and available to fill commercial and residential auditor roles<sup>34</sup>. These efforts may include creating or improving marketing information related to the program and available certifications and translating the energy auditor training opportunity and its value in the actual and contextual language of diverse populations to improve promotion efforts. To ensure flexibility and increase the opportunity to engage as many trainees as possible, applicants are encouraged to utilize various high-quality methods of training and education (online, in-person, on-the-job) to create access to consistent curriculum across the State. Additionally, applicants are encouraged to continue to utilize the local, state, and national partnerships with organizations that are already in place to build on current initiatives that address financial (capital, credit) and funding challenges for workers from disadvantaged communities in this occupation. Meeting this goal would include encouraging partnerships with the State's workforce development agency, to support diverse participant and program needs. As part of the whole-of-government approach to advance equity and encourage worker organizing and collective bargaining<sup>35,36,37</sup>, and in alignment with BIL Section 40503, this FOA, 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 Indian Tribes<sup>38</sup>. Consistent with Executive Order 14008<sup>39</sup>, this FOA is designed to help meet the goal that 40% of the overall benefits of the Administration's investments in clean energy and climate solutions be delivered to disadvantaged communities, as defined, and identified by the CEJST pursuant to the Executive Order, and to drive creation of accessible, good-paying jobs with the free and fair chance for workers to join a union.

**To support the overall strategic goal (4), connect energy auditor trainees to high quality jobs and career opportunities that promote economic mobility,** applicants may consider building upon national initiatives that have already proven impactful in

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<sup>34</sup> Underserved communities are populations sharing a particular characteristic, as well as geographic communities, that have been systematically denied a full opportunity to participate in aspects of economic, social, and civic life. EO 13985, "Advancing Racial Equity and Support for Underserved Communities Through the Federal Government," January 20, 2021.

<sup>35</sup> EO 13985, "Advancing Racial Equity and Support for Underserved Communities Through the Federal Government," January 20, 2021. EO 14091, "Further Advancing Racial Equity and Support for Underserved Communities Through the Federal Government," February 16, 2023.

<sup>36</sup> EO 14025, "Worker Organizing and Empowerment," April 26, 2021.

<sup>37</sup> EO 14052, "Implementation of the Infrastructure Investment and Jobs Act," November 18, 2021.

<sup>38</sup> 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. [Memorandum on Tribal Consultation and Strengthening Nation-to-Nation Relationships, The White House](#) [Memorandum on Tribal Consultation and Strengthening Nation-to-Nation Relationships, The White House](#).

<sup>39</sup> EO 14008, "Tackling the Climate Crisis at Home and Abroad," January 27, 2021.

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placing energy auditors in the workforce<sup>40</sup>. This may include developing or deepening partnerships with employers, labor organizations, the state and local workforce system, community-based organizations, etc. The applicants may also consider partnering with organizations to leverage resources that promote financial literacy and provide financial assistance for economic mobility, or partnering with local and state agencies and affinity groups to promote wraparound services designed to ensure trainees are comprehensively equipped to enter and excel in the industry and workforce. DOE encourages applicants to build or utilize a curriculum that promotes a diverse workforce of energy auditors and consider solutions for the financial challenges that may be present as barriers for trainees, particularly those trainees interested in pursuing entrepreneurship as a potential career track. These collaborative efforts may consider the impact of engaging philanthropic, civic, community, and other non-governmental or private sectors in program awareness to strengthen coalitions that create additional opportunities for experiential learning (apprenticeships, paid on-the-job training, etc.). Additionally, applicants are encouraged to advocate for additional skills training that promotes upskilling and adapting to technological innovation to ensure the program remains in alignment with current and future trends in clean commercial and residential energy.

**To support the overall strategic goal (5), inspire sustainability through intentional practices and partnerships that support long-term energy auditor training programs**, applicants may consider the creation or continuation of initiatives that promote the longevity of training commercial and residential energy auditors. Applicants may develop, re-establish, or strengthen intentional communication and engagement efforts among States, associations, the Federal government, and other industry/community organizations to foster continuous program development, improvement, and sustainability. Sustainability strategies may include accessing additional state or Federal funding; creating blueprints/templates that document best practices for replication; establishing a program toolkit that serves as a resource for guidance and instruction on how to expand clean energy awareness and support workforce development. To sustain the program, applicants could partner with organizations that have expertise in workforce development to provide leadership in implementing the following types of activities: (1) understanding and analyzing the need for education and training in the local area, including identifying key employers and industry contacts within the energy efficiency industry; (2) addressing hiring needs, identifying target populations, and providing relevant sources of data, including labor market information and other tools or reports; (3) assessing potential trainees for the grant program; (4) identifying and referring candidates for education and training in the grant program; (5) developing and

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<sup>40</sup> The Good Jobs Initiative, led by the Department of Labor, is focused on providing critical information to workers, employers, and state governments, local governments, and Tribal governments as they work to improve job quality and create access to good jobs free from discrimination and harassment for all working people. See the Good Jobs Initiative website for relevant resources: <https://www.dol.gov/general/good-jobs>.

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delivering training programs; (6) providing additional supportive services<sup>41</sup>; or (7) connecting and placing students with entities that have job openings.

#### **iv. Teaming Partner List**

DOE is compiling a Teaming Partner List to allow organizations that may wish to participate on a project to express their interest to the States and explore potential partnerships.

The Teaming Partner List will be available on the [SCEP Clean Energy Infrastructure Funding Opportunity eXCHANGE](#) under this FOA (DE-FOA-0003204). The Teaming Partner List will be regularly updated to reflect new teaming partners who provide their organization's information.

**SUBMISSION INSTRUCTIONS:** View the Teaming Partner List by visiting the Infrastructure eXCHANGE homepage and clicking on "Teaming Partners" within the left-hand navigation pane. This page allows users to view published Teaming Partner Lists.

To join the Teaming Partner List for this FOA, submit a request within eXCHANGE and submit the following information:

1. Organization Name;
2. Organization Type;
3. General Business Email Address (that does not include an individual's name to protect against Personal Identifiable Information (PII) specifically used for this Teaming Partners List;
4. Area of Technical Expertise;
5. Brief Description of Capabilities; and
6. Area of Interest (including interest in Topic Area One and/or Topic Area Two above).

**DISCLAIMER:** By submitting a request to be included on the Teaming Partner List, the requesting organization consents to the publication of the above-referenced information. By enabling and publishing the Teaming Partner List, DOE is not endorsing, sponsoring, or otherwise evaluating the qualifications of the individuals and organizations that are self-identifying themselves for placement on this Teaming Partner List. DOE will not pay for the provision of any information, nor will it

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<sup>41</sup> Supportive services and direct cash assistance help individuals facing systemic barriers to employment participate in training and employment. Supportive services may include, but are not limited to, costs incurred for bona fide services and assistance provided to new employees for: housing; child and dependent care; work-related tools; work-related clothing or uniforms; educational testing; needs-related payments or emergency cash assistance; transportation and travel to or from training and work sites; reasonable accommodations; legal assistance; referrals to healthcare, mental health counseling, or drug treatment; linkages to community services; application fees and other costs of apprenticeship or required pre-employment training, tests, or certifications; or financial counseling.

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compensate any applicants or requesting organizations for the development of such information.

**B. Topic Areas**

There are two topic areas associated with this FOA: Commercial Energy Auditors and Residential Energy Auditors. Applicants can submit one submission for each topic area of this FOA. This means one Concept Paper per Topic and one Full Application per Topic Area will be allowed. However, an eligible State may not be awarded more than \$2,000,000 cumulatively in Grant funding<sup>42</sup>.

**i. Topic Area One: Commercial Energy Auditors**

Funding may be utilized by State Energy Offices to recruit, train, or enhance the training of commercial energy auditors. DOE intends that these trained energy auditors will be able to conduct energy audits prior to, and after, the investment of building energy efficiency improvements. Solutions may include, for example: training on building efficiency technologies that support the continued performance of commercial energy efficiency upgrades, energy codes, zero energy codes, and building performance standards; alignment of training curriculum with Federal, state, association, and industry goals; collaborative partnerships that refine business cases for green building construction and development of net-zero commercial buildings.

State Energy Offices may explore opportunities for collaboration with the National Association of State Energy Officials (NASEO) and other state associations, the American Society of Heating, Refrigerating, and Air-Conditioning Engineers (ASHRAE), the Association of Energy Engineers (AEE), the DOE Better Buildings Alliance, DOE Better Buildings Accelerators, labor-management training programs, and other associations and organizations that support the training and development of commercial energy auditors according to accepted local, regional, and national policies or standards. DOE expects these collaborations will support the certifications identified by BIL Section 40503 and other certifications recognized by the DOE as an equivalent to these certifications. These collaborations will advance energy efficiency solutions and technologies; and should seek to advance innovative commercial building technologies and solutions, with the goal of producing significant energy savings, reducing greenhouse gas emissions, and saving businesses money.

Proposed technical areas of interest include energy audits for compliance with commercial building codes, energy codes, zero energy codes, and

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<sup>42</sup> 42 U.S.C. 18793(d)(2).

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building performance standards; energy audit strategy and plan development, including to support a state's BIL Revolving Loan Fund Capitalization Grant Program funds; energy use analysis; data collection and analysis; lighting systems; economic analysis; heating, ventilation, and air conditioning systems; commercial applications of building science; green building rating systems; net-zero building and energy audits; ENERGY STAR management; compressed air systems; building envelope; energy efficiency, commercial building electrification, and energy management; and commissioning/measurement and verification after building energy efficiency improvements.

The Federal funding available for new awards under Topic Area One will be \$18,000,000. DOE anticipates making approximately 10-15 awards under this FOA Topic Area One. DOE may issue one, multiple, or no awards. Individual awards may vary between \$200,000 and \$2,000,000. The estimated period of performance will be 363636 months covering Fiscal Year 2025 through Fiscal Year 2028. Although there is no cost-share or cost-match requirement, SCEP does envision a selection process that considers whether proposals leverage non-federal resources to maximize the impact of Federal funds. Eligibility is limited to States that have a demonstrated need for assistance for training energy auditors, per BIL Section 40503(a)(2)(A).

**ii. Topic Area Two: Residential Energy Auditors**

Funding may be utilized by State Energy Offices to recruit, train, or enhance the training of residential energy auditors. DOE intends that these trained energy auditors will be able to conduct energy audits prior to, and after, the investment of residential building improvements for energy efficiency. Solutions may include, for example: training on building efficiency technologies that support the continued performance of residential energy efficiency; the continued alignment of Federal, state, association, and industry goals/standards through the offering of standardized certifications; the training, development, and advancement of the residential energy auditors/surveyors through new or existing collaborative partnerships between States and organizations or associations; and energy codes and zero energy codes.

To further carry out the activities related to this topic area, State Energy Offices may explore opportunities for collaboration with NASEO, ASHRAE, AEE, the Building Performance Institute (BPI), the Residential Energy Services Network, community colleges, labor-management training programs, and other associations and organizations that support the training and development of energy auditors according to accepted local, regional, and national policies or standards. DOE expects these collaborations to support



the certifications identified by BIL Section 40503, to include the Building Energy Assessment, Certified Energy Auditor, Home Energy Professional Energy Auditor, Home Energy Rater, or any third-party certification recognized by DOE as an equivalent to these certifications. These collaborations should help to advance energy efficiency solutions and technologies for residential buildings; promote grassroots-level impact within local communities and among diverse populations; or respond to the demand for residential energy efficiency that resulted from the IRA home rebates programs. This near-term increase in demand, driven by the rebates, has the potential to lead to increased long-term, sustainable demand for residential energy efficiency, and lays the groundwork for the future need for energy auditors. The activities in this topic should ultimately align with federal, state, association, and industry goals/standards, while supporting the training, development, and advancement of the energy residential auditor profession as a necessary and sustainable occupation with quality careers, including integrating energy auditor training as a stackable credential for energy efficiency professionals.

To support the goals of the program and the intent of this topic area, proposed technical areas of interest may include, but are not limited to: compliance with residential building codes, energy codes, zero energy codes, and building performance standards; energy audit strategy and plan development; energy use analysis; data collection and analysis; lighting systems; economic analysis; heating, ventilation, and air conditioning systems, including air-source and ground-source heat pumps; residential hot water systems; building envelope; clean energy management and administration; energy efficiency, residential building electrification, and energy management; and commissioning/measurement and verification after residential building energy efficiency improvements.

DOE anticipates the Federal funding available for new awards under Topic Area Two will be \$18,000,000. DOE anticipates making approximately 10-15 awards under this FOA Topic Area Two. DOE may issue one, multiple, or no awards. Individual awards may vary between \$200,000 and \$2,000,000. The estimated period of performance will be thirty-six months covering Fiscal Year 2025 through Fiscal Year 2028. Although there is no cost-share or cost-match requirement, SCEP will consider the degree to which the proposed project, including proposed cost share, optimizes the use of available DOE funding to achieve programmatic objectives. Eligibility is limited to States



that have a demonstrated need for assistance for training energy auditors, per BIL Section 40503(a)(2)(A).

All work for projects selected under this FOA must be performed in the United States (see section IV.J.iii.).

**C. Applications Specifically Not of Interest**

The following types of applications will be deemed nonresponsive and will not be reviewed or considered (see section I.C.):

- Applications that fall outside the technical parameters specified in sections I.A. and I.B. of the FOA.
- Applications that do not demonstrate a need for assistance for training energy auditors.

**D. Community Benefits Plan: Job Quality and Equity**

To support the goal of building a clean and equitable energy economy, BIL-funded projects are expected to (1) support meaningful community and labor engagement; (2) invest in America's workforce; (3) advance diversity, equity, inclusion, and accessibility (DEIA); and (4) contribute to the President's goal that 40% of the overall benefits of certain federal investments flow to disadvantaged communities (the Justice40 Initiative)<sup>43</sup>. To ensure these goals are met, applications must include a Community Benefits Plan that describes how the proposed project would incorporate the four objectives stated above.

Applicants are encouraged to submit Community and Labor Partnership Documentation from established labor and community-based organizations that demonstrate the applicant's ability to achieve the above goals as outlined in the Community Benefits Plan. Within the Community Benefits Plan, the applicant is encouraged to provide details on how to ensure the delivery of measurable community and jobs benefits, ideally using negotiated agreements between the applicant and the community, and/or the applicant and labor unions referred to collectively here as "Workforce and Community Agreements." These include good neighbor agreements, community benefits agreements, community workforce agreements, project labor agreements, and other collective bargaining agreements. See section IV.D.v. for the Community Benefits Plan content requirements.

**E. Authorizing Statutes**

The programmatic authorizing statute is BIL, Section 40503, as codified at 42 U.S.C. 18793.

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<sup>43</sup> The Justice40 initiative, established by EO 14008, sets a goal that 40% of the overall benefits of certain federal investments flow to disadvantaged communities.

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Awards made under this announcement will fall under the purview of 2 CFR Part 200 as amended by 2 CFR Part 910.

**F. Notice of Bipartisan Infrastructure Law–Specific Requirements**

Be advised that Special Terms and Conditions apply to projects funded by the BIL relating to:

- Reporting, tracking, and segregation of incurred costs;
- Reporting on job creation and preservation;
- Publication of information on the internet;
- Access to records by Inspectors General and the Government Accountability Office;
- Requiring all of the iron, steel, manufactured goods, and construction materials used in the infrastructure activities of applicable projects are produced in the United States;
- Ensuring laborers and mechanics employed by contractors or subcontractors on BIL-funded projects are paid wages equivalent to prevailing wages on similar projects in the area;
- Protecting whistleblowers and requiring prompt referral of evidence of a false claim to an appropriate inspector general; and
- Certification and registration.

Recipients of funding appropriated by the BIL must comply with requirements of all applicable federal, state, and local laws, regulations, DOE policy and guidance, and instructions in this FOA. Recipients must flow down the requirements to subrecipients to ensure the recipient's compliance with the requirements.

**II. Award Information**

**A. Award Overview**

**i. Estimated Funding**

DOE expects to make a total of approximately \$36,000,000 of federal funding available for new awards under this FOA, subject to the availability of appropriated funds. DOE anticipates making approximately twenty (20) to thirty (30) awards under this FOA. DOE may issue one, multiple, or no awards. Individual awards may vary between \$200,000 and \$2,000,000<sup>44</sup> and will be determined by DOE, taking into account the population of the eligible State. DOE reserves the right to determine the final amount awarded to the selected eligible States.

DOE may issue awards in one, multiple, or none of the following topic areas:

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<sup>44</sup> Pursuant to 42 U.S.C. 18793(d)(1), the maximum grant amount available to an eligible State is \$2,000,000.

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| Topic Area Number | Topic Area Title            | Anticipated Number of Awards | Anticipated Minimum Award Size for Any One Individual Award (Fed Share) | Anticipated Maximum Award Size for Any One Individual Award (Fed Share) | Approximate Total Federal Funding Available for All Awards | Anticipated Period of Performance (months) |
|-------------------|-----------------------------|------------------------------|-------------------------------------------------------------------------|-------------------------------------------------------------------------|------------------------------------------------------------|--------------------------------------------|
| 1                 | Commercial Energy Auditors  | 10-15                        | \$200,000                                                               | \$2,000,000                                                             | Up to \$18,000,000                                         | 36                                         |
| 2                 | Residential Energy Auditors | 10-15                        | \$200,000                                                               | \$2,000,000                                                             | Up to \$18,000,000                                         | 36                                         |

DOE may establish more than one budget period for each award and fund only the initial budget period(s). Funding for all budget periods, including the initial budget period, is not guaranteed.

**ii. Period of Performance**

DOE anticipates making awards that will run for a period of performance of 36 months comprised of one or more budget periods.

**iii. New Applications Only**

DOE will accept only new applications under this FOA. DOE will not consider applications for renewals of existing DOE-funded awards through this FOA.

**B. DOE Funding Agreements**

Through Grants, DOE provides financial and other support to projects that have the potential to realize the FOA objectives. DOE does not use such agreements to acquire property or services for the direct benefit or use of the U.S. government.

**i. Grants**

DOE has the authority to provide financial support to prime recipients through Grants. DOE anticipates funding these projects through Grants, as appropriate.

**III. Eligibility Information**

To be considered for substantive evaluation, an applicant's submission must meet the criteria set forth below. If the application does not meet these eligibility requirements, it will be considered ineligible and removed from further evaluation.

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**A. Eligible Applicants**

In accordance with the BIL Section 40503, eligible entities are state energy offices that have demonstrated need for assistance for training energy auditors<sup>45</sup> to conduct energy audits, or surveys, of commercial and residential buildings. No other entity types (e.g., local governments, Tribes, non-profits, educational institutions, etc.) are eligible for this funding.

**B. Cost Sharing**

Cost sharing is encouraged but not required under this FOA.

A program policy factor does consider the degree to which the proposed project, including proposed cost share, optimizes the use of available DOE funding to achieve programmatic objectives (see section V.C.i.).

Please note that applicants are bound by the cost share proposed in their Full Applications if selected for award negotiations.

**C. Optional Partners**

DOE strongly encourages applicants to collaborate with other partners that can support and advance the work of the Energy Auditor Training Program Plan. DOE strongly encourages applicants to forge robust partnerships with the state workforce system, local workforce boards, community-benefits organizations, and other partners to implement the Grant and to sustain activities beyond the Grant period of performance. Application scores will not be negatively impacted if optional partners are not included.

