

## ADMINISTRATIVE AND LEGAL REQUIREMENTS DOCUMENT (ALRD)



### **U.S. Department of Energy (DOE) State and Community Energy Programs (SCEP) Golden Field Office**

#### **State Energy Program (SEP) Program Year (PY) 2026 Formula Awards SEP-ALRD-2026**

**Catalogue of Federal Domestic Assistance (CFDA) Number: 81.041, SEP**

**Issue Date: August 7, 2026**

| <b><u>SEP Program Year Ending</u></b> | <b><u>Application Due Date</u></b> |
|---------------------------------------|------------------------------------|
| June 30, 2026                         | 08/14/2026                         |
| August 31, 2026                       | 08/14/2026                         |
| September 30, 2026                    | 08/14/2026                         |

The complete application package will be due based on each State's PY as indicated above. To ensure timely award processing, States must submit complete applications by their respective deadlines above. Late or incomplete applications will delay award issuance. If enough progress in negotiating the final State Plan Application is not made, DOE reserves the right to place a hold on the funds the recipient can draw down under the Automated Standard Application for Payments (ASAP) System. DOE does not guarantee or assume any obligation to reimburse costs incurred while performing the agreement before the award is approved.

## REGISTRATION/SUBMISSION REQUIREMENTS

*Allow at least 21 days to complete registrations.*

### ***SAM.gov Registration***

You must have an active account with SAM.gov, which includes having a Unique Entity Identifier (UEI), before submitting an application. SAM.gov registration can take several weeks. To register, go to SAM.gov Entity Registration and click “Get Started.” Next, click on the “Entity Registration Checklist” for the information you will need to register.

You must maintain an active registration in SAM.gov with current information while you have an active Federal award or an application or plan under consideration by a Federal agency.

DOE cannot make a Federal award until you comply with all UEI and SAM requirements. You can call 866-606-8220 or 334-206-7828 if you have registration questions.

### ***FedConnect Registration***

Register in [FedConnect](#) to receive and acknowledge the award. The FedConnect [Quick Start Guide](#) will help guide you through the process. If you have additional questions, you can email [support@fedconnect.net](mailto:support@fedconnect.net) or call 800-899-6665.

### ***PAGE Registration***

Applicants must maintain a login for the [Performance and Accountability for Grants in Energy \(PAGE\) System](#) to submit an application. If you have questions about PAGE, you can refer to the Help Menu in PAGE, email the [PAGE hotline](#).

Applicants should contact their respective DOE Project Officer on state-specific questions.

**Electronic Signatures:** Acknowledgement of award documents by the Grantee’s authorized representative through electronic systems used by DOE, including FedConnect, constitutes the Grantee's acceptance of the terms and conditions of the award. Acknowledgement via FedConnect by the Grantee’s authorized representative constitutes the Grantee's electronic signature.

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

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## **PART I AUTHORITY**

Title III of the Energy Policy and Conservation Act, as amended, authorizes DOE to administer SEP. All Grants under this program must comply with applicable law, including regulations in [2 C.F.R. § 200](#), as amended by [2 C.F.R. § 910](#), [10 C.F.R. § 420](#), and other procedures that apply to this regulation because DOE may, from time to time, direct the administration of financial assistance.

## **PART II AWARD INFORMATION**

### **A. TYPE OF AWARD INSTRUMENT**

DOE will award grants.

### **B. ESTIMATED FUNDING**

#### **Availability of Funds**

Funding for all awards and future budget periods is contingent on the availability of funds appropriated by Congress for this program and the availability of future-year budget authority.

The *States* (the 50 U.S. states, U.S. territories, and the District of Columbia) will administer DOE funds received under SEP according to Federal rules and regulations and State policies and procedures. The Grantee must manage Federal funds in a prudent, effective, and efficient manner to accomplish program objectives and should expend all obligated funds within the annual budget period. If a State has unobligated balances to be authorized by a Grants Officer for carryover from one budget period to another, the State must include an estimate of carryover funds in its State Application.

#### **Funding Level**

The attachment for Program Year (PY) 2026 allocations includes the funding levels. Grantees should develop their State Plans using PY 2026 SEP allocations. You can find the allocation process at [10 C.F.R. § 420.11](#).

