

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

State and Community Energy Programs (SCEP)
Inflation Reduction Act (IRA) of 2022
State-Based Home Energy Efficiency Contractor Training Grant Program
CFDA Number: 81.041

ADMINISTRATIVE AND LEGAL REQUIREMENTS DOCUMENT (ALRD)

ALRD Modification Date: 10/6/2023

The purpose of this modification is to make the following revisions, which are highlighted in yellow throughout the ALRD:

- extend the ALRD Initial Application Deadline and update the ALRD timelines;
- update acronyms for IRA 50121, 50122, and 50123;
- incorporate flexibility around performance targets and letters of support;
- remove page limits;
- update requirements around eligible certifications and Workforce Advisory Groups;
- remove Workforce Development Plan requirements for an assessment of energy auditor readiness and a skills assessment report; and
- correct grammatical errors.

ALRD Issue Date: July 17, 2023

Overview of Key Information

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

Program Overview: The State-Based Home Energy Efficiency Contractor Training Grants (Training for Residential Energy Contractors, or TREC) program will provide States the ability to develop and implement a state workforce energy program that prepares workers to deliver energy efficiency, electrification, and clean energy improvements, including those covered under the Home Efficiency Rebates and the Home Electrification and Appliance Rebates. This program was established by Section 50123 of the Inflation Reduction Act (IRA).¹ The goals of the program are to:

1. **Reduce the cost of training contractor employees** by providing workforce development tools for contractors, their employees, and individuals including, but not limited to, subsidizing available training, testing and certifications.
2. **Provide testing and certifications of contractors trained and educated** to install home energy efficiency and electrification technologies and deliver residential energy efficiency and electrification improvements.
3. **Partner with nonprofit organizations to develop and implement a State sponsored workforce program** that attracts and trains a diverse set of local workers to deliver the influx of new federally-funded energy efficiency and electrification programs—including but not

¹ 42 U.S.C. 18795b.

limited to the IRA-funded Home Energy Rebate programs (IRA Sections 50121 and 50122).²

Eligible Applicants: In accordance with the IRA Section 50123, funding is only available to States, the District of Columbia, and a United States Insular Area (as that Term is defined in section 50211 of the IRA)³. These eligible entities are referred to throughout this ALRD as “States”. No other entity types may be considered for this funding. In accordance with 2 CFR Part 910.126 and DOE Program Rule 10 CFR Part 420, eligibility for these awards is restricted to State Energy Offices.

Funding Overview: \$150 million in formula funding is available in this ALRD. Please see Appendix C for funding allocations. These allocations are based on the formula set forth in 10 CFR Part 420.11 for the State Energy Program effective as of January 1, 2022. Grantees should develop their applications using the allocations shown in Appendix C.

IRA Section 50123 provides \$200 million to TREC, to remain available through September 30, 2031. Of the amount appropriated by the IRA, DOE will allocate funds to States as follows:

- \$150 million for formula grants
- Up to \$40 million for competitive grants⁴

Cost Matching: Cost match is not required for these awards. States should consider how they could leverage philanthropic and private sector funding to advance their goals and amplify the impact of the IRA 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 be scrutinized under the same Federal regulations as Federal dollars. Further information on cost match is detailed in section 5.2 in the Application Instructions and at 2 CFR 200.306.

Program Income: States may earn income in connection with TREC activities to defray program costs. If the State Project Plan includes such activities, States should include an estimated amount of earned income in the budget portion of the Grant Application. Program income is defined in Federal Regulations as gross income earned by the recipient that is directly generated by a supported activities or earned because of the award. Program income includes but is not limited to:

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

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

If the Recipient earns program income during the project period as a result of this Award, the Recipient must add the program income to the funds committed to the Award and used to further

² 42 U.S.C. 18795b(b)(1)-(3).

³ As referenced in IRA section 50111, section 50211 defines a United States Insular Area to mean American Samoa, the Commonwealth of the Northern Mariana Islands, Guam, the Commonwealth of Puerto Rico, and the United States Virgin Islands.

⁴ DOE will provide additional details on plans for these competitive funds in a future notice.

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

Timeline:

| | |
|---|---|
| Final Application Deadline | January 31, 2024 |
| Negotiations (on a rolling basis) | October 1, 2023 – March 29, 2024 |
| Awards (on a rolling basis) | November 1, 2023 – April 30, 2024 |
| First Funding Installment (50% of total award) | Executed Assistance Agreement |
| Second Funding Installment (50% of total award) | State submits: <ul style="list-style-type: none"> • Results from the program evaluation (see Section 6.4.e) • Plans for incorporating the evaluation results into improving the current State program |

Period of Performance: The expected period of performance is 48 months and includes all necessary implementation and start-up activities. DOE will consider applications that contain justification for a period of performances longer or shorter than 48 months.

Application Components: The State Application consists of the following:

1. Project Narrative (section 6.4)
 - Performance Metrics (section 6.4.a)
 - Community Benefits Plan (section 6.4.b)
 - State Workforce Development Plan (section 6.4.c)
 - Description of State Workforce Advisory Group (section 6.4.d)
 - Program Evaluation Plans (section 6.4.e)
2. Standard Form-424 (Application for Federal Assistance) (section 6.5)
3. Standard Form-424A (Budget Summary) (section 6.6)
4. Budget Narrative (section 6.7)
5. Other Forms, as applicable (section 6.9)
 - Negotiated Indirect Rate Agreement or Rate Proposal
 - A document containing a link to the state’s **latest** single or program-specific audit as required by 2 CFR 200 Subpart F
 - A document providing the name, phone number and email address of the Authorized Representative and Business Officer
 - Certifications regarding Lobbying (SF-LLL Disclosure Form to report lobbying)
 - Various certifications: The list of certifications and assurances found [here](#). Please verify compliance with Intergovernmental Review through your State’s [single point of contact](#), as applicable.
 - A National Environmental Policy Act (NEPA) Statement of Work(section 4.4.c)

Questions/Agency Contacts:

- Questions relating to the registration process, system requirements, how an application form works, or the submittal process must be directed to the PAGE hotline at 866-492-4546, or page-hotline@ee.doe.gov.
- States should reach out to the SCEP Workforce Development Team with any ALRD-specific questions: eworkforceprograms@hq.doe.gov.

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*Questions about this ALRD? Email? eworkforceprograms@hq.doe.gov.
Problems with PAGE? Email page-hotline@ee.doe.gov or call the PAGE hotline at 866-492-4546.
Include ALRD name and number in subject line.*

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SUBJECT: INFLATION REDUCTION ACT OF 2022 STATE-BASED HOME ENERGY EFFICIENCY CONTRACTOR TRAINING GRANTS FORMULA GRANT APPLICATION INSTRUCTIONS

1.0 PURPOSE

The purpose of these application instructions is to provide guidance to States regarding the preparation of State-Based Home Energy Efficiency Contractor Training Grant Program Formula Grant applications under Section 50123 of the Inflation Reduction Act (IRA). In these application instructions we also refer to this program as **TREC**.

2.0 SCOPE

2.1 Legal Authority

TREC is authorized under section 50123 of the IRA.⁵

2.2 Eligible Applicants

In accordance with the IRA Section 50123, funding is only available to States, the District of Columbia, and a United States Insular Area (as that term is defined in section 50211 of the IRA). These entities are referred to throughout these application instructions as “States”. No other entity types may be considered for this funding.

In accordance with 2 CFR Part 910.126 and DOE Program Rule 10 CFR Part 420, eligibility for these awards is restricted to State Energy Offices.

2.3 IRA Formula Allocations

Individual State IRA section 50123 allocations are included in Appendix A. These allocations are based on the formula set forth in 10 CFR Part 420.11.

2.4 Cost Match

The IRA does not subject **TREC** funds to cost matching requirements. Accordingly, cost match is not required.

DOE encourages States to consider (1) how they may leverage philanthropic and private sector funding to advance their goals and amplify the impact of the IRA funding; and (2) what strategies they can use to secure leveraged funding, to the extent practicable, in the plans they are submitting for IRA section 50123 funding.