**D. Compliance Criteria**

All applicant submissions must:

- Comply with the applicable content and form requirements listed in section IV. of the FOA;
- Include all required documents;
- Be uploaded and submitted to Infrastructure eXCHANGE <https://infrastructure-exchanget.energy.gov/>; and
- Be submitted by the deadline stated in the FOA.

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<sup>45</sup> 42 U.S.C. 18793.

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Problems with Infrastructure eXCHANGE? Email [InfrastructureExchangeSupport@hq.doe.gov](mailto:InfrastructureExchangeSupport@hq.doe.gov)



DOE will not review or consider submissions submitted through means other than Infrastructure eXCHANGE, submissions submitted after the applicable deadline, or incomplete submissions.

**Applicants are strongly encouraged to submit their Concept Papers, Full Applications, and Replies to Reviewer Comments at least 48 hours in advance of the submission deadline.** Under normal conditions (i.e., at least 48 hours before the submission deadline), applicants should allow at least one hour to submit a Concept Paper, Full Application, or Reply to Reviewer Comments. Once the Concept Paper, Full Application, or Reply to Reviewer Comments is submitted in Infrastructure eXCHANGE, applicants may revise or update that submission until the expiration of the applicable deadline. If changes are made to any of these documents, the applicant must resubmit the Concept Paper, Full Application, or Reply to Reviewer Comments before the applicable deadline. DOE will not extend the submission deadline for applicants that fail to submit required information by the applicable deadline due to server/connection congestion.

**E. Responsiveness Criteria**

All Applications Specifically Not of Interest, as described in section I.C. of the FOA, are deemed nonresponsive and are not reviewed or considered.

**F. Other Eligibility Requirements**

**i. Requirements for DOE/NNSA FFRDCs Listed as the Applicant**

A DOE/NNSA FFRDC is not eligible to apply for funding under this FOA.

**ii. Requirements for DOE/NNSA and Non-DOE/NNSA FFRDCs Included as a Subrecipient**

DOE/NNSA and non-DOE/NNSA FFRDCs may not be proposed as a subrecipient on another entity's application.

**G. Limitation on Number of Concept Papers and Full Applications Eligible for Review**

An entity may submit only one Concept Paper and one Full Application for each topic area of this FOA. If an entity submits more than one Concept Paper and one Full Application to the same topic area, DOE will request a determination from the applicant's authorizing representative as to which application should be reviewed. Any other submissions received listing the same entity as the applicant for the same topic area will not be eligible for further consideration. This limitation does not prohibit an applicant from collaborating on other



applications (e.g., as a potential subrecipient or partner) so long as the entity is only listed as the applicant on one Concept Paper and one Full Application for each topic area of this FOA.

#### **H. Questions Regarding Eligibility**

DOE will not make eligibility determinations for potential applicants prior to the date on which applications to this FOA must be submitted. The decision whether to apply in response to this FOA lies solely with the applicant.

### **IV. Application and Submission Information**

#### **A. Application Process**

The application process includes multiple submission phases: Concept Paper, and Full Application. **Only applicants who have submitted a Concept Paper will be eligible to submit a Full Application.**

All submissions must conform to the form and content requirements described below, including maximum page lengths.

- Each must be submitted in Adobe PDF format unless stated otherwise;
- Each must be written in English;
- All pages must be formatted to fit on 8.5" x 11" paper with margins not less than one inch on every side. Use Calibri typeface, a black font color, and a font size of 12-point or larger (except in figures or tables, which may be 10-point font). A symbol font may be used to insert Greek letters or special characters, but the font size requirement still applies. References must be included as footnotes or endnotes in a font size of 10 or larger. Footnotes and endnotes are counted toward the maximum page requirement;
- A **control number** will be issued when an applicant begins the Infrastructure eXCHANGE application process. The control number must be included with all application documents. Specifically, the control number must be prominently displayed on the upper right corner of the header of every page and included in the file name (i.e., *Control Number\_Applicant Name\_Full Application*);
- Page numbers must be included in the footer of every page; and
- Each submission must not exceed the specified maximum page limit (as identified), including cover page, charts, graphs, maps, and photographs when printed using the formatting requirements set forth above and single spaced. If applicants exceed the maximum page lengths indicated below, DOE will review only the authorized number of pages and disregard any additional pages.



### **Additional Information on Infrastructure eXCHANGE**

Infrastructure eXCHANGE is designed to enforce the deadlines specified in this FOA. The “Apply” and “Submit” buttons will automatically disable at the defined submission deadlines.

Applicants who experience technical difficulties with submission PRIOR to the FOA deadline should contact the Infrastructure eXCHANGE helpdesk for assistance (InfrastructureExchangeSupport@hq.doe.gov).

### **B. Application Forms**

To access application forms and instructions available on Infrastructure eXCHANGE, go to <https://Infrastructure-eXCHANGE.energy.gov> and select the appropriate funding opportunity number.

Note: The maximum file size that can be uploaded to the Infrastructure eXCHANGE website is 50MB. Files larger than 50MB cannot be uploaded and hence cannot be submitted for review. If a file is larger than 50MB but is still within the maximum page limit specified in the FOA, it must be broken into parts and denoted to that effect. For example:

**Energy Auditor Training Program Plan\_Part\_1**  
**Energy Auditor Training Program Plan\_Part\_2**

**DOE will not accept late submissions that resulted from technical difficulties due to uploading files that exceed 50MB.**

### **C. Content and Form of the Concept Paper**

Each Concept Paper must be limited to a single concept and single topic area. The Concept Paper must conform to the requirements listed below, including the stated page limits.

DOE has provided an optional Concept Paper Template to assist with submitting the required information. The Concept Paper Template is available on the SCEP Clean Energy Infrastructure Funding Opportunity eXCHANGE under this FOA (DE-FOA-0003204).

| Section    | Page Limit     | Description                                                                                                                                                                                                                                                                                                                              |
|------------|----------------|------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|
| Cover Page | 1 page maximum | The cover page should include: <ul style="list-style-type: none"><li>• Control number;</li><li>• Project title;</li><li>• Specific Topic Area being addressed:<ol style="list-style-type: none"><li>1. Commercial Energy Auditors or</li><li>2. Residential Energy Auditors;</li></ol></li><li>• Prime applicant organization;</li></ul> |

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Problems with Infrastructure eXCHANGE? Email [InfrastructureExchangeSupport@hq.doe.gov](mailto:InfrastructureExchangeSupport@hq.doe.gov)



|                                             |                 |                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                 |
|---------------------------------------------|-----------------|---------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|
|                                             |                 | <ul style="list-style-type: none"><li>Names and contact information for the lead project manager and business points of contact;</li><li>Names of all team member organizations;</li><li>Federal budget requested, as divided among prime and sub-recipients, if applicable; and</li><li>Any statements regarding confidentiality.</li></ul>                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                    |
| <b>Statement of Need</b>                    | 5 pages maximum | The statement of need must demonstrate the need for assistance to train energy auditors to conduct energy audits or surveys of commercial and residential buildings <sup>46</sup> .                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                             |
| <b>Energy Auditor Training Program Plan</b> | 5 pages maximum | Applicants are required to describe succinctly: <ul style="list-style-type: none"><li><b>Project Overview:</b> The proposed energy auditor training program plan that includes:<ul style="list-style-type: none"><li>proposed training curriculum for energy audit trainees;</li><li>identification of the covered certification(s) that those trainees will receive on completion of that training curriculum;</li><li>expected per-individual cost of training; and</li><li>plan for connecting trainees with employment opportunities<sup>47</sup>.</li></ul></li><li><b>Strategic Planning:</b> Describe how the proposed Energy Auditor Training Program Plan supports, coordinates, or collaborates, with the State Energy Program<sup>48</sup>; Energy Efficiency Revolving Loan Fund Capitalization Grant Program<sup>49</sup>; State-Based Home Energy Efficiency Contractor Training Grants<sup>50</sup>; Home Energy Rebates<sup>51</sup>; Building Energy Codes<sup>52</sup>; or other relevant programs.</li></ul> |

<sup>46</sup> 42 U.S.C. 18793(a)(2)(a).

<sup>47</sup> 42 U.S.C. 18793(c)(2).

<sup>48</sup> [State Energy Program | Department of Energy](https://www.energy.gov/scep/state-energy-program) (<https://www.energy.gov/scep/state-energy-program>)

<sup>49</sup> [Weatherization Assistance Program | Department of Energy](https://www.energy.gov/scep/wap/weatherization-assistance-program) (<https://www.energy.gov/scep/wap/weatherization-assistance-program>)

<sup>50</sup> [State-Based Home Energy Efficiency Contractor Training Grants | Department of Energy](https://www.energy.gov/scep/state-based-home-energy-efficiency-contractor-training-grants) (<https://www.energy.gov/scep/state-based-home-energy-efficiency-contractor-training-grants>)

<sup>51</sup> [Home Energy Rebate Program | Department of Energy](https://www.energy.gov/scep/home-energy-rebate-program) (<https://www.energy.gov/scep/home-energy-rebate-program>)

<sup>52</sup> [Building Energy Codes Program | Department of Energy](https://www.energy.gov/eere/buildings/building-energy-codes-program) (<https://www.energy.gov/eere/buildings/building-energy-codes-program>)



|                 |                 |                                                                                                                                                                   |
|-----------------|-----------------|-------------------------------------------------------------------------------------------------------------------------------------------------------------------|
| <b>Addendum</b> | 2 pages maximum | <b>Optional Supports:</b> Applicants may provide graphs, charts, or other data to supplement their Statement of Need and/or Energy Auditor Training Program Plan. |
|-----------------|-----------------|-------------------------------------------------------------------------------------------------------------------------------------------------------------------|

DOE makes an independent assessment of each Concept Paper based on the criteria in section V.A.i. of the FOA. DOE will encourage a subset of applicants to submit Full Applications. Other applicants will be discouraged from submitting a Full Application (see section VI.A.ii.).

#### **D. Content and Form of the Full Application**

Applicants must complete the following application forms found on the Infrastructure eXCHANGE website at <https://Infrastructure-eXCHANGE.energy.gov/>.

Applicants will have approximately 60 days from receipt of the Concept Paper Encourage/Discourage notification on Infrastructure eXCHANGE to prepare and submit a Full Application. Regardless of the date the applicant receives the Encourage/Discourage notification, the submission deadline for the Full Application remains the date and time stated on the FOA cover page.

All Full Application documents must be marked with the control number issued to the applicant.

##### **i. Full Application Content Requirements**

Each Full Application must be limited to a single concept. Full Applications must conform to the following components, as applicable.

| Component                                         | File Format | File Name                                       |
|---------------------------------------------------|-------------|-------------------------------------------------|
| Statement of Need*                                | PDF         | ControlNumber_LeadOrganization_State mentofNeed |
| Energy Auditor Training Program Plan*             | PDF         | ControlNumber_LeadOrganization_EAT Program Plan |
| Resumes                                           | PDF         | ControlNumber_LeadOrganization_Resu mes         |
| Community Benefits Plan: Job Quality and Equity*  | PDF         | ControlNumber_LeadOrganization_CBP              |
| Community Benefits Plan Budget and Justification* | PDF         | ControlNumber_LeadOrganization_CBPB udget       |
| Letters of Commitment                             | PDF         | ControlNumber_LeadOrganization_LOCs             |
| Community Partnership Documentation, if available | PDF         | ControlNumber_LeadOrganization_Partn erDocs     |



|                                                                                       |               |                                                                  |
|---------------------------------------------------------------------------------------|---------------|------------------------------------------------------------------|
| SF-424: Application for Federal Assistance (including certifications and assurances)* | PDF           | ControlNumber_LeadOrganization_App424                            |
| Budget Justification Workbook*                                                        | MS Excel      | ControlNumber_LeadOrganization_Budget_Justification              |
| Summary/Abstract for Public Release*                                                  | PDF           | ControlNumber_LeadOrganization_Summary                           |
| Summary Slide*                                                                        | MS PowerPoint | ControlNumber_LeadOrganization_Slide                             |
| Subrecipient Budget Justification, if applicable                                      | MS Excel      | ControlNumber_LeadOrganization_Subrecipient_Budget_Justification |
| SF-LLL Disclosure of Lobbying Activities*                                             | PDF           | ControlNumber_LeadOrganization_SF-LLL                            |
| Transparency of Foreign Connections*                                                  | PDF           | BusinessSensitive_ControlNumber_LeadOrganization_TFC             |
| Potentially Duplicative Funding Notice*                                               | PDF           | ControlNumber_LeadOrganization_PDFN                              |
| Current and Pending Support*                                                          | PDF           | ControlNumber_LeadOrganization_CPS                               |

\*Required application components.

**Note:** The maximum file size that can be uploaded to the Infrastructure eXCHANGE website is 50MB (see section IV.B.).

DOE provides detailed guidance on the content and form of each component below.



## ii. **Statement of Need**

In accordance with the BIL Section 40503, eligible entities are States that have a demonstrated need for assistance for training energy auditors<sup>53</sup> to conduct energy audits, or surveys, of commercial and residential buildings.

To determine eligibility, the applicant must provide the current population of the state and should submit the following information:

- An effective needs assessment that clearly defines the problem.
- Use of valid and compelling quantitative and qualitative data to describe, compare, predict, or explain current or future need for residential or commercial energy auditors.
- Identification of the implications for the State, its communities, residents, and the broader energy efficiency industry if the challenges that exist are not addressed through this funded program.
- Clear gaps that exist between current energy auditor workforce development efforts or services (list of existing energy auditor training programs).
- Identification of the communities or populations that are impacted by the problem of not having enough energy auditors to conduct residential or commercial audits, how they are impacted, and the manner in which this funded program addresses their challenges.

The Statement of Need can include a table of contents, citations, charts, graphs, maps, photos, or other graphics. Applicants must provide sufficient citations and references to the primary research literature to justify the claims and approaches made in the Statement of Need.

DOE strongly encourages applicants to partner with State and Local Workforce Agencies and/or Boards to conduct a workforce needs assessment to identify the current residential or commercial energy auditor labor supply needed to meet the labor demands.

Save the Statement of Need in a single PDF file using the following convention for the title: "ControlNumber\_LeadOrganization\_StatementofNeed".

*Examples of demonstrating need:*

- A workforce gap analysis highlighting energy auditor employment deficiencies in States or territories.
- State labor market information related to commercial and residential energy auditors, including information regarding positions that feed into

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<sup>53</sup> 42 U.S.C. 18793(a)(2).

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this role and how the program will assist with enhancement of this pipeline.

- Available commercial and residential energy auditor job postings, and the number of days the job is posted or left vacant without being filled.
- Number of commercial and residential buildings that need an energy audit and the number of current energy auditors certified to conduct the audits.
- Number of individuals that have obtained one of the eligible certifications in a State or community versus that anticipated need for individuals with those certifications.

### iii. **Energy Auditor Training Program Plan**

The Energy Auditor Training Program Plan must conform to the following content and form requirements. This volume must address the technical review criteria as discussed in section V. Save the Energy Auditor Training Program Plan in a single PDF file using the following convention for the title:

“ControlNumber\_LeadOrganization\_EAT Program Plan”.

The Energy Auditor Training Program Plan (Full Application) can include a table of contents, citations, charts, graphs, maps, photos, or other graphics, and must include all information in the table below. The applicant should consider the weighting of each of the technical review criteria (see section V.) when preparing the Energy Auditor Training Program Plan.

The Energy Auditor Training Program Plan should clearly describe and expand upon information provided in the Concept Paper.

| Energy Auditor Training Program Plan Content Requirements |                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                        |
|-----------------------------------------------------------|--------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|
| SECTION/PAGE LIMIT                                        | DESCRIPTION                                                                                                                                                                                                                                                                                                                                                                                                                                                                                            |
| Cover Page                                                | <p>The cover page should include:</p> <ul style="list-style-type: none"><li>• Control number;</li><li>• Project title;</li><li>• Specific Topic Area being addressed:<ol style="list-style-type: none"><li>1. Commercial Energy Auditors or</li><li>2. Residential Energy Auditors;</li></ol></li><li>• Prime applicant organization;</li><li>• Names and contact information for the lead project manager and business points of contact;</li><li>• Names of all team member organizations;</li></ul> |



|                                                                    |                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                              |
|--------------------------------------------------------------------|--------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|
|                                                                    | <ul style="list-style-type: none"><li>• Federal budget requested, as divided among prime and sub-recipients, if applicable; and</li><li>• Any statements regarding confidentiality.</li></ul>                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                |
| <b>Overview</b><br><br>(Approximately 15% of the Technical Volume) | <p>The Overview must include the following sections:</p> <p><b>Project Goal.</b> The applicant should explicitly identify the targeted goal and the critical success factors in achieving that goal, including the ways in which the proposed project location and related infrastructure, skilled workforce, community benefits, etc. will contribute to the success of the project.</p> <p><b>Program Goals.</b> The applicant should explain how the project will meet the goals of the program (see section I.A.ii.), such as using informed curriculum and program design that aligns with current and future standards; offers energy auditor training for certifications and as a new or stackable credential to promote marketability for trainees and incumbent workers; supports the establishment of a standardized framing of the education and training requirements for energy auditors; enlarges the pipeline of diverse talent by closing gaps in job access, addressing workforce inclusion deficiencies, and improving disparities with underrepresented groups; connects auditor trainees to career opportunities that promote job quality and economic mobility; and prioritizes sustainability through practices and partnerships that support infrastructure development and the long-term value of a clean energy workforce through energy auditor training programs.</p> <p><b>DOE Impact.</b> The applicant should discuss the impact that DOE funding would have on the proposed project. Applicants should specifically explain how DOE funding, relative to prior, current, or anticipated funding from other public and private sources, is necessary to achieve the project objectives.</p> <p><b>Constraints on Resources.</b> The applicant should identify any potential long-term constraints the project may face. If applicable, describe a how to alleviate the impact of these constraints.</p> <p><b>Partners.</b> List the partners that can support and advance the work of the program plan. If available, the list of partners already engaged that will implement the Grant and assist to sustain activities beyond the Grant period of performance.</p> <p><b>Risks.</b> The key technical, practical, regulatory, and/or financial risks and issues associated with the proposed project.</p> <p><b>Leverage.</b> Explain the efforts that will be taken to braid existing programs, resources, and services in effort to create comprehensive development</p> |



|                                                                   |                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                  |
|-------------------------------------------------------------------|----------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|
|                                                                   | opportunities and leverage existing programs. If applicable, describe how the proposed Energy Auditor Training Program Plan supports, coordinates, or collaborates, with the State Energy Program <sup>54</sup> ; Energy Efficiency Revolving Loan Fund Capitalization Grant Program <sup>55</sup> ; State-Based Home Energy Efficiency Contractor Training Grants <sup>56</sup> ; State-Based Home Energy Rebates <sup>57</sup> ; Building Energy Codes <sup>58</sup> ; or other relevant programs.                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                             |
| <b>Content</b><br><br>(Approximately 25% of the Technical Volume) | <p>The Energy Auditor Training Program Plan must include the following:</p> <p><b>Proposed training curriculum for energy audit trainees.</b> Explain how the residential or commercial identified energy auditor curriculum aligns with industry, association, state, and federal standards; training standards promote integration with current practices and future trends in the industry; curriculum and training design will prepare workers for the demands of the present and the future; and explain how existing programs will be leveraged and best practices incorporated into the program design.</p> <p><b>Identify the covered certification(s) that the trainees will receive on completion of that training curriculum.</b> List the chosen covered certification(s) that clearly align with established program standards and industry needs. If a covered certification is not incorporated into the program, then the applicant will need to identify and justify the connection between the program requirement for standard certifications. The proposed certification will need to be recognized by the DOE<sup>59</sup>.</p> <p><b>Expected per-individual cost of training.</b> Provide an expected calculation of the cost per trainee. Outline how the cost to train or certify a trainee will not exceed 10% of the total Grant funds awarded<sup>60</sup>. Describe the benefits that the trainee receives through participating in the program.</p> <p><b>Plan for connecting trainees with employment opportunities.</b> Explain how individuals will transition from trainee to new hire. Outline the strategies that will be explored to support apprenticeship or other on-the-job paid experiences. Secure letters of support or memorandum of understanding with employers to hire participants, as permitted by the relevant state law.</p> |

<sup>54</sup> [State Energy Program | Department of Energy](https://www.energy.gov/scep/state-energy-program) (<https://www.energy.gov/scep/state-energy-program>)

<sup>55</sup> [Weatherization Assistance Program | Department of Energy](https://www.energy.gov/scep/wap/weatherization-assistance-program) (<https://www.energy.gov/scep/wap/weatherization-assistance-program>)

<sup>56</sup> [State-Based Home Energy Efficiency Contractor Training Grants | Department of Energy](https://www.energy.gov/scep/state-based-home-energy-efficiency-contractor-training-grants) (<https://www.energy.gov/scep/state-based-home-energy-efficiency-contractor-training-grants>)

<sup>57</sup> [Home Energy Rebate Program | Department of Energy](https://www.energy.gov/scep/home-energy-rebate-program) (<https://www.energy.gov/scep/home-energy-rebate-program>)

<sup>58</sup> [Building Energy Codes Program | Department of Energy](https://www.energy.gov/eere/buildings/building-energy-codes-program) (<https://www.energy.gov/eere/buildings/building-energy-codes-program>)

<sup>59</sup> 42 U.S.C. 18793(a)(1).