### **C. PERIOD OF PERFORMANCE**

Contingent on availability of funds, DOE anticipates making awards for the current PY funding period. We encourage States to expend all obligated funds within the annual Grant year. If you have unobligated carryover balances from one Grant year to another, you should include such carryover funds in the State Plan and Budget sections of its continuation application.

Awards will consist of a three-year Project Period with three one-year Budget Periods, contingent on availability of funds. You must submit a **new** application the first year of the three-year Project Period. The new application will be assigned a new grant number and should reflect the first year's Federal Allocation, the first year's Cost Match (optional), and other first-year contributions. Please note, new awards cannot include any carryover funds from prior

awards. In year two and year three of the Project Period, you must submit a continuation application reflecting that year's allocation and any carryover.

#### **D. NO COST TIME EXTENSION**

DOE expects States will spend out their entire DOE award by the end of the third year and that States will plan accordingly. DOE will consider extension requests only for extraordinary circumstances, which include:

- The loss of personnel for an extended period
- A change in or decision by leadership resulting in a significant change in program plans that significantly delays or significantly alters spending
- A significant (more than three months) freeze on spending, significant delays in procurement, a natural disaster, or other extraordinary circumstances preventing a State from spending out its funds during its grant period

DOE reserves the right to alter the allowable circumstances for an extension for a given PY at its discretion. To be considered for an extension based on extraordinary circumstances, the State should submit a written extension request to DOE **at least 90 days** prior to an award's end date. Such requests must include the reason for the extension and a detailed plan for expending the remaining funds within the requested extension period.

### **PART III ELIGIBILITY INFORMATION**

#### **A. ELIGIBLE APPLICANTS**

SEP funding is only available to *States* (the 50 U.S. states, U.S. territories, the District of Columbia) (DOE Program Rule [10 C.F.R. § 420](#)). DOE cannot consider any other entity types for this funding.

#### **B. COST MATCHING**

Cost match is not required for PY 2026 Formula Awards. If cost match is proposed, it must be included in the budget and budget justification. All sources of cost match are considered part of total project cost, and the cost match dollars will be scrutinized under the same Federal regulations as Federal dollars to the project. **Please note, the 20% cost match requirement will return in PY 2027.<sup>1</sup> If cost match is proposed, it must be included in the budget and budget justification.**

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<sup>1</sup>The Infrastructure Investment and Jobs Act ([Public Law 117-58](#)) § 40109 (b) (f) stipulated that “for the period of fiscal years 2022 through 2026” SEP would “not be subject to the matching requirement described in [...] 42 U.S.C. 6323a),” which requires that “each State will hereafter match in cash or in kind not less than 20 percent of the Federal contribution” ([Pub. L. 98-473, title I, § 101\(c\) \[title II\], Oct. 12, 1984, 98 Stat. 1837, 1861](#)).

## **PART IV APPLICATION AND SUBMISSION INFORMATION**

### **A. CONTENT AND FORM OF APPLICATION**

The State Plan application must be submitted via the [PAGE online system](#). DOE reserves the right to request additional or clarifying information for any reason. Applications will be reviewed for consistency with SEP program objectives.

## **PART V AWARD ADMINISTRATION INFORMATION**

### **A. AWARD NOTICES**

An Assistance Agreement issued by the Grants Officer is the authorizing award document. The Assistance Agreement normally includes, either as an attachment or by reference the following documents, which are sent to the State through FedConnect:

- Special Terms and Conditions
- Program regulations in [10 C.F.R. § 420](#)
- Application as approved by DOE
- DOE assistance regulations at [2 C.F.R. § 200](#) as amended by [2 C.F.R. § 910](#)
- National Policy Assurances To Be Incorporated as Award Terms
- Annual File
- Master File
- Budget Summary
- Intellectual Property Provisions
- Federal Assistance Reporting Checklist (FARC), which identifies the Reporting Requirements
- National Environmental Policy Act (NEPA) Determination

### **B. FUNDING RESTRICTIONS**

All expenditures must be allowable, allocable, and reasonable under applicable Federal Cost Principles. You can find more information in the Federal Cost Principles: [2 C.F.R. § 200](#), as amended by [2 C.F.R. § 910](#), in Subpart E–Cost Principles.

### **C. REPORTING**

Reporting requirements are identified on the FARC attached to the award agreement.