2.5 Program Income

States could earn income in connection with **TREC** activities to defray program costs. If the State Project Plan includes such activities, States should include an estimated amount of earned income in the budget portion of the Application. Program income is defined in federal regulations as gross

⁵ 42 U.S.C. 18795b.

income earned by the recipient that is directly generated by a supported activity or earned because of the award. Program income includes but is not limited to:

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

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

If the Recipient earns program income during the project period as a result of this Award, the Recipient must add the program income to the funds committed to the Award and used to further eligible project objectives.

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

3.0 PROGRAM OVERVIEW & GOALS

State programs awarded under this ALRD will use funding appropriated by the IRA to: (1) reduce the cost of training contractor employees; (2) provide access to workforce development tools for contractors including, but not limited to, testing and certification; and (3) partner with community organizations to develop and implement an equitable state program.⁶

The IRA is a \$370 billion investment that will lower energy costs for families and small businesses, accelerate private investment in clean energy solutions in every sector of the economy and every corner of the country, strengthen supply chains for everything from critical minerals to efficient electric appliances, and create good-paying jobs and new economic opportunities for workers.⁷

The IRA establishes a State-Based Home Energy Efficiency Contractor Training Program⁸ and through this funding action, the IRA will invest appropriations of \$150,000,000 for the four (4) year period encompassing fiscal years (FYs) 2022 through 2027 to be distributed to States for the development and implementation of contractor training programs. DOE will allocate formula awards under this program to eligible units of state government in accordance with the formula for the State Energy Program effective as of January 1, 2022. TREC funds can be used to attract, train, certify, place, and retain a diverse set of local workers to deliver the influx of new federally-funded energy efficiency and electrification programs—including but not limited to the IRA-funded Home Energy Rebate programs (IRA Sections 50121 and 50122) covered under **Home Efficiency Rebates** and the **Home Electrification and Appliance Rebates**.⁹

TREC provides grants that reduce States' cost of training contractor employees; provides testing and certification of contractors trained and educated under state programs; and supports partnerships to

⁶ 42 U.S.C. 18795b(b)(1)-(3).

⁷ [White House Inflation Reduction Act Guidebook](#), "Inflation Reduction Act Guidebook, Jan. 2023.

⁸ 42 U.S.C. 18785b.

⁹ 42 U.S.C. 18795 and 18795a.

develop and implement a state workforce energy program. Below are examples of general activities and goals that States may choose to pursue:

- Equip contractors with the hard and soft skills necessary to electrify homes and make them more energy-efficient;
- Stimulate higher quality contracting across the residential sector by providing testing and certification of contractors;
- Prepare workers and businesses in every U.S. state and territory to deliver the energy efficiency and electrification measures funded through the IRA-funded **Home Efficiency Rebates** and the **Home Electrification and Appliance Rebates** (IRA Sections 50121 and 50122);
- Provide training and other support to encourage entrepreneurship among contractor firms, including resources for new or aspiring business owners such as introductions to business professionals (e.g., attorneys, accountants, HR support, insurance companies, etc.) to which small contractors can outsource essential business services; inform minority- and women-owned businesses (MWDBEs) of state diverse business enterprise certifications; or assist MWDBEs to become trade allies/qualified contractors to deliver utility-run energy efficiency programs, etc.
- Develop programs to upskill incumbent workers and support professional growth;
- Implement workforce readiness strategies, including on-the-job training, mentorship, apprenticeship, and job placement efforts;
- Provide resources to develop and support relevant pre-apprenticeship and registered apprenticeship training programs;
- Establish, or strengthen, career awareness programs to increase interest in relevant energy workforce careers;
- Engage with community and labor organizations, including labor unions, to support the development of high-quality jobs; and
- Promote diversity, equity, inclusion, and accessibility by designing programs for delivery in underserved communities.

3.1 Diversity, Equity, Inclusion, and Accessibility

It is the policy of the Administration that:

“[T]he Federal Government should pursue a comprehensive approach to advancing equity¹⁰ for all, including people of color and others who have been historically underserved, marginalized, and adversely affected by persistent poverty and inequality. Affirmatively advancing equity, civil rights, racial justice, and equal opportunity is the responsibility of the whole of our government. Because advancing equity requires a systematic approach to embedding fairness in decision-making processes, executive departments and agencies must recognize and work to redress inequities in their policies and programs that serve as barriers to equal opportunity.

¹⁰ The term “equity” means the consistent and systematic fair, just, and impartial treatment of all individuals, including individuals who belong to underserved communities that have been denied such treatment, such as Black, Latino, and Indigenous and Native American persons, Asian Americans and Pacific Islanders and other persons of color; members of religious minorities; lesbian, gay, bisexual, transgender, and queer (LGBTQ+) persons; persons with disabilities; persons who live in rural areas; and persons otherwise adversely affected by persistent poverty or inequality. See E.O. 13985, *Advancing Racial Equity and Support for Underserved Communities Through the Federal Government*.

By advancing equity across the Federal Government, we can create opportunities for the improvement of communities that have been historically underserved, which benefits everyone.”¹¹

As part of this whole of government approach, this funding action seeks to encourage States to include the participation of underserved communities¹² and underrepresented groups in the activities States undertake with these funds. States are highly encouraged to include contractors and sub-contractors from groups historically underrepresented^{13,14} in their project scoping. Further, Minority Serving Institutions¹⁵, Minority Business Enterprises, Minority Owned Businesses, Woman Owned Businesses, Veteran Owned Businesses, or entities located in an underserved community that meet the eligibility requirements are encouraged to be considered as sub-recipients for proposed TREC-funded projects.

States should describe their efforts related to Diversity, Equity, Inclusion, and Access and associated community benefits in their project narrative, as described in section 6.

3.2 Justice40 Initiative¹⁶

Consistent with Executive Order 14008,¹⁷ this funding action is designed to help meet the goal that 40% of the overall benefits of the Administration’s investments in clean energy and climate solutions flow to disadvantaged communities, as defined by the Department pursuant to the Executive Order, to drive the creation of good-paying jobs with the free and fair chance for workers to join a union; and to foster economic revitalization and investment in coal, oil and gas, and power plant communities.

¹¹ E.O. 13985, “Advancing Racial Equity and Support for Underserved Communities Through the Federal Government,” Jan. 20, 2021.

¹² The Executive Office of the President [Memorandum for the Heads of Executive Departments and Agencies](#) defines a disadvantaged community as either: (1) a group of individuals living in geographic proximity, or (2) a geographically dispersed set of individuals (such as migrant workers or Native Americans), where either type of group experiences common conditions. This memo also directs federal agencies to use the Climate and Economic Justice Screening Tool (CEJST) to identify disadvantaged communities,

¹³ According to the National Science Foundation’s 2019 report titled, “[Women, Minorities and Persons with Disabilities in Science and Engineering](#)”, women, persons with disabilities, and underrepresented minority groups—blacks or African Americans, Hispanics or Latinos, and American Indians or Alaska Natives—were vastly underrepresented in the STEM (science, technology, engineering and math) fields that drive the energy sector. For example, in the U.S., Hispanics, African Americans and American Indians or Alaska Natives make up 24 percent of the overall workforce, yet only account for 9 percent of the country’s science and engineering workforce. DOE seeks to inspire underrepresented Americans to pursue careers in energy and support their advancement into leadership positions. Source: <https://www.energy.gov/articles/introducing-minorities-energy-initiative>.

¹⁴ Note that Congress recognized in section 305 of the American Innovation and Competitiveness Act of 2017, Public Law 114-329: “[I]t is critical to our Nation’s economic leadership and global competitiveness that the United States educate, train, and retain more scientists, engineers, and computer scientists; (2) there is currently a disconnect between the availability of and growing demand for STEM-skilled workers; (3) historically, underrepresented populations are the largest untapped STEM talent pools in the United States; and (4) given the shifting demographic landscape, the United States should encourage full participation of individuals from underrepresented populations in STEM fields.”

¹⁵ Minority Serving Institutions (MSIs), including Historically Black Colleges and Universities/Other Minority Institutions as educational entities recognized by the Office of Civil Rights (OCR), U.S. Department of Education, and identified on the OCR's Department of Education U.S. accredited postsecondary minorities’ institution list: <https://www2.ed.gov/about/offices/list/ocr/edlite-minorityinst-list-tab.html>.

¹⁶ [Department of Energy Justice40 Initiative](#): <https://www.energy.gov/diversity/justice40-initiative>.