<sup>60</sup> 42 U.S.C. 18793(e)(1)(b).



**Statement of Project Objectives, Activities, and Workplan**

(Approximately 20% of the Technical Volume)

The Statement of Project Objectives, Activities, and Workplan section should contain the following information:

**Outreach, Recruitment, Enrollment and Retention.** Applicants must provide the following:

- comprehensive description of a coordinated outreach, recruitment, and enrollment strategy (e.g., effective marketing avenues, such as digital and social media advertising as well as translation services to promote the program in the language of potential participants.)
- partnership plan that includes the workforce system, associations, organizations, or industry to support the program and its trainees;
- strategy for engaging diverse and underserved populations;
- list of training initiatives, like wraparound services and professional development resources, that will be utilized to provide holistic trainee development and placement; and
- explanation for how trainees will be retained throughout the program.

**Outcomes.** Applicants must provide a table that clearly identifies the outcomes and the outputs (listed below) that will result from the project. This table must be accompanied with supportive narrative to explain how these outcomes and outputs align with their project goals. Applicants must explain how they plan to report on the participant training and employment performance outcomes and include numerical outcome projections for outcome measures below.

- Total students that the program plan to outreach.
- Total students that will enroll in training activities.
- Total students that will complete training activities.
- Total students that will receive certifications.
- Total number of students from disadvantaged communities that will complete training activities, receive a certification, and obtain employment.

A thorough explanation of how the outcome projections are feasible and appropriate numerical targets for the project design—specifically, detailing how the targets were derived and how the targets fit into the overall timeline of Grant implementation

Applicants must provide proposed total target numbers for the 36-month grant period of performance. Successful applicants will be required to provide annual outcome targets within the first year of the Grant. The Department uses these annual targets to better track performance and provide technical assistance support to help grantees meet their period of performance goals.



|                                                                                            |                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                            |
|--------------------------------------------------------------------------------------------|----------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|
|                                                                                            | <p><b>Workplan and Task Description:</b> Applicants shall briefly describe the work to be accomplished, milestones and key deliverables that will be used to meet the project goal(s). Deliverables should accurately and effectively convey the progress and positive impact the program will have for disadvantaged communities. The Workplan is to be structured with a hierarchy of performance period (approximately annual) with tasks and subtasks, which is typical of a standard Workplan for any project. The Workplan shall contain a concise description of the specific activities to be conducted over the life of the project.</p> <p><b>Milestones:</b> The applicant should provide a summary of appropriate milestones throughout the project to demonstrate success. A milestone may be a progress measure (which can be activity based). The applicant should also provide how the milestone will be verified.</p> <p><b>End of Project Goal:</b> The applicant should provide a summary of the end of project goal(s).</p> <p><b>Project Schedule (Gantt Chart or similar):</b> The applicant should provide a schedule for the entire project, including task and subtask durations, milestones.</p> |
| <p><b>Qualifications and Resources</b><br/>(Approximately 10% of the Technical Volume)</p> | <p>The Qualifications and Resources should provide:</p> <ul style="list-style-type: none"><li>• Resource and staffing plans that to ensures effective program management, implementation, and sustainability.</li><li>• A description of the project team’s unique qualifications and expertise, including those of key subrecipients;</li><li>• Resumes of project manager and senior/key personnel (see section IV.D.iv.)</li><li>• An explanation of how relevant previous work efforts and demonstrated innovations enable the applicant to achieve the project objectives;</li><li>• The time commitment of the key team members to support the project;</li><li>• If applicable, for multi-organizational projects, a succinct description of:<ul style="list-style-type: none"><li>○ The roles and the work to be performed by the project manager and Senior/Key Personnel at the prime and sub levels;</li><li>○ Business agreements between the applicant and sub;</li><li>○ How the various efforts will be integrated and managed; and</li><li>○ Communication plans.</li></ul></li></ul>                                                                                                                      |



|                                                                               |                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                |
|-------------------------------------------------------------------------------|------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|
| <b>Sustainability Plan</b><br>(Approximately 10% of the Technical Volume)     | <p>The Sustainability Plan must provide answers to the following questions, and any additional information that the applicant would like to provide:</p> <ul style="list-style-type: none"> <li>• How the curriculum, certification alignment, and training design can be solidified and available to meet future labor demands for energy auditors?</li> <li>• How will the state design the curriculum, certifications, and training program based on community needs?</li> <li>• What future partnerships and collaborations are necessary to integrate the program in the communities? How will these partnerships sustain diversity, equity, access, and inclusion needs?</li> <li>• What avenues and partnerships will be utilized to promote consistent closure of skill gaps for present and future auditors?</li> <li>• What is the anticipated future funding need and what method will be utilized to secure future funding (<i>i.e.</i>, grants, sponsorships, and partnerships)?</li> <li>• What is the human capital need to support the continuation of training, certification, and employment placement of energy auditors and what is the plan to meet that need?</li> </ul> |
| <b>Community Benefits Plan</b><br>(Approximately 20% of the Technical Volume) | <p>The Community Benefits Plan must address the following:</p> <ol style="list-style-type: none"> <li>1. Community and Labor Engagement</li> <li>2. Investing in Job Quality and Workforce Continuity</li> <li>3. Diversity, Equity, Inclusion, and Accessibility</li> <li>4. Justice40 Initiative</li> </ol> <p>For additional information about the Community Benefits Plan requirements, see section IV.D.v.</p>                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                            |

#### iv. Resumes

A resume provides information reviewers can use to evaluate an individual's relevant skills and the experience of the key project personnel. Applicants must submit a resume (limited to three pages) for each project manager and Senior/Key Personnel that includes the following:

1. Contact information;
2. Education: All academic institutions attended, major/area, degree;
3. Training: (e.g., certification or credential from a Registered Apprenticeship or Labor Management Partnership);



4. Professional experience: Beginning with the current position, list professional/academic positions in chronological order with a brief description;
5. List all current academic, professional, or institutional appointments, foreign or domestic, at the applicant institution or elsewhere, whether or not remuneration is received, and whether full-time, part-time, or voluntary; and
6. There should be no lapses in time over the past 10 years or since age 18, whichever period is shorter.

As an alternative to a resume, it is acceptable to use the biographical sketch format approved by the National Science Foundation (NSF). The biographical sketch format may be generated by the Science Experts Network Curriculum Vita (SciENCv), a cooperative venture maintained at <https://www.ncbi.nlm.nih.gov/sciencv/>, also available at <https://nsf.gov/bfa/dias/policy/nsfapprovedformats/biosketch.pdf>. The use of a format required by another agency is intended to reduce the administrative burden to researchers by promoting the use of common formats.

Save the resumes in a single PDF file using the following convention for the title: "ControlNumber\_LeadOrganization\_Resumes".

**v. Community Benefits Plan: Job Quality and Equity**

The Community Benefits Plan: Job Quality and Equity (Community Benefits Plan or Plan) must set forth the applicant's approach to ensuring that federal investments advance four goals: 1) community and labor engagement; 2) investing in job quality and workforce continuity 3) advancing DEIA; and 4) contributing to the Justice40 Initiative. The below sections include the requirements for each goal. The Community Benefits Plan should indicate the applicant's intention to engage meaningfully with labor and community stakeholders on these goals, including the potential of entering into formal Workforce and Community Agreements. Given project complexity and sensitivities, applicants should consider pursuing multiple agreements.

For your convenience, a Community Benefits Plan template is available at: [About Community Benefits Plans](#). Applicants are strongly encouraged to use the template to complete their specific Plan. If the template is not used, the Plan must address all of the elements described below, and as outlined in the template.

The applicant's Community Benefits Plan must include at least one Specific, Measurable, Attainable, Realistic and Timely (SMART) milestone per budget period to measure progress on the proposed actions. The Plan will be evaluated as part of the technical review process. If DOE selects a project, DOE will incorporate the Community Benefits Plan into the award and the recipient must

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implement its Community Benefits Plan when carrying out its project. Public transparency around the plan and SMART commitments ensure accountability. In addition, DOE will evaluate the recipient's progress during the award period of performance, including as part of the Go/No-Go review process.

The Community Benefits Plan must be submitted in PDF format using the following convention name for the title: "Control Number\_LeadOrganization\_CBP." This Plan must address the technical review criterion titled "Community Benefits Plan: Job Quality & Equity" (see section V.).

For additional information, see [About Community Benefits Plans](#).

The Community Benefits Plan must address the following<sup>61</sup>:

**1. Community and Labor Engagement:** The Community Benefits Plan must describe the applicant's actions to date and plans to engage with community partners, such as local and/or Tribal governments, labor unions, and community-based organizations that support or work with underserved communities, including disadvantaged communities as defined for purposes of the Justice40 Initiative. By facilitating community input, social buy-in, and accountability, such engagement can substantially reduce or eliminate stalls or slowdowns, litigation, and other risks associated with project implementation.

Community and labor engagement should lay the groundwork for the negotiation of Workforce and Community Agreements, which could take the form of one or more kinds of negotiated agreements with communities, labor unions, or, ideally, both. Registered apprenticeship programs, labor-management training partnerships, quality pre-apprenticeship programs, a card check provision, and local and targeted hiring goals are all examples of provisions that Workforce and Community Agreements could cover that would increase the success of a DOE-funded project.

Applicants should also provide Community and Labor Partnership Documentation from representative organizations reflecting substantive engagement and feedback on the applicant's approach to community benefits, including job quality and workforce continuity; diversity, equity, inclusion, and accessibility; and the Justice40 Initiative detailed below.

**2. Investing in Job Quality and Workforce Continuity:** A well-qualified, skilled, and trained workforce is necessary to ensure project stability, continuity, and success, and to meet program goals. High-quality jobs, as described in the

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<sup>61</sup> DOE encourages states to align energy auditor training plans with evidence-based practices described in the U.S. Department of Labor's Clearinghouse for Labor Evaluation and Research (CLEAR): <https://clear.dol.gov/>.  
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Departments of Labor and Commerce’s Good Jobs Principles, are critical to attracting and retaining the qualified workforce required<sup>62</sup>.

The Plan must describe the applicant’s approach to investing in workforce education and training of both new and incumbent workers and ensuring jobs are of sufficient quality to attract and retain skilled workers in the industry.

As the 1935 National Labor Relations Act states, employees’ ability to organize, bargain collectively, and participate, through labor organizations of their choosing, in decisions that affect them contributes to the effective conduct of business and facilitates amicable settlements of any potential disputes between employees and employers, providing assurances of project efficiency, continuity, and multiple public benefits.

The Plan must include:

- A) A summary of the applicant’s plan to attract, train, and retain a skilled and well-qualified workforce for construction *and* ongoing operations/production activities. A collective bargaining agreement, labor-management partnership, or other similar agreement would provide evidence of such a plan. Alternatively, applicants may describe:
  - i. Wages, benefits, and other worker supports to be provided, benchmarking against prevailing wages for construction and local median wages for other occupations;
  - ii. Commitments to invest in workforce education and training, including measures to reduce attrition, increase productivity from a committed and engaged workforce, and support the development of a resilient, skilled, and stable workforce for the project; and
  - iii. Efforts to engage employees in the design and execution of workplace safety and health plans.
- B) It is the policy of the United States to eliminate the causes of certain substantial obstructions to the free flow of commerce by encouraging the practice and procedure of collective bargaining and by protecting the exercise by workers of full freedom of association. Applicant should provide a description of how and if they plan to affirmatively support worker organizing and collective bargaining. This might include a commitment to negotiate pre-hire project labor agreements for construction activity, a pledge to remain neutral during any union organizing campaigns, intention or willingness to permit union recognition through card check (as opposed to requiring union elections),

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<sup>62</sup> <https://www.dol.gov/sites/dolgov/files/goodjobs/Good-Jobs-Summit-Principles-Factsheet.pdf>

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intention or willingness to enter into binding arbitration to settle first contracts, a pledge to allow union organizers access to appropriate onsite non-work places (e.g., lunch rooms), a pledge to refrain from holding captive audience meetings, and other supportive commitments or pledges.

**3. Diversity, Equity, Inclusion, and Accessibility:** The Community Benefits Plan must include a section describing how DEIA objectives will be incorporated into the project. The section should detail how the applicant will partner with underrepresented businesses, educational institutions, and training organizations that serve workers who face barriers to accessing quality jobs, and/or other project partners to help address DEIA.

The following is a list of potential DEIA actions that could be included in a Plan. This list is offered to provide guidance to applicants and is not intended to be comprehensive:

- A) Commit to partnering with Minority Business Enterprises, minority-owned businesses, women-owned businesses, and veteran-owned businesses for contractor support needs;
- B) To fill open positions for the DOE-funded project, partner with workforce training organizations serving underrepresented communities and those facing systemic barriers to quality employment, such as those with disabilities, women, returning citizens, opportunity youth, and veterans;
- C) Provide workers with comprehensive support services, such as childcare and transportation, to increase representation and access in project's construction and operations jobs.

**4. Justice40 Initiative:** Applicants must provide an overview of benefits to disadvantaged communities that the project can deliver, supported by measurable milestones. The Justice40 Initiative section must include:

- A. Identification of applicable disadvantaged communities to which the anticipated project benefits will flow.
- B. Identification of applicable benefits that are quantifiable, measurable, and trackable, including, at a minimum, a discussion of the relevance of each of the eight DOE Justice40 Initiative benefits outlined below.

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 high-quality 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. Applicants should also discuss how the project will maximize all the benefits listed in number 4 above.

- C. A description of how and when anticipated benefits are expected to flow to disadvantaged communities. For example, whether the benefits will be provided directly within disadvantaged communities identified in the Justice40 Initiative section or in another way; whether the benefits will flow during project development or after project completion; and how the applicant will track benefits delivered.
- D. A discussion of anticipated negative and cumulative environmental impacts on disadvantaged communities. Applicants should discuss any anticipated negative or positive environmental impacts associated with the project, and how they will mitigate any negative impacts. Within the context of cumulative impacts created by the project, applicants should use Environmental Protection Agency's EJSCREEN tool to quantitatively discuss existing environmental impacts in the project area. See [EJScreen: Environmental Justice Screening and Mapping Tool](#).

For projects funded under this FOA, DOE will provide specific reporting guidance for the benefits described above.

**vi. Community Benefits Plan Budget Justification**

Applicants must provide a separate budget justification identifying the Community Benefits Plan costs included in the "Budget Justification Workbook" (see section IV.D.xi.). This Community Benefits Plan Budget Justification must include the same justification information described in the "Budget Justification Workbook" section IV.D.xi. below, but should only include Community Benefits Plan costs. Save the Community Benefits Plan Budget Justification in a Microsoft Excel file using the following convention for the title: "ControlNumber\_CBP\_Budget\_Justification".

**vii. Letters of Commitment (if applicable)**

Submit letters of commitment from all subrecipient and third-party cost share providers, if applicable. The letter must state that the third party is committed to providing a specific minimum dollar amount or value of in-kind contributions allocated to cost sharing. The following information for each third party contributing to cost sharing should be identified: (1) the name of the

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organization; (2) the proposed dollar amount to be provided; and (3) the proposed cost sharing type (cash-or in-kind contributions). Each letter must not exceed one page. Save the letters of commitment in a single PDF file using the following convention for the title: "ControlNumber\_LeadOrganization\_LOCs".

Letters of support or endorsement for the project from entities that do not have a substantive role in the project will not be accepted.

**viii. Optional Community Partnership Documentation**

In support of the Community Benefits Plan, applicants may submit documentation to demonstrate existing or planned partnerships with community entities, such as organizations that work with local stakeholders most vulnerable to or affected by the project. Examples of such entities include organizations that carry out workforce development programs, labor unions, Tribal organizations, and community-based organizations that work with disadvantaged communities. The partnership documentation can be a letter on a partner's letterhead outlining the planned partnership and signed by an officer of the entity, a Memorandum of Understanding, or another similar agreement. Such letters must state the specific nature of the partnership and must not be general letters of support. If the applicant intends to enter into Workforce and Community Agreements as part of the Community Benefits Plan, they should include letters from proposed partners. Each letter must not exceed one page. In total, the partnership documentation must not exceed 10 pages. Save the partnership documentation in a single PDF file using the following convention for the title: "ControlNumber\_LeadOrganization\_PartnerDoc".

**ix. SF-424: Application for Federal Assistance**

Applicants must complete the SF-424: Application for Federal Assistance, which is available on Infrastructure eXCHANGE at <https://Infrastructure-eXCHANGE.energy.gov/>. Note: The dates and dollar amounts on the SF-424 are for the complete project period and not just the first project year, first phase, or



another subset of the project period. Save the SF-424 in a single PDF file using the following convention for the title: "ControlNumber\_LeadOrganization\_424".

**x. Financial Assistance Certifications and Assurances for use with SF-424**

Applicants must submit the following certifications and assurances with each application for financial assistance<sup>63</sup>:

- Certifications Regarding Lobbying; Debarment, Suspension and Other Responsibility Matters
- Drug Free Workplace Requirements
- Assurance of Compliance Nondiscrimination in Federally Assisted Programs

The name of the person responsible for making the certifications and assurances must be typed in the signature block on the forms. Signature on the certification form assurance compliance with certification requirements under 10 CFR Part 601 "New Restrictions on Lobbying," 10 CFR Part 606 "Governmentwide Debarment and Suspension (Non-procurement)" and 10 CFR Part 607 "Governmentwide Requirements for Drug-Free Workplace (Grants)."