Awards initiated since October 1, 2010, are subject to the requirement of reporting subawards and executive compensation to comply with the Federal Funding and Transparency Act of 2006. Additional information about this requirement is available in the Special Terms and Conditions of the State's award, at [SAM.gov](#), and in [2 C.F.R. § 170](#).

Several SEP Program Notices also contain information on reporting, which you can request from your Project Officer.

## **D. ADMINISTRATIVE AND NATIONAL POLICY REQUIREMENTS**

### **Administrative Requirements**

The administrative requirements for DOE grants and cooperative agreements are contained in:

- [2 C.F.R. § 200](#) as amended by [2 C.F.R. § 910](#) and [10 C.F.R. § 420](#)
- [2 C.F.R. § 25](#) — Universal Identifier and Central Contractor Registration
- [2 C.F.R. § 170](#) — Reporting Subaward and Executive Compensation

### **National Policy Requirements**

You can find the National Policy Assurances to be incorporated as [Award Terms](#) on the National Science Foundation's website.

You can find the [standard DOE financial assistance intellectual property provisions](#) for the various types of recipients on the DOE website.

### **Environmental Review in Accordance with NEPA**

DOE's decision on whether and how to distribute Federal funds 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.

You can find further information on NEPA in the PY 2026 application instructions.

### **Buy America Requirements for Infrastructure Projects**

Federally assisted projects that involve infrastructure work, undertaken by applicable recipient types, require that all iron, steel, manufactured products, and construction materials used in the infrastructure work meet certain domestic content and production requirements.

You can find more information about this requirement and its various compliance standards, in the Build America, Buy America section of the PY 2026 application instructions.

## **PART VI OTHER INFORMATION**

### **A. INTERGOVERNMENTAL REVIEW**

#### **Program Subject to Executive Order 12372**

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

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

Applicants should contact the appropriate [State Single Point of Contact \(SPOC\)](#) to understand and comply with the State's process under Executive Order 12372.

## **B. GOVERNMENT RIGHT TO REJECT OR NEGOTIATE**

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

## **C. COMMITMENT OF PUBLIC FUNDS**

The Grants 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 Grants Officer, either explicit or implied, is invalid.

## **D. LOBBYING RESTRICTIONS**

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

## **E. MODIFICATIONS**

Modifications to this ALRD will be processed and disseminated the same way as other SEP Program Notices.

## **F. PROPRIETARY APPLICATION INFORMATION**

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

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

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

*Please be aware that all information provided to DOE (including confidential proprietary or confidential commercial information) is subject to public release*



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

## **G. PROTECTED PERSONALLY IDENTIFIABLE INFORMATION (PII)**

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

*Any information about an individual maintained by an agency, including but not limited to, education, financial transactions, medical history, and criminal or employment history and information that can be used to distinguish or trace an individual's identity, such as their name, Social Security number, date and place of birth, mother's maiden name, biometric records, etc., including any other personal information that is linked or linkable to an individual.*

This definition of PII can be further defined as *public PII* and *protected PII*.

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

**Protected PII** requires enhanced protection and information includes data that if compromised could cause harm to an individual such as identity theft. Some examples of protected PII that applicants must not include in their applications include:

- Social Security numbers in any form
- Place of birth associated with an individual
- Date of birth associated with an individual
- Mother's maiden name associated with an individual
- Biometric record associated with an individual
- Fingerprint
- Iris scan
- Deoxyribonucleic acid (DNA)
- Medical history information associated with an individual
- Medical conditions, including history of disease
- Metric information, e.g., weight, height, blood pressure

- Criminal history associated with an individual
- Employment history and other employment information associated with an individual
- Ratings
- Disciplinary actions
- Performance elements and standards (or work expectations) are PII when they are so intertwined with performance appraisals that their disclosure would reveal an individual's performance appraisal
- Financial information associated with an individual
- Credit card numbers
- Bank account numbers
- Security clearance history or related information (not including actual clearances held)

## **PART VII REFERENCE MATERIAL**

State Energy Program Notice 26-01: PY 2026 Grant Application Instructions

PY 2026 SEP Formula Allocations

SEP Spending Project Description Template 2026

FY 2026 Environmental Review SOW – States With PA WITH Ground Disturbance

FY 2026 Environmental Review SOW – States With PA NO Ground Disturbance

FY 2026 Environmental Review SOW – GUAM NO Ground Disturbance