¹⁷ E.O. 14008, “Tackling the Climate Crisis at Home and Abroad,” Jan. 27, 2021.

States should maximize these benefits and describe how applicable project benefits will flow to disadvantaged communities to the greatest extent practicable.

DOE's [General Guidance on Justice40 Implementation](#)¹⁸ was designed to help States and other interested parties incorporate Justice40 Initiative goals into DOE-funded projects.

Identifying Disadvantaged Communities

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

Pursuant to the Interim Implementation Guidance and OMB guidance M-23-09¹⁹ DOE recognizes disadvantaged communities as defined and identified by the White House Council on Environmental Quality’s Climate and Economic Justice Screening Tool (CEJST), which can be located at <https://screeningtool.geoplatform.gov/>.

Nationwide, approximately 27,251 communities were identified as disadvantaged by the CEJST tool. Communities are considered disadvantaged if they are in a census tract that meets the threshold for at least one of the tool’s categories of burden and corresponding economic indicator. Additionally, federally recognized Tribal lands are categorized as disadvantaged communities in accordance with OMB’s Interim Implementation Guidance “common conditions” definition of community.

Justice40 Initiative Implications

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

Identifying Benefits

Benefits from these programs 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:

¹⁸ [Final DOE Justice40 General Guidance 072522.pdf \(energy.gov\)](#). On December 15, 2022, DOE issued a [Request for Information](#) (RFI) to solicit feedback from States and nonprofits, as well as partner stakeholders such as labor unions, employers and contractors, workforce investment boards, energy efficiency training providers, researchers, community partners, manufacturers, community-based organizations, and others on issues related to the development and implementation of relevant programs. This included specific requests for feedback on the ways in which **TREC** can be designed to reach underserved communities.

¹⁹ “Addendum to the Interim Implementation Guidance for the Justice40 Initiative”, [M-23-09 \(whitehouse.gov\)](#).

- (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 access to good jobs with family-sustaining wages and benefits;
- (5) an increase in access to job training, education, and credentialing;
- (6) an increase in clean energy enterprise creation and contracting (e.g., minority-owned or disadvantaged business enterprises);
- (7) an increase in energy democracy, including community ownership of energy resources;
- (8) an increase in parity in clean energy technology access and adoption; and
- (9) an increase in energy resilience.

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

| Policy Priorities | Benefit Metric and Units |
|---|--|
| N/A | Dollars spent [\$] by DOE Covered Programs [\$] in disadvantaged communities |
| Decrease energy burden in disadvantaged communities | Dollars saved [\$] in energy expenditures due to technology adoption in disadvantaged communities |
| | Energy saved [MMBTU or MWh] or reduction in fuel [GGe] by disadvantaged communities |
| Decrease environmental exposure and burdens for disadvantaged communities | Avoided air pollutants (CO2 equivalents, NOx, SO2, and/or PM2.5) in disadvantaged communities |
| | Remediation impacts on surface water, groundwater, and soil in disadvantaged communities |
| | Reduction of legacy contaminated waste in disadvantaged communities |
| Increase in access to good jobs with family-sustaining wages and benefits | Average and range of wages [\$ /hour] for occupations funded through program |
| | Number of jobs at or above prevailing wage for a given occupation |
| Increase clean energy jobs, job pipeline, and job training for individuals from disadvantaged communities | Dollars spent [\$] and/or number of participants from disadvantaged communities in job training programs, apprenticeship programs, STEM education, tuition, scholarships, and recruitment. |
| | Number of hires from Disadvantaged communities resulting from DOE job trainings |
| | Number of jobs created for disadvantaged communities because of DOE program |
| | Number of and/or dollar value [\$] of partnerships, contracts, or training with minority serving institutions (MSIs) |
| Increase clean energy enterprise creation and contracting for minority or disadvantaged businesses in disadvantaged communities | Number of contracts and/or dollar value [\$] awarded to businesses that are principally owned by women, minorities, disabled veterans, and/or LGBT persons |
| Increase energy democracy in disadvantaged communities | Number of stakeholder events, participants, and/or dollars spent to engage with organizations and residents of disadvantaged communities, including participation and notification of how input was used |
| | Number of tools, trainings for datasets/tools, people trained and/or hours dedicated to dataset/tool and technical assistance |

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

3.3 Job Growth and Quality

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

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

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

3.4 Community and Labor Engagement

As part of the whole-of-government approach to advance equity and encourage worker organizing and collective bargaining,^{20,21,22} and in alignment with IRA section 50123, this funding action and any related activities will seek to encourage meaningful engagement and participation of workforce organizations, including labor unions, as well as underserved communities and underrepresented groups.

DOE encourages applicants to engage with labor unions and community stakeholders – such as local governments, Tribal governments, 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 ideally lay the groundwork for the eventual 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, card check neutrality, 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.

3.5 Technical Assistance

DOE will continue to work with States to implement efficient, equitable, and effective programs.

DOE will explore opportunities to provide technical assistance support to States to help accelerate their efforts to leverage other IRA funding. DOE encourages States to use the materials provided by DOE. DOE encourages States to adopt best practices for developing and implementing their Contractor Training programs.

The following activities—among others identified as valuable to States—may be available through DOE technical assistance, particularly if groups of States present similar needs:

- **Model workforce development plans** for different sectors and target audiences.
- **Webinars** to cover a variety of technical assistance topics, including guidance on preparing an application or comprehensive workforce development plan and compliance with Federal regulations and statutes as outlined in the Uniform Guidance.
- **Peer Learning Groups** to facilitate connections between States and organizations to exchange knowledge and expertise; brainstorm program design and service delivery best practices; and ask questions about program development and implementation.
- **Case Studies** on successful programs.
- **Research and analyses** to detect state-specific workforce skills gaps; synthesize labor market information and wage data; examine workforce development program metrics and evaluation best practices; and identify gaps in existing education, training, and credentialing programs.
- **Stakeholder mapping** to identify existing workforce development organizations.

²⁰ E.O. 13985, “Advancing Racial Equity and Support for Underserved Communities Through the Federal Government”. Jan. 20, 2021.

²¹ E.O. 14025, “Worker Organizing and Empowerment,” Apr. 26, 2021.

²² E.O. 14052, “Implementation of the Infrastructure Investment and Jobs Act,” Nov. 18, 2021.

DOE encourages States to consider utilizing early administrative funds available under the IRA Home Energy Rebate programs to assess and plan for anticipated workforce needs.²³

4.0 AWARD ADMINISTRATION INFORMATION

4.1 Award Notices

An Assistance Agreement issued by the Contracting Officer is the authorizing award document. The Assistance Agreement normally includes, either as an attachment or by reference: (1) Special Terms and Conditions; (2) Application as approved by DOE; (3) Federal regulations at [2 CFR Part 200](#) as amended by DOE at [2 CFR Part 910](#); (4) National Policy Assurances to Be Incorporated as Award Terms; (5) Project Narrative (6) Budget Summary; (7) Intellectual Property Provisions; (8) Federal Assistance Reporting Checklist, which identifies the Reporting Requirements; and (9) National Environmental Policy Act (NEPA) Determination. These documents are sent to the recipient via FedConnect.

4.2 Funding Restrictions

All expenditures must be allowable, allocable, and reasonable in accordance with the applicable Federal Cost Principles. Determinations of allowable costs will be made in accordance with the Cost Principles regulations, now found in the Office of Management and Budget's Uniform Administrative Requirements, Cost Principles, and Audit Requirements for Federal Awards (Uniform Guidance), codified at [2 CFR Part 200](#) and at [2 CFR Part 910](#) (Uniform Guidance-DOE specific).

States will not be entitled to reimbursement of pre-award costs.

4.3 Reporting and Monitoring

Reporting requirements are identified on the Federal Assistance Reporting Checklist, DOE F 4600.2, attached to the award agreement.

Awards initiated since 10/1/2010 are subject to the requirement of Reporting Subawards and Executive Compensation to comply with the Federal Funding and Transparency Act of 2006 (FFATA). Additional information about this requirement can be found in the Special Terms and Conditions of the State's award, at <https://www.fsr.gov>, and in [2 CFR Part 170](#).