**xi. Budget Justification Workbook**

Applicants must complete the Budget Justification Workbook, available on Infrastructure eXCHANGE at <https://Infrastructure-eXCHANGE.energy.gov/>.

Applicants must complete each tab of the Budget Justification Workbook for the project, including all work to be performed by the prime recipient and its subrecipients and contractors. Applicants should include costs associated with implementing the various BIL-specific requirements (e.g., Buy America requirements for infrastructure projects, Davis-Bacon, Community Benefits Plan, reporting, oversight) and with required annual audits and incurred cost proposals in their proposed budget documents. Such costs may be reimbursed as a direct or indirect cost. The "Instructions and Summary" included with the Budget Justification Workbook will auto-populate as the applicant enters information into the Workbook. Applicants must carefully read the "Instructions and Summary" tab provided within the Budget Justification Workbook. Save the Budget Justification Workbook in a single Microsoft Excel file using the following convention for the title:

"ControlNumber\_LeadOrganization\_Budget\_Justification".

**xii. Summary/Abstract for Public Release**

Applicants must submit a one-page summary of their project that is suitable for dissemination to the public. It should be a self-contained document that identifies the name of the applicant, the lead project manager/principal

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<sup>63</sup> [Certifications and Assurances for Use with SF-424 \(energy.gov\)](https://www.energy.gov/management/articles/certifications-and-assurances-use-sf-424) (<https://www.energy.gov/management/articles/certifications-and-assurances-use-sf-424>)

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investigator(s), the project title, the objectives of the project, a description of the project, including methods to be employed, the potential impact of the project (e.g., benefits, outcomes), major participants (for collaborative projects), and the project's commitments and goals described in the Community Benefits Plan. This document must not include any proprietary or business-sensitive information, as DOE may make it available to the public after selections are made. The summary must not exceed one page when printed, using standard 8.5" x 11" paper with 1" margins (top, bottom, left, and right) with font not smaller than 12-point. Save the Summary for Public Release in a single PDF file using the following naming convention: "ControlNumber\_LeadOrganization\_Summary".

**xiii. Summary Slide**

Applicants must provide a single slide summarizing the proposed project. The Summary Slide template is available on Infrastructure eXCHANGE at <https://Infrastructure-eXCHANGE.energy.gov/> and must include the following information:

- Energy Auditor Training Program Plan summary including identified covered certifications;
- Description of the program's impact;
- Proposed project goals;
- Any key graphics (illustrations, charts, or tables);
- The project's key idea/takeaway;
- Topline community benefits;
- Project title, prime recipient, PI/LPM, and Senior/Key Personnel information; and
- Requested DOE funds and proposed applicant cost share.

Save the Summary Slide in a single Microsoft PowerPoint file using the following convention for the title: "ControlNumber\_LeadOrganization\_Slide".

**xiv. Subrecipient Budget Justification (if applicable)**

Applicants must provide a separate budget justification for each subrecipient that is expected to perform work estimated to be more than \$250,000 or 25% of the total work effort, whichever is less. The budget justification must include the same justification information described in the "Budget Justification" section above. Save each subrecipient budget justification in a Microsoft Excel file using the following convention for the title: "ControlNumber\_LeadOrganization\_Subrecipient\_Budget\_Justification".



**xv. SF-LLL: Disclosure of Lobbying Activities**

Recipients and subrecipients may not use any federal funds to influence or attempt to influence, directly or indirectly, congressional action on any legislative or appropriation matters.

Recipients and subrecipients are required to complete and submit SF-LLL, "Disclosure of Lobbying Activities"

(<https://www.grants.gov/web/grants/forms/sf-424-individual-family.html>) to ensure that non-federal funds have not been paid and will not be paid to any person for influencing or attempting to influence any of the following in connection with the application:

- An officer or employee of any federal agency;
- A member of Congress;
- An officer or employee of Congress; or
- An employee of a member of Congress.

Save the SF-LLL in a single PDF file using the following convention for the title: "ControlNumber\_LeadOrganization\_SF-LLL".

The information may be provided in the format approved by the NSF, which may be generated by the Science Experts Network Curriculum Vita (SciENCv), a cooperative venture maintained at <https://www.ncbi.nlm.nih.gov/sciencv/> and also available at:

<https://www.nsf.gov/bfa/dias/policy/nsfapprovedformats/cps.pdf>. The use of a format required by another agency is intended to reduce the administrative burden to researchers by promoting the use of common formats. If the NSF format is used, the individual must still include a signature, date, and a certification statement using the language included in the paragraph above.

**xvi. Transparency of Foreign Connections**

Applicants must provide the following as it relates to the proposed recipient and subrecipients. Include a separate disclosure for the applicant and each proposed subrecipient. U.S. National Laboratories, domestic government entities, and institutions of higher education are only required to respond to items 1, 2 and 9, and if applying as to serve as the prime recipient, must provide complete responses for project team members that are not U.S. National Laboratories, domestic government entities, or institutions of higher education.

1. Entity name, website address, and mailing address;
2. The identity of all owners, principal investigators, project managers, and senior/key personnel who are a party to any *Foreign Government-*



- Sponsored Talent Recruitment Program* of a foreign country of risk (i.e., China, Iran, North Korea, and Russia);
3. The existence of any joint venture or subsidiary that is based in, funded by, or has a foreign affiliation with any foreign country of risk;
  4. Any current or pending contractual or financial obligation or other agreement specific to a business arrangement, or joint venture-like arrangement with an enterprise owned by a foreign state or any foreign entity;
  5. Percentage, if any, that the proposed recipient or subrecipient has foreign ownership or control;
  6. Percentage, if any, that the proposed recipient or subrecipient is wholly or partially owned by an entity in a foreign country of risk;
  7. Percentage, if any, of venture capital or institutional investment by an entity that has a general partner or individual holding a leadership role in such entity who has a foreign affiliation with any foreign country of risk;
  8. Any technology licensing or intellectual property sales to a foreign country of risk, during the 5-year period preceding submission of the proposal;
  9. Any foreign business entity, offshore entity, or entity outside the United States related to the proposed recipient or subrecipient;
  10. Complete list of all directors (and board observers), including their full name, citizenship and shareholder affiliation, date of appointment, duration of term, as well as a description of observer rights as applicable;
  11. Complete capitalization table for your entity, including all equity interests (including LLC and partnership interests, as well as derivative securities). Include both the number of shares issued to each equity holder, as well as the percentage of that series and all equity on a fully diluted basis. Identify the principal place of incorporation (or organization) for each equity holder. If the equity holder is a natural person, identify the citizenship(s). If the recipient or subrecipient is a publicly traded company, provide the above information for shareholders with an interest greater than 5%;
  12. A summary table identifying all rounds of financing, the purchase dates, the investors for each round, and all the associated governance and information rights obtained by investors during each round of financing; and
  13. An organization chart to illustrate the relationship between your entity and the immediate parent, ultimate parent, and any intermediate parent, as well as any subsidiary or affiliates. Identify where each entity is incorporated.

DOE reserves the right to request additional or clarifying information based on the information submitted.



Save the Transparency of Foreign Connections information in a single PDF file using the following convention for the title:  
“ControlNumber\_LeadOrganization\_TFC.”

**xvii. Potentially Duplicative Funding Notice**

If the applicant or project team member has other active awards of federal funds, the applicant must determine whether the activities of those awards potentially overlap with the activities set forth in its application to this FOA. If there is a potential overlap, the applicant must notify DOE in writing of the potential overlap and state how it will ensure any project funds (i.e., recipient cost share and federal funds) will not be used for identical cost items under multiple awards. Likewise, for projects that receive funding under this FOA, if a recipient or project team member receives any other award of federal funds for activities that potentially overlap with the activities funded under the DOE award, the recipient must promptly notify DOE in writing of the potential overlap and state whether project funds from any of those other federal awards have been, are being, or are to be used (in whole or in part) for one or more of the identical cost items under the DOE award. If there are identical cost items, the recipient must promptly notify the DOE Contracting Officer in writing of the potential duplication and eliminate any inappropriate duplication of funding.

Save the Potentially Duplicative Funding Notice in a single PDF file using the following convention for the title: “ControlNumber\_LeadOrganization\_PDFN.”

**xviii. Current and Pending Support**

Current and pending support is intended to allow the identification of potential duplication, overcommitment, potential conflicts of interest or commitment, and all other sources of support. As part of the application, the Principal Investigator or Lead Project Manager and all senior/key personnel at the applicant and subrecipient level must provide a list of all sponsored activities, awards, and appointments, whether paid or unpaid; provided as a gift with terms or conditions or provided as a gift without terms or conditions; full-time, part-time, or voluntary; faculty, visiting, adjunct, or honorary; cash or in-kind; foreign or domestic; governmental or private-sector; directly supporting the individual’s research or indirectly supporting the individual by supporting students, research staff, space, equipment, or other research expenses. All connections with foreign government-sponsored talent recruitment programs must be identified in current and pending support.

For every activity, list the following items:

- The sponsor of the activity or the source of funding;
- The award or other identifying number;



- The title of the award or activity. If the title of the award or activity is not descriptive, add a brief description of the research being performed that would identify any overlaps or synergies with the proposed research;
- The total cost or value of the award or activity, including direct and indirect costs and cost share. For pending proposals, provide the total amount of requested funding;
- The award period (start date through end date); and
- The person-months of effort per year dedicated to the award or activity.

To identify overlap, duplication of effort, or synergistic efforts, append a description of the other award or activity to the current and pending support.

Details of any obligations, contractual or otherwise, to any program, entity, or organization sponsored by a foreign government must be provided on request to either the applicant institution or DOE. Supporting documents of any identified source of support must be provided to DOE on request, including certified translations of any document.

PIs and senior/key personnel must provide a separate disclosure statement listing the required information above regarding current and pending support. Each individual must sign and date their respective disclosure statement and include the following certification statement:

I, [Full Name and Title], certify to the best of my knowledge and belief that the information contained in this Current and Pending Support Disclosure Statement is true, complete, and accurate. I understand that any false, fictitious, or fraudulent information, misrepresentations, half-truths, or omissions of any material fact, may subject me to criminal, civil, or administrative penalties for fraud, false statements, false claims, or otherwise. (18 U.S.C. §§ 1001 and 287, and 31 U.S.C. §§ 3729-3733 and 3801-3812). I further understand and agree that (1) the statements and representations made herein are material to DOE's funding decision, and (2) I have a responsibility to update the disclosures during the period of performance of the award should circumstances change which impact the responses provided above.

The information may be provided in the approved common disclosure format available at Common Form for Current and Pending (Other) Support (nsf.gov).

Save the Current and Pending Support in a single PDF file using the following convention for the title: "ControlNumber\_LeadOrganization\_CPS".



## Definitions:

**Current and pending support** – (a) All resources made available, or expected to be made available, to an individual in support of the individual’s RD&D efforts, regardless of (i) whether the source is foreign or domestic; (ii) whether the resource is made available through the entity applying for an award or directly to the individual; or (iii) whether the resource has monetary value; and (b) includes in-kind contributions requiring a commitment of time and directly supporting the individual’s RD&D efforts, such as the provision of office or laboratory space, equipment, supplies, employees, or students. This term has the same meaning as the term Other Support as applied to researchers in NSPM-33: For researchers, Other Support includes all resources made available to a researcher in support of and/or related to all of their professional RD&D efforts, including resources provided directly to the individual or through the organization, and regardless of whether or not they have monetary value (e.g., even if the support received is only in-kind, such as office/laboratory space, equipment, supplies, or employees). This includes resource and/or financial support from all foreign and domestic entities, including but not limited to gifts provided with terms or conditions, financial support for laboratory personnel, and participation of student and visiting researchers supported by other sources of funding.

**Foreign Government-Sponsored Talent Recruitment Program** – An effort directly or indirectly organized, managed, or funded by a foreign government, or a foreign government instrumentality or entity, to recruit science and technology professionals or students (regardless of citizenship or national origin, or whether having a full-time or part-time position). Some foreign government-sponsored talent recruitment programs operate with the intent to import or otherwise acquire from abroad, sometimes through illicit means, proprietary technology or software, unpublished data and methods, and intellectual property to further the military modernization goals and/or economic goals of a foreign government. Many, but not all, programs aim to incentivize the targeted individual to physically relocate to the foreign state for the above purpose. Some programs allow for or encourage continued employment at United States research facilities or receipt of federal research funds while concurrently working at and/or receiving compensation from a foreign institution, and some direct participants not to disclose their participation to United States entities. Compensation could take many forms, including cash, research funding, complimentary foreign travel, honorific titles, career advancement opportunities, promised future compensation, or other types of remuneration or consideration, including in-kind compensation.

**Senior/key personnel** – An individual who contributes in a substantive, meaningful way to the scientific development or execution of a research,

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development, and demonstration (RD&D) project proposed to be carried out with a DOE award.<sup>64</sup>

**E. Content and Form of Replies to Reviewer Comments**

DOE will provide applicants with reviewer comments following the evaluation of all eligible Full Applications. Applicants have a brief opportunity to prepare a short Reply to Reviewer Comments (Reply). The Reply must not exceed three pages. If a Reply is more than three pages in length, DOE will review only the first three pages and disregard additional pages. Applicants may use the Reply to respond to one or more comments or to supplement their Full Application. The Reply may include text, graphs, charts, or data.

DOE will post the reviewer comments in Infrastructure eXCHANGE. The expected submission deadline is on the cover page of the FOA; however, it is the applicant's responsibility to monitor Infrastructure eXCHANGE if the expected date changes. The deadline will not be extended for applicants who are unable to timely submit their Reply due to failure to check Infrastructure eXCHANGE or relying on the expected date alone. Applicants should anticipate having approximately three (3) business days to submit a Reply.

Applicants are not required to submit a Reply to Reviewer Comments. DOE will review and consider each eligible Full Application, even if no Reply is submitted or if the Reply is found to be ineligible.

**F. Post Selection Information Requests**

If selected for award negotiations, DOE reserves the right to require that selected applicants provide additional or clarifying information regarding the application submissions, the project, the project team, the award requirements, and any other matters related to anticipated award. The following is a list of examples of information that may be required:

- Personnel proposed to work on the project and collaborating organizations (see section.VI.B.xvi.);
- Current and Pending Support (see section.VI.B.xvii.);
- Indirect cost information;
- Other budget information;
- Letters of Commitment from third parties contributing to cost share, if applicable (see section.IV.D.vii.);

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<sup>64</sup> Typically, these individuals have doctoral or other professional degrees, although individuals at the master's or baccalaureate level may be considered Senior/Key Personnel if their involvement meets this definition. Consultants, graduate students, and those with a postdoctoral role also may be considered Senior/Key Personnel if they meet this definition.

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- Name and phone number of the Designated Responsible Employee for complying with national policies prohibiting discrimination (See 10 CFR 1040.5);
- Information for the DOE Office of Civil Rights to process assurance reviews under 10 CFR 1040;
- Representation of Limited Rights Data and Restricted Software, if applicable;
- Information related to Davis-Bacon Act requirements;
- Information related to any proposed Workforce and Community Agreement, as defined above in “Community Benefits Plan: Job Quality and Equity,” that applicants may have made with the relevant community;
- Any proposed or required Project Labor Agreements; and Environmental Questionnaire.

**G. Unique Entity Identifier (UEI) and System for Award Management (SAM)**

Each applicant (unless the applicant is an individual or federal awarding agency that is excepted from those requirements under 2 CFR 25.110(b) or (c), or has an exception approved by the federal awarding agency under 2 CFR 25.110(d)) is required to: (1) Register in the SAM at <https://www.sam.gov> before submitting an application; (2) provide a valid UEI in the application; and (3) maintain an active SAM registration with current information when the applicant 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, 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 use the [HELP](#) feature on [SAM.gov](#). SAM.gov will work entity service tickets in the order in which they are received and asks that entities not create multiple service tickets for the same request or technical issue. Additional entity validation resources can be found here: [GSAFSD Tier 0 Knowledge Base - Validating your Entity](#).

**H. Submission Dates and Times**

All required submissions must be submitted in Infrastructure eXCHANGE no later than 5:00 p.m. ET on the dates provided on the cover page of this FOA.



**I. Intergovernmental Review**

This FOA is not subject to Executive Order 12372 – Intergovernmental Review of Federal Programs.

**J. Funding Restrictions**

**i. Allowable Costs**

All expenditures must be allowable, allocable, and reasonable in accordance with the applicable federal cost principles. Pursuant to 2 CFR 910.352, the cost principles in the Federal Acquisition Regulations (48 CFR 31.2) apply to for-profit entities. The cost principles contained in 2 CFR Part 200, Subpart E apply to all entities other than for-profits.

**ii. Pre-Award Costs**

Applicants selected for award negotiations (selectee) must request prior written approval to charge pre-award costs. Pre-award costs are those incurred prior to the effective date of the federal award directly pursuant to the negotiation and in anticipation of the federal award where such costs are necessary for efficient and timely performance of the scope of work. Such costs are allowable only to the extent that they would have been allowable if incurred after the date of the federal award and **only** with the written approval of the federal awarding agency, through the DOE Contracting Officer.

Pre-award costs cannot be incurred prior to the Selection Official signing the Selection Statement and Analysis.

Pre-award expenditures are made at the selectee's risk. DOE is not obligated to reimburse costs: (1) in the absence of appropriations; (2) if an award is not made; or (3) if an award is made for a lesser amount than the selectee anticipated.

**1. National Environmental Policy Act (NEPA) Requirements Related to Pre-Award Costs**

DOE's decision whether and how to distribute federal funds under this FOA is subject to NEPA. Applicants should carefully consider and should seek legal counsel or other expert advice before taking any action related to the proposed project that would have an adverse effect on the environment or limit the choice of reasonable alternatives prior to DOE completing the NEPA review process.

DOE does not guarantee or assume any obligation to reimburse pre-award costs incurred prior to receiving written authorization from the Contracting Officer. If the applicant elects to undertake activities that DOE determines



may have an adverse effect on the environment or limit the choice of reasonable alternatives prior to receiving such written authorization from the Contracting Officer, the applicant is doing so at risk of not receiving federal funding for its project and such costs may not be recognized as allowable cost share. Nothing contained in the pre-award cost reimbursement regulations or any pre-award costs approval letter from the Contracting Officer overrides the requirement to obtain the written authorization from the Contracting Officer prior to taking any action that may have an adverse effect on the environment or limit the choice of reasonable alternatives. Likewise, if an application is selected for negotiation of award, and the prime recipient elects to undertake activities that are not authorized for federal funding by the Contracting Officer in advance of DOE completing a NEPA review, the prime recipient is doing so at risk of not receiving federal funding and such costs may not be recognized as allowable cost share.

**iii. Performance of Work in the United States (Foreign Work Waiver)**

**1. Requirement**

All work performed under awards issued under this FOA must be performed in the United States. The prime recipient must flow down this requirement to its subrecipients.

**2. Failure to Comply**

If the prime recipient fails to comply with the Performance of Work in the United States requirement, DOE may deny reimbursement for the work conducted outside the United States and such costs may not be recognized as allowable recipient cost share. The prime recipient is responsible should any work under this award be performed outside the United States, absent a waiver, regardless of whether the work is performed by the prime recipient, subrecipients, contractors or other project partners.

**iv. Foreign Travel**

Foreign travel costs are not allowable under this FOA.