DOE reserves the right to update the reporting requirements through policy guidance, if needed. Additional reporting requirement will be directly communicated to the States and posted on this website: <https://www.energy.gov/scep/state-based-home-energy-efficiency-contractor-training-grants>.

Federal regulations require DOE to monitor each grant recipient and grantees for each project, program, sub-recipient, function, or initiative supported by federal funds to ensure compliance with all federal regulations. The goal of grant monitoring is to maximize the effectiveness of awards, to confirm compliance with applicable federal and state regulations and to ensure awards are on schedule and on budget. Monitoring also provides an opportunity for DOE to communicate with states and states with sub-recipients to provide assistance to help achieve our mutual energy goals. Monitoring

²³ The Home Energy Rebates ALRD for early administrative funds encourages States to consider using a portion of the administrative funds available to identify existing workforce development programs, engage local trade groups and retailers, and plan for equity in workforce development programs. For more information, see: https://www.energy.gov/sites/default/files/2023-03/Home_Energy_Rebates_ALRD.pdf.

procedures will be directly communicated to the States and posted on this website:
<https://www.energy.gov/scep/state-based-home-energy-efficiency-contractor-training-grants>.

4.3.a Reporting Requirements

Transparency and accountability are central throughout the grant process. DOE will effectively monitor and report the return on investment of TREC funds.

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

Figure 1.

| 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 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.

4.3.b Additional Reporting Requirements after First Funding Installment

To release state formula allocations (see Figure 2), States must submit the following:

1. Results of the program evaluation (see section 6.4.e: Program Evaluation Plans); and
2. Plans for incorporating the evaluation results into improving the current State program.

Figure 2. DOE allocates formula grants to eligible units of state government as described in the following table:

| | |
|---|--|
| First Funding Installment (50% of total award) | Executed Assistance Agreement |
| Second Funding Installment (50% of total award) | State submits: <ul style="list-style-type: none"> • Results from the program evaluation (see section 6.4.e) |

| | |
|--|---|
| | <ul style="list-style-type: none"> Plans for incorporating the evaluation results into improving the current State program |
|--|---|

4.3.c Close-Out Reporting Requirements

States 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 State’s executed Assistance Agreement and posted on this website: <https://www.energy.gov/scep/state-based-home-energy-efficiency-contractor-training-grants>.

In the final report, States must report on the status of each performance metric (section 6.4.a) and the data and metrics listed, and described, in this section (section 4.3.c) below. States must indicate to DOE in their application which of the metrics in section 4.3.c are applicable to their program and which are not, including a justification for excluding any metrics.

Qualitative Data from Program Participants: States should collect qualitative data and feedback from program participants that include, but is not limited to, the following:

| Qualitative Data | By Target Audience |
|---|--------------------|
| What were the program benefits? | New workers |
| | Existing workers |
| | Contractor firms |
| What were the most valuable aspects of trainings/program? | New workers |
| | Existing workers |
| | Contractor firms |
| What opportunity exist to improve the program? | New workers |
| | Existing workers |
| | Contractor firms |
| Why did the participant pursue the training/program? | New workers |
| | Existing workers |
| | Contractor firms |
| How did the program assist with employment placement? | New workers |
| How did the program increase the participant’s access to apprenticeships/paid internships? Explain. | New workers |
| How did the program increase career advancement? | Existing workers |
| How did the program increase access to hire new workers? | Contractor firms |
| How were the curricula/trainings offered to workers beneficial? | Contractor firms |
| How did the program benefit the business? | Contractor firms |

Metrics: States should collect metrics that include, but is not limited to, the following:

| Labor Engagement Metric |
|--|
| Number of collective bargaining agreements executed. |

| |
|--|
| Number of labor organizations engaged as stakeholders. |
|--|

| Funding and Impacts to Disadvantaged Communities Metric |
|--|
| Percent of funding to each community of interest. |
| Identification of potential community benefits. |
| Discussion of potential negative impacts or community harms. |
| List the realized community benefits. |
| List the realized and mitigated community harm. |

| Funding and Impacts to Tribal Communities Metric |
|--|
| Percent of funding to each community of interest. |
| Identification of potential community benefits. |
| Discussion of potential negative impacts or community harms. |
| List the realized community benefits. |
| List the realized and mitigated community harm. |

| Funding and Impacts to Rural²⁴ Communities Metric |
|---|
| Percent of funding to each community of interest. |
| Identification of potential community benefits. |
| Discussion of potential negative impacts or community harms. |
| List the realized community benefits. |
| List the realized and mitigated community harm. |

| Funding and Impacts to Energy Communities Metric |
|--|
| Percent of funding to each community of interest. |
| Identification of potential community benefits. |
| Discussion of potential negative impacts or community harms. |
| List the realized community benefits. |
| List the realized and mitigated community harm. |

| Funding to Businesses by Ownership & Classification Metric |
|---|
| List the self-identification of ownership of contracting companies that utilized the program. |

| Community and Stakeholder Engagement Metric |
|---|
| Report how many, and what type, of community engagement events were held? (e.g., virtual/in person) |
| Provide the total number of attendees across events. |
| Provide the total number of attendees from communities of interest. |
| Describe the level of community engagement in project development and implementation. |

24 For TREC, SCEP is defining “rural communities” as cities, towns, or unincorporated areas with a population of not more than 10,000 inhabitants. This definition is based on the one used in Bipartisan Infrastructure Law (BIL) Section 40103(c).

| |
|---|
| Describe activities completed for each level of engagement, including any outcomes such as community benefits agreements or barriers. |
|---|

| |
|---|
| Identify if the project was operated under a negotiated Community Benefits Agreement. |
|---|

| |
|-----------------------------------|
| Non-DOE Investment Metrics |
|-----------------------------------|

| |
|--|
| Provide the amount and source of matching funds. |
|--|

4.4 Administrative and National Policy Requirements

4.4.a 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
- 2 CFR Part 25 – Universal Identifier and Central Contractor Registration
- 2 CFR Part 170 – Reporting Subaward and Executive Compensation

The Electronic Code of Federal Regulations found at www.ecfr.gov.

4.4.b National Policy Requirements

The National Policy Assurances to be incorporated as Award Terms are located at <http://www.nsf.gov/awards/managing/rtc.jsp>.

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

4.4.c Environmental Review in Accordance with National Environmental Policy Act

SCEP's decision whether and how to distribute Federal funds is subject to the National Environmental Policy Act (42 U.S.C. 4321, et seq.). NEPA requires Federal agencies to integrate environmental values into their decision-making processes by considering the potential environmental impacts of their proposed actions.

DOE must comply with NEPA prior to authorizing the use of Federal funds, pursuant to 42 U.S.C. 4321, et seq; consider the effects on historic properties, pursuant to Section 106 of the National Historic Preservation Act (NHPA); and consider the impacts to floodplains and wetlands, pursuant to 10 CFR Part 1022—Compliance with Floodplain and Wetland Environmental Review Requirements. To streamline these required reviews, DOE carries out each of these reviews under the umbrella of its NEPA review.

For an expedited NEPA review, applicants can access, and use, the NEPA scope of work templates available on this website: <https://www.energy.gov/scep/state-based-home-energy-efficiency-contractor-training-grants>. DOE encourages applicants to submit a NEPA scope of work with their application.

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, States will be required to assist in the timely and effective completion of the NEPA process in the manner most pertinent to their proposed project.

For additional background on NEPA, please see DOE's NEPA website, at <https://www.energy.gov/nepa>.

4.5 Intergovernmental Review

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

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

Applicants should contact the appropriate State Single Point of Contact (SPOC) to find out about, and to comply with, the State's process under [Executive Order 12372](#). The names and addresses of the SPOCs are listed on the Web site of the Office of Management and Budget at Intergovernmental Review (SPOC List) (whitehouse.gov) [Intergovernmental Review \(SPOC List\) \(whitehouse.gov\)](#) or at: <https://www.whitehouse.gov/wp-content/uploads/2020/04/SPOC-4-13-20.pdf>.

4.6 Government Right to Reject or Negotiate

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

4.7 Commitment of Public Funds

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

4.8 Lobbying Restrictions

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

4.9 Expenditure Restrictions

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

4.10 Modifications

Modifications to this Administrative and Legal Requirements Document will be processed and posted on this website: <https://www.energy.gov/scep/state-based-home-energy-efficiency-contractor-training-grants>.