**v. Equipment and Supplies**

Property disposition may be required at the end of a project if the current fair market value of property exceeds \$5,000. For-profit entity disposition requirements are set forth at 2 CFR 910.360. Property disposition requirements for other non-federal entities are set forth in 2 CFR 200.310 – 200.316. However, pursuant to the FY23 Consolidated Appropriations Act (Pub. L. No. 117-328), Division D, Title III, Section 309, the Secretary, or a designee of the Secretary may, at their discretion, vest unconditional title or other property interests acquired under this project regardless of the fair market value of the property at the end of the award period.



**vi. Davis-Bacon Act Requirements**

Projects awarded under this FOA will be funded under Division D of BIL. Accordingly, per Section 41101 of that law, all laborers and mechanics employed by the recipient, subrecipients, contractors, or subcontractors in the performance of construction, alteration, or repair work funded in whole or in part under this FOA 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).

Applicants shall provide written assurance acknowledging the DBA requirements above, 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 FOA are paid or will be paid 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 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 three years after the completion of the project and making those payrolls available to DOE or the U.S. Department of Labor (DOL) 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 DOE;

(7) Cooperating with any authorized representative of DOL in its inspection of records, interviews with employees, and other actions undertaken as part of a DOL investigation;

(8) Posting in a prominent and accessible place the wage determination(s) and DOL 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; DOL investigations; or legal or judicial proceedings related to the labor standards under this contract, a subcontract, or subrecipient award; and

(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>), its successor system, or other manner of compliance as directed by the Contracting Officer.

Recipients of funding under this FOA will also be required to undergo Davis-Bacon Act compliance training and maintain competency in Davis-Bacon Act compliance. The Contracting Officer will notify the recipient of any DOE-sponsored Davis-Bacon Act compliance trainings. 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 Davis-Bacon 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>.

DOE anticipates contracting with a third party for a Davis-Bacon Act electronic payroll compliance software application. Recipients of funding under this FOA must ensure the timely electronic submission of weekly certified payrolls

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through this software as part of its compliance with the Davis-Bacon Act unless a waiver is granted to a particular contractor or subcontractor because it is unable or limited in its ability to use or access. Applicants should indicate if they will seek a waiver.

**vii. Lobbying**

Recipients and subrecipients may not use any federal funds to influence or attempt to influence, directly or indirectly, congressional action on any legislative or appropriation matters.

Recipients and subrecipients are required to complete and submit SF-LLL, "Disclosure of Lobbying Activities" (<https://www.grants.gov/web/grants/forms/sf-424-individual-family.html>) to ensure that non-federal funds have not been paid and will not be paid to any person for influencing or attempting to influence any of the following in connection with the application:

- An officer or employee of any federal agency;
- A Member of Congress;
- An officer or employee of Congress; or
- An employee of a Member of Congress.

**viii. Risk Assessment**

Pursuant to 2 CFR 200.206, DOE will conduct an additional review of the risk posed by applications submitted under this FOA. Such risk assessment will consider:

1. Financial stability;
2. Quality of management systems and ability to meet the management standards prescribed in 2 CFR 200 as amended and adopted by 2 CFR 910;
3. History of performance;
4. Audit reports and findings; and
5. The applicant's ability to effectively implement statutory, regulatory, or other requirements imposed on non-federal entities.

DOE may make use of other publicly available information and the history of an applicant's performance under DOE or other federal agency awards.

Depending on the severity of the findings and whether the findings were resolved, DOE may elect not to fund the applicant.



In addition to this review, DOE must comply with the guidelines on government-wide suspension and debarment in 2 CFR 180 and must require non-federal entities to comply with these provisions. These provisions restrict federal awards, subawards and contracts with certain parties that are debarred, suspended, or otherwise excluded from or ineligible for participation in federal programs or activities.

Further, as DOE invests in critical infrastructure and funds critical and emerging technology areas, DOE also considers possible threats to United States research, technology, and economic security from undue foreign government influence when evaluating risk. If high risks are identified and cannot be sufficiently mitigated, DOE may elect to not fund the applicant. As part of the research, technology, and economic security risk review, DOE may contact the applicant and/or proposed project team members for additional information to inform the review.

**ix. Invoice Review and Approval**

DOE employs a risk-based approach to determine the level of supporting documentation required for approving invoice payments. Recipients may be required to provide some or all of the following items with their requests for reimbursement:

- Summary of costs by cost categories;
- Timesheets or personnel hours report;
- Proof of compliance with the Davis-Bacon Act and electronic submittals of certified payroll reports;
- Invoices/receipts for all travel, equipment, supplies, contractual, and other costs;
- UCC filing proof for equipment acquired with project funds by for-profit recipients and subrecipients;
- Explanation of cost share for invoicing period;
- Analogous information for some subrecipients; and
- Other items as required by DOE.

**x. Prohibition Related to Foreign Government-Sponsored Talent Recruitment Programs**

**a. Prohibition**

Persons participating in a *Foreign Government-Sponsored Talent Recruitment Program of a Foreign Country of Risk* are prohibited from participating in projects selected for federal funding under this FOA. Should an award result from this FOA, the recipient must exercise ongoing due diligence to reasonably ensure that no individuals participating on the DOE-funded



project are participating in a *Foreign Government-Sponsored Talent Recruitment Program of a Foreign Country of Risk*. Consequences for violations of this prohibition will be determined according to applicable law, regulations, and policy. Further, the recipient must notify DOE within five (5) business days upon learning that an individual on the project team is or is believed to be participating in a foreign government talent recruitment program of a foreign country of risk. DOE may modify and add requirements related to this prohibition to the extent required by law.

**b. Definitions**

- 1. Foreign Government-Sponsored Talent Recruitment Program.** An effort directly or indirectly organized, managed, or funded by a foreign government, or a foreign government instrumentality or entity, to recruit science and technology professionals or students (regardless of citizenship or national origin, or whether having a full-time or part-time position). Some foreign government-sponsored talent recruitment programs operate with the intent to import or otherwise acquire from abroad, sometimes through illicit means, proprietary technology or software, unpublished data and methods, and intellectual property to further the military modernization goals and/or economic goals of a foreign government. Many, but not all, programs aim to incentivize the targeted individual to relocate physically to the foreign state for the above purpose. Some programs allow for or encourage continued employment at United States research facilities or receipt of federal research funds while concurrently working at and/or receiving compensation from a foreign institution, and some direct participants not to disclose their participation to U.S. entities. Compensation could take many forms including cash, research funding, complimentary foreign travel, honorific titles, career advancement opportunities, promised future compensation, or other types of remuneration or consideration, including in-kind compensation.
- 2. Foreign Country of Risk.** DOE has designated the following countries as foreign countries of risk: Iran, North Korea, Russia, and China. This list is subject to change.

**xi. Affirmative Action and Pay Transparency Requirements**

All applicants must comply with all applicable federal labor and employment laws, including but not limited to Title VII of the Civil Rights Act of 1964, the Fair Labor Standards Act, the Occupational Safety and Health Act, and the National Labor Relations Act, which protects employees' right to bargain collectively and engage in concerted activities for the purpose of workers' mutual aid or protection.



All federally assisted construction contracts exceeding \$10,000 annually will be subject to the requirements of EO11246EO11246, Equal Employment Opportunity:

- (1) Recipients, subrecipients, contractors, and subcontractors are prohibited from discriminating in employment decisions on the basis of race, color, religion, sex, sexual orientation, gender identity, or national origin.
- (2) Recipients and contractors are required to take affirmative action to ensure that equal opportunity is provided in all aspects of their employment. This includes flowing down the appropriate language to all subrecipients, contractors, and subcontractors.
- (3) Recipients, subrecipients, contractors, and subcontractors are prohibited from taking adverse employment actions against applicants and employees for asking about, discussing, or sharing information about their pay or, under certain circumstances, the pay of their co-workers.

DOL's Office of Federal Contractor Compliance Programs (OFCCP) uses a neutral process to schedule compliance evaluations. Consult OFCCP's Technical Assistance Guide<sup>65</sup> to gain an understanding of the requirements and possible actions the recipients, subrecipients, contractors, and subcontractors must take. Additional guidance may also be found in the National Policy Assurances, produced by DOE.

**xii. Foreign Collaboration Considerations**

- a. Consideration of new collaborations with foreign entities, organizations, and governments. The recipient will be required to provide DOE with advanced written notification of any potential collaboration with foreign entities, organizations, or governments in connection with its DOE-funded award scope. The recipient will then be required to await further guidance from DOE prior to contacting the proposed foreign entity, organization, or government regarding the potential collaboration or negotiating the terms of any potential agreement.
- b. Existing collaborations with foreign entities, organizations, and governments. The recipient will be required to provide DOE with a

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<sup>65</sup> See OFCCP's Technical Assistance Guide at:

<https://www.dol.gov/sites/dolgov/files/ofccp/Construction/files/ConstructionTAG.pdf?msclkid=9e397d68c4b111ec9d8e6fecb6c710ec> Also see the National Policy Assurances <http://www.nsf.gov/awards/managing/rtc.jsp>

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written list of all existing foreign collaborations in which has entered in connection with its DOE-funded award scope.

- c. Description of collaborations that should be reported. In general, a collaboration will involve some provision of a thing of value to, or from, the recipient. A thing of value includes but may not be limited to all resources made available to, or from, the recipient in support of and/or related to the DOE award, regardless of whether or not they have monetary value. Things of value also may include in-kind contributions (such as office/laboratory space, data, equipment, supplies, employees, students). In-kind contributions not intended for direct use on the DOE award but resulting in provision of a thing of value from or to the DOE award must also be reported. Collaborations do not include routine workshops, conferences, use of the recipient's services and facilities by foreign investigators resulting from its standard published process for evaluating requests for access, or the routine use of foreign facilities by awardee staff in accordance with the recipient's standard policies and procedures.

## **V. Application Review Information**

### **A. Technical Review Criteria**

#### **i. Concept Papers**

Concept Papers are evaluated based on consideration the following factors. All sub-criteria are of equal weight.

#### **Concept Paper Criterion: Overall FOA Responsiveness and Viability of the Project (Weight: 100%)**

This criterion involves consideration of the following factors:

1. The statement of need demonstrates the need for assistance to train energy auditors to conduct energy audits or surveys of commercial and residential buildings.
2. The applicant clearly describes the proposed project that provides a proposed training curriculum for energy audit trainees; identification of the covered certification(s) that those trainees will receive on completion of that training curriculum; expected per-individual cost of training; and plan for connecting trainees with employment opportunities.
3. The applicant has identified opportunities for the program to support, coordinate, or collaborate with the State Energy Program<sup>66</sup>; Energy Efficiency

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<sup>66</sup> [State Energy Program | Department of Energy](https://www.energy.gov/scep/state-energy-program) (<https://www.energy.gov/scep/state-energy-program>)

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Revolving Loan Fund Capitalization Grant Program<sup>67</sup>; State-Based Home Energy Efficiency Contractor Training Grants<sup>68</sup>; Home Energy Rebates<sup>69</sup>; Building Energy Codes<sup>70</sup>; or other relevant programs.

4. The proposed work, if successfully accomplished, would clearly meet the objectives as stated in the FOA.

## ii. Full Applications

Applications will be evaluated against the technical review criteria shown below. All sub-criteria are of equal weight.

### Criterion 1: Technical Merit and Impact (40%)

This criterion involves consideration of the following factors:

#### 1. Technical Merit

- Sufficiency of detail in the application to assess whether the proposed work is feasible, including relevant data, and discussion of prior work with analyses that support the viability of the proposed work.
- All required project content is addressed.
  - **Proposed training curriculum for energy audit trainees.** The applicant explains how the residential or commercial identified energy auditor curriculum aligns with industry, association, state, and federal standards; training standards promote integration with current practices and future trends in the industry; curriculum and training design will prepare workers for the demands of the present and the future; and how existing programs will be leveraged, and best practices incorporated into the program design.
  - **Identify the covered certification(s) that the trainees will receive on completion of that training curriculum.** The applicant lists the chosen covered certification(s) that clearly align with established program standards and industry needs. If a covered certification is not incorporated into the program, then the applicant will need to identify and justify the connection between the program requirement for standard certifications.
  - **Expected per-individual cost of training.** The applicant provides an expected calculation of the cost per trainee; outlines how the cost to train or certify a trainee will not exceed 10% of the total Grant funds

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<sup>67</sup> [Weatherization Assistance Program | Department of Energy](https://www.energy.gov/scep/wap/weatherization-assistance-program) (<https://www.energy.gov/scep/wap/weatherization-assistance-program>)

<sup>68</sup> [State-Based Home Energy Efficiency Contractor Training Grants | Department of Energy](https://www.energy.gov/scep/state-based-home-energy-efficiency-contractor-training-grants) (<https://www.energy.gov/scep/state-based-home-energy-efficiency-contractor-training-grants>)

<sup>69</sup> [Home Energy Rebate Program | Department of Energy](https://www.energy.gov/scep/home-energy-rebate-program) (<https://www.energy.gov/scep/home-energy-rebate-program>)

<sup>70</sup> [Building Energy Codes Program | Department of Energy](https://www.energy.gov/eere/buildings/building-energy-codes-program) (<https://www.energy.gov/eere/buildings/building-energy-codes-program>)

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awarded; and describes the benefits that the trainee receives through participating in the program.

- **Plan for connecting trainees with employment opportunities.** The applicant explains how individuals will transition from trainee to new hire; outlines the strategies that will be explored to support apprenticeship or other on-the-job paid experiences; secures letters of support or memorandum of understanding with employers to hire participants, as permitted by the relevant state law.

## **2. Impact of the Project**

- Extent to which the project supports the FOA objectives and metrics.
- Potential impact of the project on the energy efficiency field through trained energy auditors for residential or commercial buildings.
- Ability of the project to create a replicable energy auditor training program model for future projects.
- Extent to which the project facilitates stakeholder relationships across new or existing stakeholders to gain partnership support.
- Details on the anticipated short- and long-term impact of the program on all students from disadvantaged communities, and the type of assessment that will be used to measure impact.
- Explanation on how DOE funding, relative to prior, current, or anticipated funding from other public and private sources, is necessary to achieve the project objectives.

## **Criterion 2: Project Management, Objectives, Activities and Workplan (20%)**

This criterion involves consideration of the following factors:

### **1. Demonstration Approach, Workplan, and SOPO**

- Degree to which the approach and critical path have been clearly described and thoughtfully considered; and
- Degree to which the task descriptions are clear, detailed, timely, and reasonable, resulting in a high likelihood that the proposed Workplan and SOPO will succeed in meeting the project goals.

### **2. Baseline, Metrics, and Deliverables**

- Level of clarity in the definition of the baseline, metrics, and milestones; and
- Relative to a clearly defined project baseline, the strength of the quantifiable metrics, milestones, and mid-point deliverables defined in the application, such that meaningful interim progress will be made.



### 3. Fulfillment of the Required Content

- **Outreach, Recruitment, Enrollment and Retention.** The applicant provides a
  - Comprehensive description of a coordinated outreach, recruitment, and enrollment strategy (e.g., effective marketing avenues, such as digital and social media advertising as well as translation services to promote the program in the language of potential participants.)
  - Partnership plan that includes the workforce system, associations, organizations, or industry to support the program and its trainees;
  - Strategy for engaging diverse and underserved populations;
  - List of training initiatives, like wraparound services and professional development resources, that will be utilized to provide holistic trainee development and placement; and
  - Explanation for how trainees will be retained throughout the program.
- **Outcomes.** The applicant provides a(n):
  - Table that clearly identifies the outcomes and the outputs that will result from the project;
  - Supportive narrative to explain how these outcomes and outputs align with their project goals;
  - Plan to report on the participant training and employment performance outcomes and include numerical outcome projections for outcome measures; and
  - Explanation of how the outcome projections are feasible and appropriate numerical targets for the project design—specifically, detailing how the targets were derived and how the targets fit into the overall timeline of grant implementation.
- **Workplan and Task Description:** The applicant:
  - Describes the work to be accomplished, milestones and key deliverables that will be used to meet the project goal(s);
  - Structures the workplan with a hierarchy of performance period (approximately annual) with tasks and subtasks; and
  - Describes the specific activities to be conducted over the life of the project.
- **Milestones:** The applicant:
  - Provides a summary of appropriate milestones throughout the project to demonstrate success; and
  - Describes how the milestone will be verified.
- **End of Project Goal:** The applicant provides a summary of the end of project goal(s).



- **Project Schedule (Gantt Chart or similar):** The applicant provides a schedule for the entire project, including task and subtask durations, milestones.

### **Criterion 3: Team and Resources (10%)**

This criterion involves consideration of the following factors:

- Staffing plan that ensures effective program management, implementation, and sustainability.
- Capability of the project manager(s) and the proposed team to address all aspects of the proposed work with a high probability of success. The qualifications, relevant expertise, and time commitment of the individuals on the team.
- Diversity of expertise and perspectives of the team and the inclusion of industry partners that will amplify impact.
- Reasonableness of the budget and spend plan for the proposed project and objectives.

### **Criterion 4: Sustainability Plan (10%)**

The criterion involves consideration of the following factors:

- Extent that the applicant demonstrates how it plans to use the program to meet future labor demands.
- Extent to which the applicant demonstrates plans to use community needs to inform curriculum development, certification alignment, and training design.
- Extent to which the applicant outlines the future partnerships and collaborations that are necessary to integrate the program in the communities and promote consistent closure of skill gaps for present and future auditors.
- Extent to which the applicant has identified the anticipated future funding needs and what methods will be utilized to secure future funding sources. (i.e., grants, sponsorships, and partnerships)?
- Extent to which the applicant has identified the required human capital needs to support the continuation of training, certification, and employment placement of energy auditors after the Grant funding has been expended.

### **Criterion 5. Community Benefits Plan (20%)**

This criterion involves consideration of the following factors:

#### **1. Community and Labor Engagement**

- Extent to which the applicant demonstrates community and labor engagement to date that results in support for the proposed project;



- Extent to which the applicant has a clear and appropriately robust plan to engage—ideally through a clear commitment to negotiate enforceable Workforce & Community Agreements—with labor unions, Tribal entities, and community-based organizations that support or work with disadvantaged communities and other affected stakeholders;
- Extent to which the applicant has considered accountability to affected workers and community stakeholders, including those most vulnerable to project activities, with a plan to publicly share SMART Community Benefits Plan commitments; and
- Extent to which the applicant demonstrates that community and labor engagement will lead to the delivery of high-quality jobs, minimal environmental impact, and allocation of project benefits to disadvantaged communities.

## **2. Job Quality and Workforce Continuity**

- Quality and manner in which the proposed project will create and/or retain high quality, good-paying jobs with employer-sponsored benefits for all classifications and phases of work;
- Extent to which the project provides employees with the ability to organize, bargain collectively, and participate, through labor organizations of their choosing, in decisions that affect them and that contribute to the effective conduct of business and facilitates amicable settlements of any potential disputes between employees and employers, providing assurances of project efficiency, continuity, and multiple public benefits; and
- Extent to which applicant demonstrates that they are a responsible employer, with ready access to a sufficient supply of appropriately skilled labor, and an effective plan to minimize the risk of labor disputes or disruptions.

## **3. Diversity, Equity, Inclusion, and Accessibility**

- Extent to which the Community Benefits Plan includes specific and high-quality actions to meet DEIA goals, which may include DEIA recruitment procedures, supplier diversity plans, and other DEIA initiatives; and
- Quality of any partnerships and agreements with apprenticeship readiness programs, or community-based workforce training and support organizations serving workers facing systematic barriers to employment to facilitate participation in the project's construction and operations.

## **4. Justice40 Initiative**

- Extent to which the Community Benefits Plan identifies specific, measurable benefits for disadvantaged communities, how the benefits will flow to disadvantaged communities, and how negative environmental impacts affecting disadvantaged communities would be mitigated; and



- Extent to which the project would contribute to meeting the objective that 40% of the benefits of climate and clean energy investments will flow to disadvantaged communities.

**iii. Criteria for Replies to Reviewer Comments**

DOE has not established separate criteria to evaluate Replies to Reviewer Comments. Instead, Replies to Reviewer Comments are attached to the original applications and evaluated as an extension of the Full Application.

**B. Standards for Application Evaluation**

Applications that are determined to be eligible will be evaluated in accordance with this FOA, by the standards set forth in INFRASTRUCTURE's Notice of Objective Merit Review Procedure (76 Fed. Reg. 17846, March 31, 2011) and the guidance provided in the "DOE Merit Review Guide for Financial Assistance," effective September 2020, which is available at:

<https://energy.gov/management/downloads/merit-review-guide-financial-assistance-and-unsolicited-proposals-current>.

**C. Other Selection Factors**

**i. Program Policy Factors**

In addition to the above criteria, the Selection Official may consider the following program policy factors in determining which Full Applications to select for award negotiations:

- The degree to which the proposed project, including proposed cost share, optimizes the use of available DOE funding to achieve programmatic objectives.
- The degree to which the proposed project is likely to lead to increased high-quality employment in the United States.
- The degree to which the proposed project, or group of projects, represent a desired geographic distribution (considering past awards and current applications).
- The degree to which the proposed project establishes partnerships with Minority Serving Institutions (*e.g.*, Historically Black Colleges and Universities (HBCUs)/Other Minority Institutions (OMIs)); and/or partnerships with Minority Business Enterprises, minority-owned businesses, woman-owned businesses, veteran-owned businesses, or Indian Tribes.
- The degree to which the proposed project establishes partnerships with the state or local workforce systems.
- The degree to which the proposed project, when compared to the existing DOE project portfolio and other projects to be selected from the subject FOA,



contributes to the total portfolio meeting the goals reflected in the Community Benefits Plan criteria.

- The degree to which any proposed training focuses on compliance with modernized residential or commercial building energy codes, zero energy codes, and/or compliance pathways for building performance standards.
- The degree to which any proposed training activity coordinates with and involves the jurisdiction's energy codes enforcement entity to provide additive programming and support.
  - *Specific to Topic Area Two:* The degree to which the proposed program will support energy audits to disadvantaged communities under the Home Efficiency Rebates and the Home Electrification and Appliance Rebates programs, as permitted by these programs' requirements.
- The degree to which the proposed project collectively represents a diversity of trainees.
- The degree to which the proposed project has broad public support from the communities most directly impacted by the project.
- The degree to which the proposed project avoids duplication/overlap with other publicly or privately funded work.
- The degree to which the proposed project supports complementary efforts or projects, which, when taken together, will best achieve the energy efficiency and electrification goals and objectives.
- The degree to which the project's solution or strategy will maximize deployment or replication.
- The degree to which the project coordinates, or collaborates, with the State Energy Program<sup>71</sup>; Weatherization Assistance Program<sup>72</sup>; State-Based Home Energy Efficiency Contractor Training Grants<sup>73</sup>; Energy Efficient Home Improvement Credit (Section 25C)<sup>74</sup>; Home Efficiency Rebates and Home Electrification and Appliance Rebates<sup>75</sup>; Energy Efficiency Revolving Loan Fund Capitalization Grant Program<sup>76</sup>.

## **D. Evaluation and Selection Process**

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<sup>71</sup> [State Energy Program | Department of Energy](https://www.energy.gov/scep/state-energy-program) (<https://www.energy.gov/scep/state-energy-program>)

<sup>72</sup> [Weatherization Assistance Program | Department of Energy](https://www.energy.gov/scep/wap/weatherization-assistance-program) (<https://www.energy.gov/scep/wap/weatherization-assistance-program>)

<sup>73</sup> [State-Based Home Energy Efficiency Contractor Training Grants | Department of Energy](https://www.energy.gov/scep/state-based-home-energy-efficiency-contractor-training-grants) (<https://www.energy.gov/scep/state-based-home-energy-efficiency-contractor-training-grants>)

<sup>74</sup> [U.S. Department of Energy Recognized Home Energy Auditor Qualified Certification Programs for the Energy Efficient Home Improvement Credit \(Section 25C\) | Department of Energy](https://www.energy.gov/eere/buildings/us-department-energy-recognized-home-energy-auditor-qualified-certification-programs) (<https://www.energy.gov/eere/buildings/us-department-energy-recognized-home-energy-auditor-qualified-certification-programs>)

<sup>75</sup> [Home Energy Rebate Program | Department of Energy](https://www.energy.gov/scep/home-energy-rebate-program) (<https://www.energy.gov/scep/home-energy-rebate-program>)

<sup>76</sup> [Energy Efficiency Revolving Loan Fund Capitalization Grant Program](https://www.energy.gov/scep/energy-efficiency-revolving-loan-fund-capitalization-grant-program) (<https://www.energy.gov/scep/energy-efficiency-revolving-loan-fund-capitalization-grant-program>)



**i. Overview**

The evaluation process consists of multiple phases; each includes an initial eligibility review and a thorough technical review. Rigorous technical reviews of eligible submissions are conducted by reviewers that are experts in the subject matter of the FOA. Ultimately, the Selection Official considers the recommendations of the reviewers, along with other considerations such as program policy factors and risk reviews, in determining which applications to select.

**ii. Recipient Responsibility and Qualifications**

DOE, prior to making a federal award with a total amount of federal share greater than the simplified acquisition threshold, is required to review and consider any responsibility and qualification information about the applicant that is in the entity information domain in [SAM.gov](https://sam.gov) (see 41 U.S.C. § 2313).

The applicant, at its option, may review information in the entity information domain in [SAM.gov](https://sam.gov) and comment on any information about itself that a federal awarding agency previously entered and is currently in the entity information domain in [SAM.gov](https://sam.gov).

DOE will consider any written comments by the applicant, in addition to the other information in the entity information domain in [SAM.gov](https://sam.gov), in making a judgment about the applicant's integrity, business ethics, and record of performance under federal awards when completing the review of risk posed by applicants as described in 2 CFR 200.206.

**iii. Selection**

The Selection Official may consider the technical merit, the Federal Consensus Board's recommendations, program policy factors, risk reviews, and the amount of funds available in arriving at selections for this FOA.

**E. Anticipated Notice of Selection and Award Negotiation Dates**

SCEP anticipates notifying applicants selected for negotiation of award and negotiating awards by the dates provided on the cover page of this FOA.

**VI. Award Administration Information**

**A. Award Notices**

**i. Ineligible Submissions**

Ineligible Concept Papers and Full Applications will not be further reviewed or considered for award. The Contracting Officer will send a notification letter by email to the technical and administrative points of contact designated by the



applicant in Infrastructure eXCHANGE. The notification letter will state the basis upon which the Concept Paper or the Full Application is ineligible and not considered for further review.

**ii. Concept Paper Notifications**

DOE will notify applicants of its determination to encourage or discourage the submission of a Full Application. DOE will post these notifications to Infrastructure eXCHANGE. DOE may include general comments provided from reviewers on an applicant's Concept Paper in the encourage/discourage notifications.

Applicants may submit a Full Application even if they receive a notification discouraging them from doing so. By discouraging the submission of a Full Application, DOE intends to convey its lack of programmatic interest in the proposed project. Such assessments do not necessarily reflect judgments on the merits of the proposed project. The purpose of the Concept Paper phase is to save applicants the considerable time and expense of preparing a Full Application that is unlikely to be selected for award negotiations.

**iii. Full Application Notifications**

DOE will notify applicants of its determination via a notification letter by email to the technical and administrative points of contact designated by the applicant in Infrastructure eXCHANGE. The notification letter will inform the applicant whether or not its Full Application was selected for award negotiations. Alternatively, DOE may notify one or more applicants that a final selection determination on particular Full Applications will be made at a later date, subject to the availability of funds or other factors.

**iv. Applicants Selected for Award Negotiations**

Successful applicants will receive written notification that they have been selected for award negotiations. Receipt of a notification letter selecting a Full Application for award negotiations does not authorize the applicant to commence performance of the project. If an application is selected for award negotiations, it is not a commitment by DOE to issue an award nor is it a guarantee of federal government funding. Applicants do not receive an award unless and until award negotiations are complete and the Contracting Officer executes the funding agreement, accessible by the prime recipient in FedConnect.

The award negotiation process takes approximately 90 days. Applicants must designate a primary and a backup point-of-contact in Infrastructure eXCHANGE with whom DOE will communicate to conduct award negotiations. The applicant must be responsive during award negotiations (i.e., provide requested documentation) and meet the negotiation deadlines. If the applicant fails to do

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Problems with Infrastructure eXCHANGE? Email [InfrastructureExchangeSupport@hq.doe.gov](mailto:InfrastructureExchangeSupport@hq.doe.gov)*



so or if award negotiations are otherwise unsuccessful, DOE will cancel the award negotiations and rescind the selection. DOE reserves the right to terminate award negotiations at any time for any reason.

Please refer to section IV.J.ii. for guidance on pre-award costs.

**v. Alternate Selection Determinations**

In some instances, an applicant may receive a notification that its application was not selected for award and DOE designated the application to be an alternate, which means DOE may consider the Full Application for federal funding in the future. A notification letter stating the Full Application is designated as an alternate does not authorize the applicant to commence performance of the project. DOE may ultimately determine to select or not select the Full Application for award negotiations.

**vi. Unsuccessful Applicants**

DOE shall promptly notify in writing each applicant whose application has not been selected for award or whose application cannot be funded because of the unavailability of appropriated funds.

**B. Administrative and National Policy Requirements**

**i. Registration Requirements**

There are several required one-time actions applicants must take before applying to this FOA. Some of these actions may take several weeks, so it is vital applicants build in enough time to complete them. Failure to complete these actions could interfere with application or negotiation deadlines or the ability to receive an award if selected. These requirements are as follows:

**1. Infrastructure Funding Opportunity Exchange (eXCHANGE)**

Register and create an account on Infrastructure eXCHANGE at <https://Infrastructure-eXCHANGE.energy.gov>. This account will allow the user to apply to any open INFRASTRUCTURE FOAs in INFRASTRUCTURE eXCHANGE.

To access [Infrastructure eXCHANGE](https://Infrastructure-eXCHANGE.energy.gov), potential applicants must have a [Login.gov](https://login.gov) account. As part of the eXCHANGE registration process, new users will be directed to create an account in Login.gov. Please note that the email address associated with Login.gov must match the email address associated with the eXCHANGE account. For more information, refer to the eXCHANGE Multi-Factor Authentication (MFA) Quick Guide in the [Manuals section](#) of eXCHANGE.



Each organization or business unit, whether acting as a team or a single entity, should use only one account as the contact point for each submission. Applicants must also designate backup points of contact. **This step is required to apply to this FOA.** The eXCHANGE registration does not have a delay; however, **the remaining registration requirements below could take several weeks to process and are necessary for a potential applicant to receive an award under this FOA.**

**2. System for Award Management**

Register in SAM (<https://www.sam.gov>). Designating an Electronic Business Point of Contact (EBiz POC) and obtaining a special password called a Marketing Partner ID Number (MPIN) are important steps in SAM registration. Please update your SAM registration annually.

**3. FedConnect**

Register in FedConnect (<https://www.fedconnect.net>). To create an organization account, your organization's SAM MPIN is required. For more information about the SAM MPIN or other registration requirements, review the FedConnect Ready, Set, Go! Guide at <https://www.fedconnect.net/FedConnect/Marketing/Documents/FedConnectReadySetGo.pdf>.

**4. Grants.gov**

Register in Grants.gov (<http://www.grants.gov>) to receive automatic updates when Amendments to this FOA are posted. Please note that Concept Papers and Full Applications will **not** be accepted through Grants.gov.

**5. Electronic Authorization of Applications and Award Documents**

Submission of an application and supplemental information under this FOA through electronic systems used by the DOE, including Infrastructure eXCHANGE and FedConnect, constitutes the authorized representative's approval and electronic signature.

**ii. Award 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.

**iii. Foreign National Participation**

All applicants selected for an award under this FOA and project participants (including subrecipients and contractors) who anticipate involving foreign nationals in the performance of an award may be required to provide DOE with specific information about each foreign national to satisfy requirements for foreign national participation. A "foreign national" is defined as any person who is not a United States citizen by birth or naturalization. The volume and type of



information collected may depend on various factors associated with the award. DOE concurrence may be required before a foreign national can participate in the performance of any work under an award.

DOE may elect to deny a foreign national's participation in the award. Likewise, DOE may elect to deny a foreign national's access to a DOE site, information, technologies, equipment, programs or personnel.

**iv. Subaward and Executive Reporting**

Additional administrative requirements necessary for DOE grants and cooperative agreements to comply with the Federal Funding and Transparency Act of 2006 (FFATA) are contained in 2 CFR Part 170. Prime recipients must register with the new FFATA Subaward Reporting System database and report the required data on their first tier subrecipients. Prime recipients must report the executive compensation for their own executives as part of their registration profile in SAM.

**v. National Policy Requirements**

The National Policy Assurances that are incorporated as a term and condition of award are located at: <http://www.nsf.gov/awards/managing/rtc.isp>.

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

DOE's decision whether and how to distribute federal funds under this FOA is subject to NEPA (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 additional background on NEPA, please see DOE's NEPA website at <https://www.energy.gov/nepa>. States should review and follow the NEPA determination in their award documents for the final restrictions, and the list of activities that have been categorically excluded from further NEPA review.

While NEPA compliance is a federal agency responsibility and the ultimate decisions remain with the federal agency, all recipients selected for an award will be required to assist in the timely and effective completion of the NEPA process in the manner most pertinent to their proposed project. If DOE determines certain records must be prepared to complete the NEPA review process (e.g., biological evaluations or environmental assessments), the recipient may be required to prepare the records and the costs to prepare the necessary records may be included as part of the project costs.



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**vii. Applicant Representations and Certifications**

**1. Lobbying Restrictions**

By accepting funds under this award, the prime recipient agrees 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.

**2. Corporate Felony Conviction and Federal Tax Liability Representations**

In submitting an application to this FOA, the applicant represents that:

- a. It is **not** a corporation that has been convicted of a felony criminal violation under any federal law within the preceding 24 months; and
- b. It is **not** a corporation that has any unpaid federal tax liability that has been assessed, for which all judicial and administrative remedies have been exhausted or have lapsed, and that is not being paid in a timely manner pursuant to an agreement with the authority responsible for collecting the tax liability.

For purposes of these representations, a corporation is any for-profit or nonprofit entity that has filed articles of incorporation in any of the 50 states, the District of Columbia, or the various territories of the United States [but not foreign corporations].

**3. Nondisclosure and Confidentiality Agreements Representations**

In submitting an application to this FOA the applicant represents that:

- a. It **does not and will not** require its employees or contractors to sign internal nondisclosure or confidentiality agreements or statements prohibiting or otherwise restricting its employees or contractors from lawfully reporting waste, fraud, or abuse to a designated investigative or law enforcement representative of a federal department or agency authorized to receive such information.
- b. It **does not and will not** use any federal funds to implement or enforce any nondisclosure and/or confidentiality policy, form, or agreement it uses unless it contains the following provisions:

*“These provisions are consistent with and do not supersede, conflict with, or otherwise alter the employee obligations, rights, or liabilities created*



*by existing statute or Executive Order relating to (1) classified information, (2) communications to Congress, (3) the reporting to an Inspector General of a violation of any law, rule, or regulation, or mismanagement, a gross waste of funds, an abuse of authority, or a substantial and specific danger to public health or safety, or (4) any other whistleblower protection. The definitions, requirements, obligations, rights, sanctions, and liabilities created by controlling Executive Orders and statutory provisions are incorporated into this agreement and are controlling.”*

- (1) The limitation above shall not contravene requirements applicable to Standard Form 312 Classified Information Nondisclosure Agreement (<https://fas.org/sgp/othergov/sf312.pdf>), Form 4414 Sensitive Compartmented Information Disclosure Agreement (<https://fas.org/sgp/othergov/intel/sf4414.pdf>), or any other form issued by a federal department or agency governing the nondisclosure of classified information.
- (2) Notwithstanding the provision listed in paragraph (a), a nondisclosure or confidentiality policy form or agreement that is to be executed by a person connected with the conduct of an intelligence or intelligence-related activity, other than an employee or officer of the U.S. government, may contain provisions appropriate to the activity for which such document is to be used. Such form or agreement shall, at a minimum, require that the person will not disclose any classified information received during such activity unless specifically authorized to do so by the U.S. government. Such nondisclosure or confidentiality forms shall also make it clear that they do not bar disclosures to Congress, or to an authorized official of an executive agency or the U.S. Department of Justice, that are essential to reporting a substantial violation of law.

**viii. Statement of Federal Stewardship**

DOE will exercise normal federal stewardship in overseeing the project activities performed under DOE awards. Stewardship activities include but are not limited to conducting site visits; reviewing performance and financial reports; providing assistance and/or temporary intervention in unusual circumstances to correct deficiencies that develop during the project; assuring compliance with terms and conditions; and reviewing technical performance after project completion to ensure that the project objectives have been accomplished.



**ix. Intellectual Property Management Plan (IPMP)**

Within 30 days of selection, the Full Application, applicants must submit an executed IPMP between the members of the consortia or team.

The award will set forth the treatment of and obligations related to intellectual property rights between DOE and the individual members. The IPMP should describe how the members will handle intellectual property rights and issues between themselves while ensuring compliance with federal intellectual property laws, regulations, and policies (see this section and section VI.B.x. for more details on applicable federal intellectual property laws and regulations). Guidance regarding the contents of IPMP is available from DOE upon request.

The following is a list of examples of items the IPMP may cover:

- The treatment of confidential information between members (e.g., the use of NDAs);
- The treatment of background intellectual property (e.g., any requirements for identifying it or making it available);
- The treatment of inventions made under the award (e.g., any requirements for disclosing to the other members on an application, filing patent applications, paying for patent prosecution, and cross-licensing or other licensing arrangements between the members);
- The treatment of data produced, including software, under the award (e.g., any publication process or other dissemination strategies, copyrighting strategy or arrangement between members);
- Any technology transfer and commercialization requirements or arrangements between the members;
- The treatment of any intellectual property issues that may arise due to a change in membership of the consortia or team; and
- The handling of disputes related to intellectual property between the members.

**x. 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>.

**xi. Reporting**

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

EAT recipients will fulfill most reporting requirements by reporting via the PAGE system. The chart below (Figure 1) indicates which reports are required for EAT. This is not a conclusive list as additional reports may be required.



| Method | Report                                      | Frequency of Report |
|--------|---------------------------------------------|---------------------|
| PAGE   | 1a. Federal Financial Report (FFR) (SF-425) | Quarterly           |
|        | 1b. Quarterly Performance Report (QPR)      | Quarterly           |
|        | 1c. Federal Financial Programs Report (FPR) | Quarterly           |
|        | 1d. Semi Annual Davis Bacon Report          | Semi Annual         |
|        | 1e. Annual Historic Preservation Report     | Annual              |
| Email  | Annual Summary                              | Annual              |

The quarterly reporting requirements are authorized by an approved Information Collection Request, OMB Control Number 1910-5126. Financial reporting requirements are identified on the Financial Assistance Reporting Checklist (FARC), DOE EERE 355, attached to the award agreement.