4.11 Proprietary Application Information

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

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

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

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

4.12 Protected Personally Identifiable Information

Applicants submitting applications in response to this ALRD must ensure that Protected Personally Identifiable Information (PII), as defined at [2 CFR 200.1](#) and by OMB, is safeguarded and all data exchanges conducted through, or during, the performance of this grant will be conducted in a manner consistent with applicable federal law.

By submitting an application, applicants agree to take all necessary steps to protect such confidentiality by complying with the following provisions that are applicable in governing their handling of confidential information:

1. You must ensure that PII and sensitive data developed, obtained, or otherwise associated with DOE/ETA funded grants is securely transmitted.
2. To ensure that such PII is not transmitted to unauthorized users, all PII and other sensitive data transmitted via e-mail or stored on CDs, DVDs, thumb drives, etc., must be encrypted using a Federal Information Processing Standards (FIPS) 140-2 compliant and National Institute of Standards and Technology (NIST) validated cryptographic module. You must not e-mail unencrypted sensitive PII to any entity, including ETA or contractors.
3. You must take the steps necessary to ensure the privacy of all PII obtained from participants and/or other individuals and to protect such information from unauthorized disclosure.
4. You must ensure that any PII used during the performance of your grant has been obtained in conformity with applicable Federal and state laws governing the confidentiality of information.
5. You further acknowledge that all PII data obtained through your DOE grant must be stored in an area that is always physically safe from access by unauthorized persons and the data will be

processed using recipient-issued equipment, managed information technology (IT) services, and designated locations approved by DOE. Accessing, processing, and storing of DOE grant PII data on personally owned equipment, at off-site locations, (e.g., employee's home), and non-recipient managed IT services, (e.g., Yahoo mail), is strictly prohibited unless approved by DOE.

6. Your employees and other personnel who will have access to sensitive/confidential/proprietary/private data must be advised of the confidential nature of the information, the safeguards required to protect the information, and that there are civil and criminal 55 sanctions for noncompliance with such safeguards that are contained in Federal and state laws.

7. You must have policies and procedures in place under which your employees and other personnel, before being granted access to PII, acknowledge their understanding of the confidential nature of the data and the safeguards with which they must comply in their handling of such data, as well as the fact that they may be liable to civil and criminal sanctions for improper disclosure.

8. You must not extract information from data supplied by DOE for any purpose not stated in the grant agreement.

9. Access to any PII created by the DOE grant must be restricted to only those employees of the grant recipient who need it in their official capacity to perform duties in connection with the scope of work in the grant agreement.

10. All PII data must be processed in a manner that will protect the confidentiality of the records/documents and is designed to prevent unauthorized persons from retrieving such records by computer, remote terminal or any other means. Data may be downloaded to, or maintained on, mobile or portable devices only if the data are encrypted using NIST validated software products based on FIPS 140-2 encryption. In addition, wage data may only be accessed from secure locations.

11. PII data obtained by the recipient through a request from DOE must not be disclosed to anyone but the individual requestor, except as permitted by the Grant Officer or by court order.

12. You must permit DOE to make onsite inspections during regular business hours for the purpose of conducting audits and/or conducting other investigations to assure that you are complying with the confidentiality requirements described above. In accordance with this responsibility, you must make records applicable to this Agreement available to authorized persons for the purpose of inspection, review, and/or audit.

13. You must retain data received from DOE only for the period of time required to use it for assessment and other purposes, or to satisfy applicable Federal records retention requirements, if any. Thereafter, you agree that all data will be destroyed, including the degaussing of magnetic tape files and deletion of electronic data.

5.0 APPLICATION and SUBMISSION INFORMATION

5.1 Application Package

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

1. Each must be submitted in Adobe PDF format unless stated otherwise.
2. Each must be written in English.
3. All pages must be formatted to fit on 8.5- by 11-inch 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). 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.
4. Page numbers must be included in the footer of every page.

5.2 Application Submission

There are several one-time actions required to submit an application in response to this ALRD. It is recommended that you allow at least 21 days to complete the registrations. These requirements are as follows:

5.2.a PAGE

Create and maintain a login for the Performance and Accountability for Grants in Energy System at <https://www.page.energy.gov/default.aspx> in order to submit your application.

Required State Applications materials, such as the Project Narrative, Community Benefits Plan, State Workforce Development Plan, Program Evaluation Plan, Budget and all other forms, must be submitted via the PAGE online system at <https://www.page.energy.gov/default.aspx>.

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

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

DOE reserves the right to request additional or clarifying information.

For questions regarding PAGE, refer to the Help Menu in PAGE or contact the PAGE hotline at PAGE-Hotline@ee.doe.gov or 1-866-492-4546.

5.2.b Unique Entity Identifier and System for Award Management

Each applicant (unless the applicant is excepted from those requirements under 2 CFR 25.110) is required to: (1) be registered in the System for Award Management (SAM) at <https://www.sam.gov> before submitting its Application; (2) provide a valid unique entity identifier (UEI) number in its Application; and (3) continue to maintain an active SAM registration with current information at all times during which it has an active federal award or an application or plan under consideration by a federal awarding agency.

DOE may not make a federal award to an applicant until the applicant has complied with all applicable UEI and SAM requirements. Prime awardees must update their SAM registration annually.

Please note, there are new requirements for registering in SAM. Entities registering in SAM must submit a notarized letter appointing their authorized Entity Administrator. Please see SAM website for updates, alerts, and FAQs. For questions, call 866-606-8220 or 334-206-7828.

Designating an Electronic Business Point of Contact and obtaining a special password called a Marketing Partner ID Number (MPIN) are important steps in SAM registration.

NOTE: Entities should start the UEI and SAM registration process as soon as possible. If entities have technical difficulties with the UEI validation or SAM registration process, they should utilize the Help feature on SAM.gov. Additional entity validation resources can be found here: GSAFSD Tier 0 Knowledge Base - Validating your Entity.

5.2.c FedConnect

Register in FedConnect at <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/FedConnect_Ready_Set_Go.pdf. For additional questions, email support@fedconnect.net or call 1-800-899-6665.

5.2.d Electronic Authorization of Applications and Award Documents

Submission of an application and acknowledgement of award documents by the Grantee's authorized representative through electronic systems used by the Department of Energy, including FedConnect, constitutes the State's acceptance of the terms and conditions of the award. Acknowledgement via FedConnect by the State's authorized representative constitutes the State's electronic signature.

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

6.0 APPLICATION INSTRUCTIONS FOR TREC FORMULA GRANTS

6.1 Overview

The following instructions provide all the information needed to complete the Application. Carefully read and consider each section and include all required information in your Application. Application due dates are identified on the cover page of the ALRD.

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

6.2 IRA Awards

The IRA section 50123 awards will consist of a 48-month period of performance. DOE expects States to expend the entire funding allocation within the period of performance, unless justified in the State Application and approved in the Assistance Agreement.

6.3 State Application

The State Application consists of the following:

1. Project Narrative (section 6.4)
 - Performance Metrics (section 6.4.a)
 - Community Benefits Plan (section 6.4.b)
 - State Workforce Development Plan (section 6.4.c)
 - Description of State Workforce Advisory Group (section 6.4.d)
 - Program Evaluation Plans (section 6.4.e)
2. Standard Form 424 (Application form) (section 6.5)
3. Standard Form 424A (Budget summary) (section 6.6)
4. Budget Narrative (section 6.7)
5. Other Forms, as applicable (section 6.9)

- Negotiated Indirect Rate Agreement or Rate Proposal
 - A document containing a link to the state’s latest single or program-specific audit as required by 2 CFR 200 Subpart F
 - A document providing the name, phone number and email address of the Authorized Representative and Business Officer
 - Certifications regarding Lobbying (SF-LLL Disclosure Form to report lobbying)
 - Various certifications (The list of certifications and assurances found [here](#). Please verify compliance with Intergovernmental Review through your State’s [single point of contact](#), as applicable.)
6. A National Environmental Policy Act (NEPA) Statement of Work (section 4.4.c)

6.4. Project Narrative

The Project Narrative must demonstrate the State’s ability to implement the grant project in accordance with the provisions of the ALRD. The Project Narrative must provide a comprehensive framework and description of all aspects of the proposed project. States may choose to apply these funds to supplement existing workforce development programs; create new workforce programs; or a combination of these approaches to (1) reduce the cost of training contractor employees; (2) provide testing and certification of contractors training and educated under a State program; and (3) partner with nonprofit organizations to develop and implement a State program pursuant to item 1 in this paragraph.²⁵

The Project Narrative must be succinct, self-explanatory, and well-organized so that reviewers can understand the proposed project.