All quarterly reports are required to be submitted to DOE via the PAGE no later than the 30th day of the month following the end of the reporting period. Note that the QPR and FFR are reviewed and compared simultaneously, and neither will be approved until they are both submitted. Quantitative data which will be reported on the quarterly report may include the metrics below:

1. Total students reached.
2. Total students enrolled in training activities.
3. Total students who completed training activities.
4. Number of students enrolled in a registered apprenticeship program.
5. Total students who completed training activities and received certifications.
6. Number of students enrolled in the program that entered employment in the energy industry.
7. Number of students that entered full-time employment.
8. Number of students that entered part-time employment.

#### **Close-Out Reporting Requirements**

Recipients must submit, no later than 120 calendar days after the end date of the period of performance, all financial, performance, and other reports as required by the terms and conditions of the Federal award (see 2 CFR 200.344 Closeout.)



The closeout reporting requirements will be detailed in the terms and conditions of the Grant Agreement and posted on this website:  
<https://www.energy.gov/scep/energy-auditor-training-grant-program>.

In the final report, Grant recipients must report on the status of each performance metric and the data and metrics listed, and described, in this section below. In addition to the metrics listed in the quarterly report, performance may include qualitative and quantitative milestones and measures, which will be reported on the report, related to these:

1. Percent separation rate (i.e., completion of the in the classroom and on the job training).
2. What is the dropout rate (i.e., withdrawal, dismissal, or termination from the grantee institution or the grant program)?
3. Number of students in pursuit of additional education.
4. Number of students enrolled in the armed services.
5. Number of students enrolled in a registered apprenticeship program.
6. Number of students with full-time employment.
7. Number of students part-time employment.
8. Percent dropout rate (i.e., withdrawal, dismissal, or termination from the grantee institution or the grant program).
9. Success rate pre and post program results

Qualitative Data from Program Students: Grant recipients should collect qualitative data and feedback from program students, but is not limited to, the following:

| Qualitative Data                                                                                                                                                                   | By Target Audience |
|------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|--------------------|
| What were the program benefits?                                                                                                                                                    | Students           |
| What were the most valuable aspects of trainings/program?                                                                                                                          | Students           |
| What metrics for success has the grantee identified for this program? For example, in what ways did employer partners in the Grant plan for changes to increase skilled workforce? | Partners           |
| What opportunity exist to improve the program?                                                                                                                                     | Students           |
| Why did the participant pursue the training/program?                                                                                                                               | Students           |
| How did the program assist with employment placement?                                                                                                                              | Students           |
| How did the program increase career advancement?                                                                                                                                   | Students           |
| How did the program increase access to hire new workers?                                                                                                                           | Students           |
| How were the curricula/trainings offered to workers beneficial?                                                                                                                    | Students           |

Questions about this FOA? Email [energyauditor@hq.doe.gov](mailto:energyauditor@hq.doe.gov) | Subject line "Energy Auditor Training FOA Question"  
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Additional reporting requirements apply to BIL-funded projects, such as:

| <b>Reporting Requirements for EAT:</b>             | <b>Frequency</b> |
|----------------------------------------------------|------------------|
| Community Benefits Plan                            | Final            |
| Cybersecurity Plan                                 | Quarterly, Final |
| Community Engagement Events & Technical Assistance | Quarterly        |
| Community Engagement Process                       | Quarterly        |
| Direct Jobs                                        | Weekly           |
| Good Jobs                                          | Yearly, Final    |
| Job Training and Outcomes                          | Yearly, Final    |
| Permanent Jobs                                     | Quarterly        |

DOE may require specific data collection to track progress toward key departmental goals: ensuring justice and equity, investing in the American workforce, boosting domestic manufacturing, reducing greenhouse gas emissions, and advancing a pathway to private sector deployment. Examples of data that may be collected include:

- Jobs data, including:
  - Number and types of jobs provided, and wages and benefits paid.
  - Workforce demographics, including local hires.
  - Efforts to minimize risks of labor disputes and disruptions.
  - Contributions to training; employee certificates and training credentials; ratio of apprentice- to journey-level workers employed.
  - Number of trainings completed, trainees placed in full-time employment, or number of trainings with workforce partnerships involving employers, community-based organizations, or labor unions.
- Justice and Equity data, including:
  - Minority Business Enterprises, minority-owned businesses, woman-owned businesses, and veteran-owned businesses acting as vendors and subcontractors for bids on supplies, services, and equipment.
  - Value, number, and type of partnerships with MSIs.
  - Stakeholder engagement events, consent-based siting activities.
  - Other relevant indicators from the Community Benefits Plan.



- Number and type of energy efficient and clean energy equipment installed.
- Funding leveraged, follow-on-funding, intellectual property generation and utilization.

**xii. Conference Spending**

The recipient shall not expend any funds on a conference not directly and programmatically related to the purpose for which the Grant was awarded that would defray the cost to the U.S. government of a conference held by any Executive branch department, agency, board, commission, or office for which the cost to the U.S. government would otherwise exceed \$20,000, thereby circumventing the required notification by the head of any such Executive Branch department, agency, board, commission, or office to the Inspector General (or senior ethics official for any entity without an Inspector General), of the date, location, and number of employees attending such conference.

**xiii. Uniform Commercial Code (UCC) Financing Statements**

Per 2 CFR 910.360 (Real Property and Equipment) when a piece of equipment is purchased by a for-profit recipient or subrecipient with federal funds, and when the federal share of the financial assistance agreement is more than \$1 million the recipient or subrecipient must:

Properly record, and consent to the Department's ability to properly record if the recipient fails to do so, UCC financing statement(s) for all equipment in excess of \$5,000 purchased with project funds. These financing statement(s) must be approved in writing by the Contracting Officer prior to the recording, and they shall provide notice that the recipient's title to all equipment (not real property) purchased with federal funds under the financial assistance agreement is conditional pursuant to the terms of this section, and that the government retains an undivided reversionary interest in the equipment. The UCC financing statement(s) must be filed before the Contracting Officer may reimburse the recipient for the federal share of the equipment unless otherwise provided for in the relevant financial assistance agreement. The recipient shall further make any amendments to the financing statements or additional recordings, including appropriate continuation statements, as necessary or as the Contracting Officer may direct.

**xiv. Real Property and Equipment**

Subject to the vesting of any property pursuant to Section 309 of the FY23 Consolidated Appropriations Act (Pub. L. No. 117-328), Division D, Title III, which is at the discretion of the Secretary or the Secretary's designee, real property and equipment purchased with project funds (federal share and recipient cost share) are subject to the requirements at 2 CFR 200.310, 200.311, 200.313, and



200.316 (non-federal entities, except for-profit entities) and 2 CFR 910.360 (for-profit entities). For projects selected for awards under this FOA, the recipients may (1) take disposition action on the real property and equipment; or (2) continue to use the real property and equipment after the conclusion of the award period of performance with Contracting Officer approval. The recipient's written request for Continued Use must identify the property and include: a summary of how the property will be used (must align with the authorized project purposes); a proposed use period, (e.g., perpetuity, until fully depreciated, or a calendar date when the recipient expects to submit disposition instructions); acknowledgement that the recipient shall not sell or encumber the property or permit any encumbrance without prior written DOE approval; current fair market value of the property; and an estimated useful life or depreciation schedule for equipment.

When the property is no longer needed for authorized project purposes, the recipient must request disposition instructions from DOE. For-profit entity disposition requirements are set forth in 2 CFR 910.360. Property disposition requirements for other non-federal entities are set forth in 2 CFR 200.310 – 200.316. However, pursuant to the FY23 Consolidated Appropriations Act (Pub. L. No. 117-328), Division D, Title III, Section 309, the Secretary or a designee of the Secretary may, at their discretion, vest unconditional title or other property interests acquired under this project regardless of the fair market value of the property at the end of the award period.

**xv. Implementation of Executive Order 13798, Promoting Free Speech and Religious Liberty**

States, local governments, and other public entities may not condition subawards in a manner that would discriminate against or otherwise disadvantage subrecipients based on their religious character.

**xvi. Participants and Collaborating Organizations**

If selected for award negotiations, the selected applicant must submit a list of personnel who are proposed to work on the project, both at the recipient and subrecipient level and a list of proposed collaborating organizations prior to award. Recipients will have an ongoing responsibility to notify DOE of changes to the personnel and collaborating organizations and submit updated information during the life of the award.

**xvii. Current and Pending Support**

If selected for award negotiations, within 30 days of the selection notice the selectee must submit: 1) current and pending support disclosures and resumes for any new PIs or senior/key personnel, and 2) updated disclosures if there have been any changes to the current and pending support submitted with the application. Throughout the life of the award, the recipient has an ongoing



responsibility to submit: 1) current and pending support disclosure statements and resumes for any new PI and senior/key personnel, and 2) updated disclosures if there are changes to the current and pending support previously submitted to DOE. Also see section IV.D.xvi.

**xviii. Interim Conflict of Interest Policy for Financial Assistance**

The DOE interim Conflict of Interest Policy for Financial Assistance (COI Policy)<sup>77</sup> is applicable to all non-Federal entities applying for, or that receive, DOE funding by means of a financial assistance award (e.g., a grant, cooperative agreement, or technology investment agreement) and, through the implementation of this policy by the entity, to each Investigator who is planning to participate in, or is participating in, the project funded wholly or in part under the DOE financial assistance award. The term “Investigator” means the PI and any other person, regardless of title or position, who is responsible for the purpose, design, conduct, or reporting of a project funded by DOE or proposed for funding by DOE. Recipients must flow down the requirements of the interim COI Policy to any subrecipient non-federal entities. Further, for DOE funded projects, the recipient must include all financial conflicts of interest (FCOI) (i.e., managed and unmanaged/unmanageable) in its initial and ongoing FCOI reports.

It is understood that non-federal entities and individuals receiving DOE financial assistance awards will need sufficient time to come into full compliance with DOE’s interim COI Policy. To provide some flexibility, DOE allows for a staggered implementation. Specifically, prior to award, applicants selected for award negotiations must: ensure all Investigators complete their significant financial disclosures; review the disclosures; determine whether a FCOI exists; develop and implement a management plan for FCOIs; and provide DOE with an initial FCOI report that includes all FCOIs (i.e., managed and unmanaged/unmanageable). Recipients will have 180 days from the date of the award to come into full compliance with the other requirements set forth in DOE’s interim COI Policy. Prior to award, the applicant must certify that it is, or will be within 180 days of the award, compliant with all requirements in the COI Policy.

**xix. Fraud, Waste, and Abuse**

The mission of the DOE Office of Inspector General (OIG) is to strengthen the integrity, economy, and efficiency of the Department’s programs and operations, including deterring and detecting fraud, waste, abuse, and mismanagement. The OIG accomplishes this mission primarily through investigations, audits, and

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<sup>77</sup> DOE’s interim COI Policy can be found at [PF 2022-17 FAL 2022-02 Department of Energy Interim Conflict of Interest Policy Requirements for Financial Assistance](#).

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inspections of DOE activities to include grants, cooperative agreements, loans, and contracts.

The OIG maintains a hotline for reporting allegations of fraud, waste, abuse, or mismanagement. To report such allegations, please visit <https://www.energy.gov/ig/ig-hotline>.

Additionally, recipients of DOE awards must be cognizant of the requirements of [2 CFR 200.113 Mandatory disclosures](#), which states:

The non-Federal entity or applicant for a Federal award must disclose, in a timely manner, in writing to the Federal awarding agency or pass-through entity all violations of Federal criminal law involving fraud, bribery, or gratuity violations potentially affecting the Federal award. Non-Federal entities that have received a Federal award including the term and condition outlined in appendix XII of 2 CFR Part 200 are required to report certain civil, criminal, or administrative proceedings to SAM.gov. Failure to make required disclosures can result in any of the remedies described in [2 CFR 200.339](#). (See also [2 CFR part 180](#), [31 U.S.C. § 3321](#), and [41 U.S.C. § 2313](#).) [[85 FR 49539](#), Aug. 13, 2020]

Applicants and subrecipients (if applicable) are encouraged to allocate sufficient costs in the project budget to cover the costs associated for personnel and data infrastructure needs to support performance management and program evaluation needs, including but not limited to independent program and project audits to mitigate risks for fraud, waste, and abuse.

## **xx. Cybersecurity Plan**

In accordance with BIL Section 40126, applicants selected for award negotiations must submit a cybersecurity plan to DOE prior to receiving funding<sup>78</sup>. These plans are intended to foster a cybersecurity-by-design approach for BIL efforts. The Department will use these plans to ensure effective integration and coordination across its research, development, and demonstration programs. A cybersecurity plan is not required as part of the application submission for this FOA, but all projects selected under this FOA will be required to submit a cybersecurity plan during the award negotiation phase.

DOE recommends using open guidance and standards, such as the National Institute of Standards and Technology's (NIST) Cybersecurity Framework (CSF)

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<sup>78</sup> 42 U.S.C. § 18725

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and the DOE Cybersecurity Capability Maturity Model (C2M2).<sup>79</sup> The cybersecurity plan created pursuant to BIL Section 40126 should document any deviation from open standards, as well as the utilization of proprietary standards where the awardee determines that such deviation is necessary.

- Cybersecurity plans should be commensurate to the threats and vulnerabilities associated with the proposed efforts and demonstrate the cybersecurity maturity of the project.
- Cybersecurity plans may cover a range of topics relevant to the proposed project—e.g., software development lifecycle, third-party risks, and incident reporting.
- At a minimum, cybersecurity plans should address questions noted in BIL Section 40126 (b), Contents of Cybersecurity Plan.<sup>80</sup>

Supplementary guidance on the cybersecurity plan requirement is available at <https://www.energy.gov/ceser/bipartisan-infrastructure-law-implementation>.

#### **xxi. Questions/Agency Contacts**

Upon the issuance of a FOA, DOE personnel are prohibited from communicating (in writing or otherwise) with applicants regarding the FOA except through the established question and answer process described below. Questions regarding this FOA must be submitted to [energyauditor@hq.doe.gov](mailto:energyauditor@hq.doe.gov) with the subject line “Energy Auditor Training FOA Question” no later than ten (10) business days prior to the application due date and time. Please note, feedback on individual concepts will not be provided through Q&A.

All questions and answers related to this FOA will be posted on Infrastructure eXCHANGE at <https://Infrastructure-eXCHANGE.energy.gov>. **You must first select the FOA Number to view the questions and answers specific to this FOA.** DOE will attempt to respond to a question within ten (10) business days unless a similar question and answer has already been posted on the website.

Questions related to the registration process and use of the Infrastructure eXCHANGE website should be submitted to [INFRASTRUCTURE-eXCHANGESupport@hq.doe.gov](mailto:INFRASTRUCTURE-eXCHANGESupport@hq.doe.gov).

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<sup>79</sup> NERC critical infrastructure protection (CIP) standards for entities responsible for the availability and reliability of the bulk electric system. NIST IR 7628: 2 Smart grid cyber security strategy and requirements. NIST SP800-53, Recommended Security Controls for Federal Information Systems and Organizations: Catalog of security controls in 18 categories, along with profiles for low-, moderate-, and high-impact systems. NIST SP800-82, Guide to Industrial Control Systems (ICS) Security. NIST SP800-39, Integrated Enterprise-Wide Risk Management: Organization, mission, and information system view. AMI System Security Requirements: Security requirements for advanced metering infrastructure. ISO (International Organization for Standardization) 27001, Information Security Management Systems: Guidance on establishing governance and control over security activities (this document must be purchased). IEEE (Institute of Electrical and Electronics Engineers) 1686-2007, Standard for Substation Intelligent Electronic Devices (IEDs) Cyber Security Capabilities (this document must be purchased). DOE Cybersecurity Capability Maturity Model (C2M2).

<sup>80</sup> 42 U.S.C. § 18725

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## VII. Other Information

### A. FOA Modifications

Amendments to this FOA will be posted on Infrastructure eXCHANGE and the Grants.gov system. However, you will only receive an email when an amendment or a FOA is posted on these sites if you register for email notifications for this FOA in Grants.gov. Infrastructure eXCHANGE recommends that you register as soon after the release of the FOA as possible to ensure you receive timely notice of any amendments or other FOAs.

### B. Government Right to Reject or Negotiate

DOE reserves the right, without qualification, to reject any or all applications received in response to this FOA 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 anyone other than the Contracting Officer, either express or implied, is invalid.

### D. Treatment of Application Information

Applicants should not include trade secrets or business-sensitive, proprietary, or otherwise confidential information in their application unless such information is necessary to convey an understanding of the proposed project or to comply with a requirement in the FOA. Applicants are advised to not include any critically sensitive proprietary detail.

If an application includes trade secrets or business-sensitive, proprietary, or otherwise confidential information, it is furnished to the federal government in confidence with the understanding that the information shall be used or disclosed only for evaluation of the application. Such information will be withheld from public disclosure to the extent permitted by law, including the Freedom of Information Act. Without assuming any liability for inadvertent disclosure, DOE will seek to limit disclosure of such information to its employees and to outside reviewers when necessary for merit review of the application or as otherwise authorized by law. This restriction does not limit the federal government's right to use the information if it is obtained from another source.

If an applicant chooses to submit trade secrets or business-sensitive, proprietary, or otherwise confidential information, the applicant must provide **two copies** of the submission (e.g., Concept Paper, Full Application). The first copy should be marked "non-confidential," with the information believed to be confidential deleted. The second copy should be marked "confidential" and must clearly and conspicuously identify the trade secrets or business-sensitive, proprietary, or



otherwise confidential information and 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 federal government is not liable for the disclosure or use of unmarked information and may use or disclose such information for any purpose as authorized by law.

The cover sheet of the Full Application, and other applicant submission must be marked as follows and identify the specific pages containing trade secrets or business-sensitive, proprietary, or otherwise confidential information:

**Notice of Restriction on Disclosure and Use of Data:**

Pages [list applicable pages] of this document may contain trade secrets or business-sensitive, proprietary, or otherwise confidential information that is exempt from public disclosure. Such information shall be used or disclosed only for evaluation purposes or in accordance with a financial assistance agreement between the submitter and the government. The government may use or disclose any information that is not appropriately marked or otherwise restricted, regardless of source. [End of Notice]

In addition, (1) the header and footer of every page that contains trade secrets or business-sensitive, proprietary, or otherwise confidential information must be marked as follows: "Contains Business Sensitive Information, Trade Secrets, or Proprietary or Otherwise Confidential Information Exempt from Public Disclosure," and (2) every line or paragraph containing such information must be clearly marked with double brackets or highlighting. DOE will make its own determination about the confidential status of the information and treat it according to its determination.

**E. Evaluation and Administration by Non-Federal Personnel**

In conducting the merit review evaluation, the Go/No-Go Reviews and Peer Reviews, the government may seek the advice of qualified non-federal personnel as reviewers. The government may also use non-federal personnel to conduct routine, nondiscretionary administrative activities, including DOE contractors. The applicant, by submitting its application, consents to the use of non-federal reviewers/administrators. Non-federal reviewers must sign conflict of interest (COI) and non-disclosure acknowledgements (NDA) prior to reviewing an application. Non-federal personnel conducting administrative activities must sign an NDA.

**F. Notice Regarding Eligible/Ineligible Activities**

Eligible activities under this FOA include those that train energy auditors to conduct audits, or surveys, of residential and commercial buildings, but not

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those which encourage or support political activities such as the collection and dissemination of information related to potential, planned or pending legislation.

**G. Notice of Right to Conduct a Review of Financial Capability**

DOE reserves the right to conduct an independent third-party review of financial capability for applicants that are selected for negotiation of award (including personal credit information of principal(s) of a small business if there is insufficient information to determine financial capability of the organization).

**H. Requirement for Full and Complete Disclosure**

Applicants are required to make a full and complete disclosure of all information requested. Any failure to make a full and complete disclosure of the requested information may result in:

- The cancellation of award negotiations;
- The modification, suspension, or cancellation of a funding agreement;
- The initiation of debarment proceedings, debarment, or a declaration of ineligibility for receipt of federal contracts, subcontracts, and financial assistance and benefits; and
- Civil or criminal penalties.

**I. Retention of Submissions**

DOE expects to retain copies of all Full Applications and other submissions. No submissions will be returned. By applying to DOE for funding, applicants consent to DOE's retention of their submissions.

**J. Government Rights in Subject Inventions**

Where prime recipients and subrecipients retain title to subject inventions, the U.S. government retains certain rights.

**Government Use License**

The U.S. government retains a nonexclusive, nontransferable, irrevocable, paid-up license to practice or have practiced for or on behalf of the United States any subject invention throughout the world. This license extends to contractors doing work on behalf of the government.

**K. Copyright**

The prime recipient and subrecipients may assert copyright in copyrightable works, such as software, first produced under the award without DOE approval. When copyright is asserted, the government retains a paid-up nonexclusive, irrevocable worldwide license to reproduce, prepare derivative works, distribute copies to the public, and to perform publicly and display publicly the copyrighted work. This license extends to contractors and others doing work on behalf of the government.



**L. Export Control**

The United States government regulates the transfer of information, commodities, technology, and software considered to be strategically important to the United States to protect national security, foreign policy, and economic interests without imposing undue regulatory burdens on legitimate international trade. There is a network of federal agencies and regulations that govern exports that are collectively referred to as “Export Controls.” All recipients and subrecipients are responsible for ensuring compliance with all applicable United States Export Control laws and regulations relating to any work performed under a resulting award.

The recipient must immediately report to DOE any export control violations related to the project funded under the DOE award, at the recipient or subrecipient level, and provide the corrective action(s) to prevent future violations.

**M. Prohibition on Certain Telecommunications and Video Surveillance Services or Equipment**

As set forth in 2 CFR 200.216, recipients and subrecipients are prohibited from obligating or expending project funds (federal funds and recipient cost share) to procure or obtain; extend or renew a contract to procure or obtain; or enter into a contract (or extend or renew a contract) to procure or obtain equipment, services, or systems that use *covered telecommunications equipment or services* as a substantial or essential component of any system, or as critical technology as part of any system. As described in Section 889 of Public Law 115-232, covered telecommunications equipment is telecommunications equipment produced by Huawei Technologies Company or ZTE Corporation (or any subsidiary or affiliate of such entities).

See Public Law 115-232, Section 889, 2 CFR 200.216, and 2 CFR 200.471 for additional information.

**N. Personally Identifiable Information (PII)**

All information provided by the applicant must to the greatest extent possible exclude PII. “PII” refers to information that can be used to distinguish or trace an individual’s identity, such as their name, Social Security number, or biometric records, alone or combined with other personal or identifying information linked or linkable to a specific individual, such as date and place of birth or mother’s maiden name. (See OMB Memorandum M-17-12 dated January 3, 2017.)

By way of example, applicants must screen resumes to ensure that they do not contain PII such as personal addresses, personal landline/cell phone numbers, and personal emails. **Under no circumstances should Social Security numbers**



**(SSNs) be included in the application.** Federal agencies are prohibited from the collecting, using, and displaying unnecessary SSNs. (See the Federal Information Security Modernization Act of 2014 (Pub. L. No. 113-283, Dec 18, 2014; 44 U.S.C. § 3551).

**O. Annual Independent Audits**

If a for-profit entity is a prime recipient and has expended \$750,000 or more of DOE awards during the entity's fiscal year, an annual compliance audit performed by an independent auditor is required. For additional information, please refer to 2 CFR 910.501 and Subpart F.

If an educational institution, nonprofit organization, or state/local government is a prime recipient or subrecipient and has expended \$750,000 or more of federal awards during the non-federal entity's fiscal year, a Single or Program-Specific Audit is required. For additional information, please refer to 2 CFR 200.501 and Subpart F.

Applicants and subrecipients (if applicable) should propose sufficient costs in the project budget to cover the costs associated with the audit. DOE will share in the cost of the audit at its applicable cost share ratio.

**P. Informational Webinar**

DOE will conduct one informational webinar during the FOA process. It will be held after the initial FOA release but before the due date for Concept Papers.

Attendance is not mandatory and will not positively or negatively impact the overall review of any applicant submissions. The webinar will be open to all applicants who wish to participate. Applicants should refrain from asking questions or communicating information that would reveal confidential and/or proprietary information specific to their project. The webinar date is listed on the cover page of the FOA.



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## APPENDIX A – COST SHARE INFORMATION

**Cost share is not required for this FOA, but this Appendix is applicable if an application proposes Cost Share or Cost Match.**

### **Cost Sharing or Cost Matching**

The terms “cost sharing” and “cost matching” are often used synonymously. Even the DOE Financial Assistance Regulations, 2 CFR 200.306, use both terms in the titles specific to regulations applicable to cost sharing. DOE almost always uses “cost sharing,” as it conveys the concept that non-federal share is calculated as a percentage of the Total Project Cost. An exception is the State Energy Program Regulation, 10 CFR 420.12, State Matching Contribution. Here “cost matching” for the non-federal share is calculated as a percentage of the federal funds only, rather than the Total Project Cost.

### **How Cost Sharing Is Calculated**

As stated above, cost sharing is calculated as a percentage of the Total Project Cost. FFRDC costs must be included in Total Project Costs. The following is an example of how to calculate cost sharing amounts for a project with \$1 million in federal funds with a minimum 20% non-federal cost sharing requirement:

- Formula: Federal share (\$) divided by federal share (%) = Total Project Cost  
Example: \$1,000,000 divided by 80% = \$1,250,000
- Formula: Total Project Cost (\$) minus federal share (\$) = Non-federal share (\$)  
Example: \$1,250,000 minus \$1,000,000 = \$250,000
- Formula: Non-federal share (\$) divided by Total Project Cost (\$) = Non-federal share (%)  
Example: \$250,000 divided by \$1,250,000 = 20%

### **What Qualifies for Cost Sharing**

While it is not possible to explain what specifically qualifies for cost sharing in one or two sentences, in general, if a cost is allowable under the cost principles applicable to the organization incurring the cost and is eligible for reimbursement under a DOE Grant, it is allowable as cost share. Conversely, if the cost is not allowable under the cost principles and not eligible for reimbursement, it is not allowable as cost share. In addition, costs may not be counted as cost share if they are paid by the federal government under another award unless authorized by federal statute to be used for cost sharing.



The rules associated with what is allowable as cost share are specific to the type of organization that is receiving funds under the Grant, though they are generally the same for all types of entities. The specific rules applicable to:

- FAR Part 31 for For-Profit entities, (48 CFR Part 31); and
- 2 CFR Part 200 Subpart E - Cost Principles for all other non-federal entities.

In addition to the above regulations, other factors may come into play, such as timing of donations and length of the project period. For example, the value of 10 years of donated maintenance on a project that has a project period of five years would not be fully allowable as cost share. Only the value for the five years of donated maintenance that corresponds to the project period is allowable and may be counted as cost share.

Additionally, DOE generally does not allow pre-award costs for either cost share or reimbursement when these costs precede the signing of the appropriation bill that funds the award. In the case of a competitive award, DOE generally does not allow pre-award costs prior to the signing of the Selection Statement by the DOE Selection Official.

### **General Cost Sharing Rules on a DOE Award**

- 1. Cash Cost Share** encompasses all contributions to the project made by the recipient or subrecipient(s) for costs incurred and paid for during the project. This includes when an organization pays for personnel, supplies, or equipment for their company with organizational resources. If the cost of the item or service is reimbursed, it is cash cost share. All cost share items must be necessary to the performance of the project.
- 2. In-Kind Cost Share** encompasses all contributions to the project made by the recipient or subrecipient(s) that do not involve a payment or reimbursement and represent donated items or services. In-Kind cost share items include volunteer personnel hours, donated existing equipment, and donated existing supplies. The cash value and calculations thereof for all In-Kind cost share items must be justified and explained in the Cost Share section of the project Budget Justification. All cost share items must be necessary to the performance of the project. Consult your DOE contact if you have questions before filling out the In-Kind cost share section of the Budget Justification.
- 3. Funds from other federal sources** may **not** be counted as cost share. This prohibition includes FFRDC subrecipients. Non-federal sources include any source not originally derived from federal funds. Cost sharing commitment letters from subrecipients must be provided with the original application.
- 4. Fee or profit**, including foregone fee or profit, are not allowable as project costs (including cost share) under any resulting award. The project may incur only those costs that are allowable and allocable to the project (including cost share) as determined in accordance



with the applicable cost principles prescribed in FAR Part 31 for For-Profit entities and 2 CFR Part 200 Subpart E - Cost Principles for all other non-federal entities.

### **DOE Financial Assistance Rules 2 CFR Part 200 as amended by 2 CFR Part 910**

As stated above, the rules associated with what is allowable cost share are generally the same for all types of organizations. Following are the rules found to be common, but again, the specifics are contained in the regulations and cost principles specific to the type of entity:

**(A) Acceptable contributions.** All contributions, including cash contributions and third-party in-kind contributions, must be accepted as part of the prime recipient's cost sharing if such contributions meet all of the following criteria:

- (1)** They are verifiable from the recipient's records.
- (2)** They are not included as contributions for any other federally assisted project or program.
- (3)** They are necessary and reasonable for the proper and efficient accomplishment of project or program objectives.
- (4)** They are allowable under the cost principles applicable to the type of entity incurring the cost as follows:
  - a.** For-profit organizations. Allowability of costs incurred by for-profit organizations and those nonprofit organizations listed in Attachment C to OMB Circular A-122 is determined in accordance with the for-profit cost principles in 48 CFR Part 31 in the FAR, except that patent prosecution costs are not allowable unless specifically authorized in the award document. (v) Commercial Organizations. FAR Subpart 31.2—Contracts with Commercial Organizations; and
  - b.** Other types of organizations. For all other non-federal entities, allowability of costs is determined in accordance with 2 CFR Part 200 Subpart E.
- (5)** They are not paid by the federal government under another award unless authorized by federal statute to be used for cost sharing or matching.
- (6)** They are provided for in the approved budget.

**(B) Valuing and documenting contributions**

- (1)** Valuing recipient's property or services of recipient's employees. Values are established in accordance with the applicable cost principles, which mean that amounts chargeable to the project are determined on the basis of costs incurred. For real property or

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equipment used on the project, the cost principles authorize depreciation or use charges. The full value of the item may be applied when the item will be consumed in the performance of the award or fully depreciated by the end of the award. In cases where the full value of a donated capital asset is to be applied as cost sharing or matching, that full value must be the lesser or the following:

- a. The certified value of the remaining life of the property recorded in the recipient's accounting records at the time of donation; or
  - b. The current fair market value. If there is sufficient justification, the Contracting Officer may approve the use of the current fair market value of the donated property, even if it exceeds the certified value at the time of donation to the project. The Contracting Officer may accept the use of any reasonable basis for determining the fair market value of the property.
- (2) Valuing services of others' employees. If an employer other than the recipient furnishes the services of an employee, those services are valued at the employee's regular rate of pay, provided these services are for the same skill level for which the employee is normally paid.
- (3) Valuing volunteer services. Volunteer services furnished by professional and technical personnel, consultants, and other skilled and unskilled labor may be counted as cost sharing or matching if the service is an integral and necessary part of an approved project or program. Rates for volunteer services must be consistent with those paid for similar work in the recipient's organization. In those markets in which the required skills are not found in the recipient organization, rates must be consistent with those paid for similar work in the labor market in which the recipient competes for the kind of services involved. In either case, paid fringe benefits that are reasonable, allowable, and allocable may be included in the valuation.
- (4) Valuing property donated by third parties.
  - a. Donated supplies may include such items as office supplies or laboratory supplies. Value assessed to donated supplies included in the cost sharing or matching share must be reasonable and must not exceed the fair market value of the property at the time of the donation.
  - b. Normally only depreciation or use charges for equipment and buildings may be applied. However, the fair rental charges for land and the full value of equipment or other capital assets may be allowed, when they will be consumed in the performance of the award or fully depreciated by the end of the award, provided that the Contracting Officer has approved the charges. When use charges are applied, values must be determined in accordance with the usual accounting policies of the recipient, with the following qualifications:



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- i. The value of donated space must not exceed the fair rental value of comparable space as established by an independent appraisal of comparable space and facilities in a privately owned building in the same locality.
    - ii. The value of loaned equipment must not exceed its fair rental value.
  - (5) Documentation. The following requirements pertain to the recipient's supporting records for in-kind contributions from third parties:
    - a. Volunteer services must be documented and, to the extent feasible, supported by the same methods used by the recipient for its own employees.
    - b. The basis for determining the valuation for personal services and property must be documented.



## APPENDIX B – SAMPLE COST SHARE CALCULATION FOR BLENDED COST SHARE PERCENTAGE

The following example shows the math for calculating required cost share for a project with \$2 million in federal funds, with four tasks requiring different non-federal cost share percentages:

| Task                   | Proposed Federal Share | Federal Share % | Recipient Share % |
|------------------------|------------------------|-----------------|-------------------|
| Task 1 (R&D)           | \$1,000,000            | 80%             | 20%               |
| Task 2 (R&D)           | \$500,000              | 80%             | 20%               |
| Task 3 (Demonstration) | \$400,000              | 50%             | 50%               |
| Task 4 (Outreach)      | \$100,000              | 100%            | 0%                |

Federal share (\$) divided by federal share (%) = Task Cost

Each task must be calculated individually as follows:

### Task 1

\$1,000,000 divided by 80% = \$1,250,000 (Task 1 Cost)

Task 1 Cost minus federal share = non-federal share

\$1,250,000 - \$1,000,000 = \$250,000 (non-federal share)

### Task 2

\$500,000 divided 80% = \$625,000 (Task 2 Cost)

Task 2 Cost minus federal share = non-federal share

\$625,000 - \$500,000 = \$125,000 (non-federal share)

### Task 3

\$400,000 / 50% = \$800,000 (Task 3 Cost)

Task 3 Cost minus federal share = non-federal share

\$800,000 - \$400,000 = \$400,000 (non-federal share)

### Task 4

Federal share = \$100,000

Non-federal cost share is not mandated for outreach = \$0 (non-federal share)



The calculation may then be completed as follows:

| Tasks  | \$ Federal Share | % Federal Share | \$ Non-Federal Share | % Non-Federal Share | Total Project Cost |
|--------|------------------|-----------------|----------------------|---------------------|--------------------|
| Task 1 | \$1,000,000      | 80%             | \$250,000            | 20%                 | \$1,250,000        |
| Task 2 | \$500,000        | 80%             | \$125,000            | 20%                 | \$625,000          |
| Task 3 | \$400,000        | 50%             | \$400,000            | 50%                 | \$800,000          |
| Task 4 | \$100,000        | 100%            | \$0                  | 0%                  | \$100,000          |
| Totals | \$2,000,000      |                 | \$775,000            |                     | \$2,775,000        |

Blended Cost Share %

Non-federal share (\$775,000) divided by Total Project Cost (\$2,775,000) = 27.9% (non-federal)

Federal share (\$2,000,000) divided by Total Project Cost (\$2,775,000) = 72.1% (federal)



## APPENDIX C – LIST OF ACRONYMS

|       |                                                  |
|-------|--------------------------------------------------|
| BIL   | Bipartisan Infrastructure Law                    |
| CETs  | Critical and Emerging Technologies               |
| CEJST | Climate and Economic Justice Screening Tool      |
| COI   | Conflict of Interest                             |
| CRADA | Cooperative Research and Development Agreement   |
| DEC   | Determination of Exceptional Circumstances       |
| DEIA  | Diversity, Equity, Inclusion, and Accessibility  |
| DMP   | Data Management Plan                             |
| DOE   | Department of Energy                             |
| DOI   | Digital Object Identifier                        |
| DOL   | Department of Labor                              |
| EAT   | Energy Auditor Training                          |
| FAR   | Federal Acquisition Regulation                   |
| FCOI  | Financial Conflicts of Interest                  |
| FFATA | Federal Funding and Transparency Act of 2006     |
| FOA   | Funding Opportunity Announcement                 |
| FOIA  | Freedom of Information Act                       |
| FFRDC | Federally Funded Research and Development Center |
| GAAP  | Generally Accepted Accounting Principles         |
| HBCUs | Historically Black Colleges and Universities     |
| IPMP  | Intellectual Property Management Plan            |
| IRB   | Institutional Review Board                       |
| M&O   | Management and Operating                         |
| MFA   | Multi-Factor Authentication                      |
| MPIN  | Marketing Partner ID Number                      |
| MSI   | Minority-Serving institution                     |
| MYPP  | Multi-Year Program Plan                          |
| NDA   | Non-Disclosure Acknowledgement                   |
| NEPA  | National Environmental Policy Act                |
| NNSA  | National Nuclear Security Administration         |
| NSF   | National Science Foundation                      |
| OFCCP | Office of Federal Contractor Compliance Programs |
| OIG   | Office of Inspector General                      |
| OMB   | Office of Management and Budget                  |
| OSS   | Open-Source Software                             |
| OSTI  | Office of Scientific and Technical Information   |
| OTA   | Other Transactions Authority                     |
| PII   | Personal Identifiable Information                |
| RD&D  | Research, Development, and Demonstration         |

Questions about this FOA? Email [energyauditor@hq.doe.gov](mailto:energyauditor@hq.doe.gov) | Subject line "Energy Auditor Training FOA Question"  
Problems with Infrastructure eXCHANGE? Email [InfrastructureExchangeSupport@hq.doe.gov](mailto:InfrastructureExchangeSupport@hq.doe.gov)



|         |                                                         |
|---------|---------------------------------------------------------|
| RFI     | Request for Information                                 |
| RFP     | Request for Proposal                                    |
| SAM     | System for Award Management                             |
| SciENCv | Science Experts Network Curriculum Vita                 |
| SCEP    | Office of State & Community Energy Programs             |
| SMART   | Specific, Measurable, Attainable, Realistic, and Timely |
| SOPO    | Statement of Project Objectives                         |
| SPOC    | Single Point of Contact                                 |
| STEM    | Science, Technology, Engineering, and Mathematics       |
| TAA     | Technical Assistance Agreement                          |
| TIA     | Technology Investment Agreement                         |
| TRL     | Technology Readiness Level                              |
| UCC     | Uniform Commercial Code                                 |
| UEI     | Unique Entity Identifier                                |
| WBS     | Work Breakdown Structure                                |
| WP      | Work Proposal                                           |