DOE has provided the following information for States to consider:

Non-Exclusive Resources: States could review and build upon existing resources from DOE and national laboratories that may be relevant to their program needs. Such resources include:

- Skill needs and standards resources:
 - [Building Science Education Solution Center Training Modules by Occupation](#) – currently available for HVAC technicians
 - [Building Science Education Solution Center Training Modules by Technology Area](#)
 - [Building America Solution Center Home Improvement Expert](#)
- Responsible contracting and community benefits plans resources:
 - [Community Benefits Plans Frequently Asked Questions](#)
 - [Apprentices “Earn While They Learn” to Build A Clean Energy Future](#)
 - [Apprenticeship | U.S. Department of Labor \(dol.gov\)](#)
- Clean energy job data:
 - [U.S. Energy Employment Report](#)
 - [State-Level Employment Projections for Four Clean Energy Technologies in 2025 and 2030](#)

Non-Exclusive Certifications: Certification programs and professional certifications can be useful to provide the baseline education, training, and professional upskilling to implement, support, and maintain the Bipartisan Infrastructure Law (BIL) and IRA investments. **TREC** is an opportunity for States to prepare the workforce to deliver energy efficiency, electrification, and clean energy improvements. Applicants can propose certifications that support the purpose of this funding and lead

²⁵ 42 U.S.C. 18795b(b)(1)-(3).

to good-quality jobs. For the purposes of this ALRD, good-quality jobs are jobs that pay sustaining wages with wage progression, benefits, access to paid leave, opportunities for career advancement through training and education, adequate staffing, safety and health protections, nondiscriminatory and harassment-free workplaces that promote Diversity, Equity, Inclusion, and Accessibility (DEIA) and, to the strongest extent possible, a platform for worker voice that supports all workers and ensures fair pay and safe working conditions.

Considering these priorities, TREC applicants must demonstrate that their proposed certifications align with the skills and needs of their service area(s), meet energy workforce demands, and prepare that workforce to deliver energy efficiency, electrification, and clean energy improvements.

For the in-demand professions, the following includes a non-exclusive list of example certification programs. In addition, the latest list of allowable certifications can be found on [the Building Science Education Solutions Center](#):

Energy Auditors (SOC/O*NET 47-4011.0126)

For energy auditors, below are a few sample certifications:

- [ASHRAE \(formerly the American Society of Heating and Air-Conditioning Engineers\) Building Energy Assessment Professional certification*](#)
- [Association of Energy Engineers \(AEE\) Certified Energy Auditor certification*](#)
- [Building Performance Institute Home Energy Professional Energy Auditor certification*](#)
- [Building Performance Institute Building Analyst certification](#)
- [Building Performance Institute Building Analyst Professional](#)
- [Residential Energy Services Network Home Energy Rater certification*](#)
- [SMART Energy Auditor certifications: Total Building Energy Audit Technician and Indoor Air Quality \(IAQ\) Technician, Supervisor, and Contractor certifications](#)
- [Home Energy Score Assessor certification](#)
- Other approved certifications (reviewed by DOE, National Laboratory or another designee) submitted at <https://bsesc.energy.gov/submit-recognition>

*Listed in the BIL section 40503²⁷

HVAC Contractors (SOC 49-9021.00)

In many states, HVAC contractors are required to have a specialty license under the umbrella of an electrician. In addition to this licensure (when required by the state), the following professional certification bodies are in the CareerOneStop database, and have undergone a DOE review of their curriculum related to heat pump design and installations, especially related to cold climates⁵:

- [North American Technician Excellence, Inc \(NATE\)](#)²⁸

²⁶ The Standard Occupation Code (SOC) is developed by the U.S. Department of Labor (DOL) Bureau of Labor Statistics (BLS) and is used by Federal agencies to classify workers into occupational categories for the purpose of collecting, calculating, or disseminating data. The DOL Employment and Training Administration maintains the Occupational Information Network (O*NET) as an online database of occupational jobs and worker requirements across the U.S. economy.

²⁷ 42 U.S.C. 18793

²⁸ See an example of a NATE-recognized certification listed on CareerOneStop here: [HVACR certification](#).

- [ESCO Group/ HVAC Excellence](#)²⁹
- Other approved certifications (reviewed by DOE, National Laboratory or another designee) submitted at <https://bsesc.energy.gov/submit-recognition>

Plumbers (SOC 47-2152.00)

Forty-four states require plumbers pass a state exam to earn a license to work within the state. In addition to this licensure (when required by the state), professional certifications that cover the design and installation nuances associated with heat pump water heaters can be provided by the following organizations, as well as others, whose content has been vetted by the Advanced Water Heating Initiative³⁰:

- AOSmith
- Rheem
- Bradford White
- Northwest Energy Efficiency Alliance
- Other approved certifications (reviewed by DOE, National Laboratory or other designee) submitted at <https://bsesc.energy.gov/submit-recognition>

Electricians (SOC 47-2111.00)

No further certification is required for electricians if the license exam covers:

- Electrical panel assessments (e.g. <https://bsesc.energy.gov/training-modules/hvac-electrical-panel-assessment>)
- Other approved certifications (reviewed by DOE, National Laboratory or another designee) submitted at <https://bsesc.energy.gov/submit-recognition>

Home Performance Contractors (no SOC designation)

For home performance contractors, these are a few of the professional certification bodies that provide relevant training:

- [Building Performance Institute](#)
- [Residential Energy Services Network \(RESNET\)](#)
- Other approved certifications (reviewed by DOE, National Laboratory or another designee) submitted at <https://bsesc.energy.gov/submit-recognition>

6.4.a Performance Metrics

As part of the application, States are expected to provide targets for all the performance metrics identified below, as applicable to their proposed project. If a performance metric and/or target audience is not applicable, then please enter “0” (zero) into the performance table. States will use the targets to measure impact throughout the period of performance and will report on the progress during

²⁹ The HVAC Excellence site is accessible from CareerOneStop here: [ESCO Group HVAC](#).

³⁰ <https://www.advancedwaterheatinginitiative.org/community>

the quarterly and annual reports (see section 4.3).

States must provide one performance table that contains the required metrics in the Project Narrative. The table must clearly identify the metrics and the total end-of-grant numerical targets that will result from the project. (See below for a sample format). Failure to provide a performance metrics table in the Project Narrative will result in DOE returning the application to the state.

In formulating numerical targets, States should factor in that their project design must address the full purpose of the ALRD within the 48-month period of performance.

States should consider factors of their proposed Project Narrative, Community Benefits Plan; Workforce Development Plan; including the project design, recruitment and outreach activities, identified target audience(s), training type and length of training offered, and other factors relevant to the achievement of each of the targets for performance metrics.

Sample Format for Project Narrative Performance Metrics Table:

| Performance Metric | Target audience(s) | Planned Numeric Targets for the Period of Performance |
|---|---------------------------|--|
| Number of individuals and/or businesses enrolled in the training program. | New workers | |
| | Existing workers | |
| | Contractor firms | |
| The percentage of individuals that completed the training program. | New workers | |
| | Existing workers | |
| | Contractor firms | |
| The number of individuals that received a certification. | New workers | |
| | Existing workers | |
| | Contractor firms | |
| Number and type of industry-recognized skill or business certifications obtained through program assistance. | New workers | |
| | Existing workers | |
| | Contractor firms | |
| Number of participants from underserved or underrepresented populations. | New workers | |
| | Existing workers | |
| | Contractor firms | |
| Number of workers newly employed; promoted within current employment; or placed in a registered apprenticeship as a result of training. | New workers | |
| | Existing workers | |
| Estimated cost of training per participant | New workers | |

| | | |
|---|------------------|--|
| | Existing workers | |
| | Contractor firms | |
| Number of communities of interest served through training | Disadvantaged | |
| | Tribal | |
| | Rural | |
| | Energy | |
| | Other | |

6.4.b Community Benefits Plan

The Project Narrative must describe how the proposed training program(s) will benefit the community. The Community Benefits Plan should describe how the proposed project will 1) support meaningful community and labor engagement; (2) invest in America’s workforce; (3) advance diversity, equity, inclusion, and accessibility; and (4) contribute to the President’s goal that 40% of the overall benefits from certain federal investments flow to disadvantaged communities (the Justice40 Initiative).

1. Engaging Community and Labor:
 - a. Provide a list of key community and labor stakeholders and a well-defined plan for continued engagement. (Letters of support from community or labor stakeholders are required, **as permitted by the relevant state law**).
 - b. Create a strategy for incorporating community and labor feedback into project and program plans.
 - c. Describe a plan to use collective bargaining, project labor, and/or community benefits agreements.

2. Investing in America’s Workforce:
 - a. Produce plans for strong and enduring partnerships with employers.
 - b. Create a process for tracking and reporting information on job quality:
 - i. Estimated benefits and pay for trainees,
 - ii. Proposed outcomes for placing program graduates into high-quality jobs.
 - iii. Gathered data on job quality (e.g., pay, benefits, classification as employees, permanent jobs, predictable schedules, etc.).
 - c. Propose steps to encourage participation in labor-management training partnerships, including Registered Apprenticeships and pre-apprenticeships.
 - d. Develop plans to train and hire workers from declining industries.
 - e. Create plans to facilitate career growth among trainees.

3. Diversity, Equity, Inclusion, and Accessibility:
 - a. Explain specific approaches for recruiting and training individuals from underrepresented groups or disadvantaged communities.
 - b. Present strategies to promote DEIA through the delivery of wraparound services to participants.
 - c. Showcase plans to promote entrepreneurship among diverse business owners.

4. Justice40 Initiative:
 - a. Determine specific disadvantaged communities targeted for enrollment in training, identified using the White House Council of Environmental Quality’s Climate and

Economic Justice Screening Tool.

- b. Create a plan to track applicable quantifiable, measurable, and trackable project or program benefits expected to flow to disadvantaged communities (as described in **Section 4.3** in the Application Instructions).
- c. **Provide** strategies to connect trainees with energy efficiency projects in disadvantaged communities.

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 should provide specific detail 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.

6.4.c State Workforce Development Plan

States must develop a workforce development plan as part of their Project Narrative that provides the following information outlined in this section. The workforce development plan must address the goals of the **TREC** by articulating how the grant project is designed from both (1) a strategic level, such as describing the planned activities for increasing the energy efficiency workforce needs of the State including devising a comprehensive workforce strategy; and (2) an operational level, such as incorporating how the comprehensive workforce strategy will be implemented and performance measured.

Workforce Development Plan Part A:

- **Component 1. Residential Energy Workforce Needs Assessment**
 - a) Provide a statement of need that clearly articulates the current supply of qualified skilled energy efficiency workers compared to the projected future demand. (DOE encourages States to partner with State Workforce Agencies to conduct a gap analysis to identify the labor supply needed to meet the labor demands.)
 - b) Indicate the program(s) for which the State will use **TREC** funds to prepare a skilled energy efficiency workforce. Programs could include the following:
 - i. Inflation Reduction Act **Home Efficiency Rebates**; and/or
 - ii. **Home Electrification and Appliance Rebates**; and/or
 - iii. Other existing or planned federal, state-, and utility-funded incentives and financing programs, as resources exist.³¹
 - c) Identify existing programs, within a state's jurisdiction, that meet residential energy contractor and worker needs, including a list of organizations currently provide training, credentialing, and/or wrap around services; and

³¹ For example, States could use **TREC** funds to train residential contractors conducting work that is funded by the Inflation Reduction Act Greenhouse Gas Reduction Fund (Administered by the Environmental Protection Agency) and/or the BIL Revolving Loan Fund Capitalization Program, among other programs.

- d) Present labor market information produced by federal or state departments of labor, as well as other sources, including current rates of employment in key occupations and forecasts of growing or declining industries and wage distributions across relevant occupations.
- **Component 2. Participant Outreach, Engagement, and Service Plan**
 - a) Outline how the funds will be used to serve participants from at least one of the following audience(s):
 - i. New workers, especially from disadvantaged communities, for recruitment and training;
 - ii. Incumbent workers for upskilling and retraining;
 - iii. New or existing residential energy contractors for training on leadership, entrepreneurship, business management, financial management, responsible contracting, and/or other relevant skills;
 - b) Identify what methods were used to determine the need to target the selected audience(s); and
 - c) List the organizations that will be involved in identifying and recruiting potential participants, including labor and community-based groups.
 - **Component 3: Statement of Work with Objectives, Activities, and Metrics**
 - a) Provide three to five strategic objectives that align program funds to identified workforce needs. At least one or more objectives must focus on how program funds benefit workers and businesses in disadvantaged communities.
 - b) Define the metrics used to measure performance of strategic objectives;
 - c) Explain activities that will incentivize workers and/or employers to pursue skills development and integration of applicable skills into existing workflows; and
 - d) Describe the plan for meeting workforce training needs after TREC funding is expended.

Workforce Development Plan Part B:

Answer the following questions:

1. **How will you engage and collaborate with local stakeholders in the development of your plan?** (Consider state departments of labor, state and local workforce boards, community & technical colleges, non-profit organizations, American Job Centers, labor unions, utilities, energy industry and financial companies, community-based organizations, etc.)
 - a. Describe involvement;
 - b. List organizations;
 - c. Define specific role and expertise; and
 - d. Outline activities and deliverables.)
2. **How will you partner with local stakeholders in the implementation of your plan?** (Describe the methods you will use to partner with these organizations, such as letters of

support **and/or** memoranda of understanding, etc. that confirm their commitment.)

3. **What are the existing statewide programs, initiatives, or partnerships you will leverage when developing and implementing your plan?** (Describe existing workforce programs, initiatives, or partnerships and the anticipated impact from this project.)
4. **How will your plan benefit disadvantaged communities?** (Check all that apply)
 - Increase in skills development opportunities.
 - Increase in access to pre-apprenticeships/apprenticeships.
 - Increase in access to low-cost capital needed for clean energy projects.
 - Increase in job quality.
 - Increase in clean energy enterprise creation and contracting (e.g., minority owned or disadvantaged business enterprises).
 - Increase in access to educational opportunities/certifications needed for clean energy jobs.
 - Increase in clean energy jobs, job pipeline, and job training for individuals from disadvantaged communities.
 - Increase in parity in clean energy technology access and adoption.
 - Increase in access to resources to obtain jobs in clean energy sector.
 - Other: (please list any additional benefits for disadvantaged communities not mentioned above.)
5. **What internal controls for performance reporting do you have established that will identify, track and report performance against the required program goals, activities, and metrics?**
6. **How will you facilitate continuous improvement to incorporate stakeholder feedback and improve program design and service delivery?** (i.e., work with Workforce Advisory group, etc.)

Note: In the case of the workforce development plans and these awards, DOE has applied the following definitions:

Residential energy contractors are businesses, non-profits, and individuals that provide residential energy efficiency, electrification, and other energy services to new and existing homes in both single-family and multi-family buildings through establishing subcontracts with individuals or organizations in construction trades and other roles. Residential energy contractors may enter business agreements with other entities to accomplish tasks such as residential energy assessment, technology installation, and/or maintenance alongside activities offered through internal services.

Residential energy workers are individuals, or associations of individuals, who perform residential energy services labor, often as hired by residential energy contractors. Workers may be direct employees of residential energy contractor firms or hired on a subcontracted basis to accomplish construction trades work.

DOE reserves the right to ask questions and/or suggest revisions before executing the Assistance Agreement.

6.4.d Workforce Advisory Group

As part of the **TREC** awards, States **must** establish an advisory group comprised of at least one-third members of the target audience as identified in component three of the workforce development plan.

The advisory group should play an ongoing role in recommending programmatic changes to better achieve outcomes and guiding specifics of program design, implementation, and evaluation.

6.4.e Program Evaluation Plans

A portion of TREC funds will be reserved for States after they have conducted an evaluation of their program(s). As part of their application, States should submit preliminary plans for conducting an evaluation of TREC-funded programs, including:

- Expected timeline for program evaluation;
- Determined components of the evaluation that should address or include, but are not limited to, the following:
 - Progress against goals, activities, and metrics identified in Section 6 of the Application Instructions and any forthcoming DOE program guidance;
 - Feedback from program participants collected by the program;
 - Process and program design improvements that would increase the likelihood of meeting program goals, activities, and metrics;
 - Review of program impacts; and
 - Recommendations for improvement as identified by the program evaluation.
- Identified evaluation questions that will assist the States in improving the program.

6.5 Standard Form 424 (Application)

The budget includes Standard Form 424A Summary and a Budget Narrative. States should list the same requested federal grant amount on the SF-424, SF-424A, and Budget Narrative. If minor inconsistencies are found between the budget amounts specified on the SF-424, SF-424A, and the Budget Narrative, States will need to submit a corrected application.

Once the SF424 is completed, add an attachment to the document with the name, title, phone number and email address for both the Authorized Representative and the Point of Contact.

6.6 Standard Form 424A (Budget)

States must complete the SF-424A Budget Information Form (available at <https://www.grants.gov/web/grants/forms/sf-424-family.html#sortby=1>). Applications must include a budget amount for all applicable required cost categories. The SF-424A should be completed as follows:

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

6.7 Budget Narrative

The Budget Narrative must provide a description of costs associated with each line item on the SF-424A.

The Budget Narrative should also include a section describing any leveraged resources provided (as applicable) to support grant activities. Leveraged resources are all resources, both cash and in-kind, in excess of this award and associated match. Valuation of leveraged resources follows the same

requirements as match. Applicants are encouraged to leverage resources to increase stakeholder investment in the project and broaden the impact of the project itself.

Each category should include the total estimated cost for the period of performance. Use the following guidance for preparing the Budget Narrative.

- *Personnel*: List all staff positions by title and roles and responsibilities. For each position identify the annual salary, percentage of time devoted to the project, and the amount of each position's salary funded by the grant. Personnel must be direct costs to the project and not duplicative of personnel costs included in the indirect pool that is the basis of any indirect rate applied for this project.
- *Fringe Benefits*: Provide a breakdown of the amounts and percentages that comprise fringe benefit costs such as health insurance, Federal Insurance Contributions Act (FICA), retirement, etc. If fringe cost rates are approved by a cognizant agency, identify the agency and date of latest rate agreement and include a copy of the negotiate rate agreement with the application. If fringe cost rates are not approved by a cognizant agency, explain how total fringe benefit costs are calculated. Your calculations should identify all rates used along with the base they were applied to (and how the base was derived), and a total for each (along with the grand total). If there is an established computation methodology approved for state-wide use, provide a copy with the SF424 Application.
- *Travel*: Specify the purpose of travel and estimated trips-, such as professional conference(s), DOE sponsored meeting(s), project monitoring, outreach and recruitment, etc. Identify the number of grant-funded staff traveling, mileage, per diem, estimated number of in-state and out-of-state trips, and other estimated costs for each type of travel. Provide the basis for the travel estimate such as past trips, current quotations, federal or state travel regulations, etc. All listed travel must be necessary or beneficial to the performance of TREC. All foreign travel must be identified and requires pre-approval.
- *Equipment*: Equipment is defined as an item with an acquisition cost greater than \$5,000 and a useful life expectancy of more than one year (see 2 CFR 200 Part 200.1 for the definition of equipment.). List all proposed equipment and briefly justify its need as it applies to the objectives of this award. Provide a basis of cost such as vendor quotes, catalog prices, prior invoices, etc. If the equipment is being proposed as cost match and was previously acquired, provide the value of its contribution to the project and a rationale for the estimated value shown. If it is new equipment that will retain a useful life upon completion of the project, provide a rationale for the estimated value shown. Also, indicate whether the equipment is being used for other projects or is 100% dedicated to this project.
- *Supplies*: Supplies are defined as items with an acquisition cost of \$5,000 or less or a useful life expectancy of less than one year. Supplies are generally consumed during the project performance. List all proposed supplies and the estimated cost and briefly justify the need for the supplies as they apply to the objectives of this award. Supply items must be direct costs to the project and not duplicative of supply costs included in the indirect pool that is the basis of any indirect rate applied for this project. Provide a basis of cost for each item listed. Examples include vendor quotes, prior purchases of similar or like items, published price list, etc. Except for general office supplies, list the item, quantity, and the unit cost per item. Supplies

include all tangible personal property other than “equipment” (see 2 CFR 200 Part 200.1 for the definition of supplies.)

- *Contractual*: Under the Contractual line item, delineate contracts and subawards separately. Contracts are defined according to 2 CFR Part 200.1 as a legal instrument by which a non-federal entity purchases property or services needed to carry out the project or program under a federal award. A subaward, defined by 2 CFR Part 200.1 means an award provided by a pass-through entity to a subrecipient for the subrecipient to carry out part of a federal award received by the pass-through entity. It does not include payments to a contractor or payments to an individual that is a beneficiary of a federal program.

For each proposed contract and subaward, specify the purpose and activities to be provided, and the estimated cost. Provide a brief description of the work to be performed, or the service to be provided, and reference the individual activity the work, or service, falls under. Include the basis of cost for each item listed (competitive, historical, quote, catalog, etc.).

- *Other Direct Costs*: Other direct costs are direct cost items required for the project that do not fit clearly into other categories. These direct costs must not be included in the indirect costs (if indirect costs are proposed for this project). Examples are participant supports like wrap around services, training, etc. that can be directly charged to the project, and are not duplicated in indirect (overhead) costs. Provide clear and specific detail, including costs and justification, for each item to determine whether the costs are necessary, reasonable, and allocable. Provide a basis of cost for each item.
- *Indirect Costs*: If you include an amount for indirect costs (through a Negotiated Indirect Cost Rate Agreement or De Minimis) on the SF-424A budget form, then include one of the following:
 - a) If you have a Negotiated Indirect Cost Rate Agreement (NICRA), provide an explanation of how the indirect costs are calculated. This explanation should include which portion of each line item, along with the associated costs, are included in your cost allocation base. Also, provide a current version of the NICRA.
 - b) If you intend to claim indirect costs using the 10 percent de minimis rate, please confirm that your organization meets the requirements as described in 2 CFR Part 200.414(f). Clearly state that your organization does not have a current negotiated (including provisional) rate, and is not one described in 2 CFR Part 200, Appendix VII(D)(1)(b).

Applicants choosing to claim indirect costs using the de minimis rate must use Modified Total Direct Costs (as defined by DOL below) as their cost allocation base. Provide an explanation of which portion of each line item, along with the associated costs, are included in your cost allocation base.

6.8 Expenditure Prohibitions and Limitations

Of the amounts received by a State under IRA section 50123(a), a State shall use not more than 10 percent for administrative expenses associated with developing and implementing a State program

pursuant to that subsection.³²

6.9 Other Forms

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

- Negotiated Indirect Rate Agreement or Rate Proposal.
- A document containing a link to the state's latest single or program-specific audit as required by 2 CFR 200 Subpart F.
- A document providing the name, phone number and email address of the Authorized Representative and Business Officer.
- Certifications regarding Lobbying ([SF-LLL Disclosure Form to report lobbying](#)).
- Various certifications. (The list of certifications and assurances found [here](#). Please verify compliance with Intergovernmental Review through your State's [single point of contact](#), as applicable.)

REFERENCE MATERIAL

Appendix A – State Formula Award Allocations

³² 42 U.S.C. 18795b(c).

Appendix A. State Formula Award Allocations

| State/ Territory | Total Formula Allocation | Installment 1 | Installment 2 |
|-------------------------|---------------------------------|----------------------|----------------------|
| Alabama | \$2,562,900 | \$1,281,450 | \$1,281,450 |
| Alaska | \$1,296,870 | \$648,435 | \$648,435 |
| American Samoa | \$864,460 | \$432,230 | \$432,230 |
| Arizona | \$2,642,230 | \$1,321,115 | \$1,321,115 |
| Arkansas | \$1,881,690 | \$940,845 | \$940,845 |
| California | \$10,321,930 | \$5,160,965 | \$5,160,965 |
| Colorado | \$2,501,170 | \$1,250,585 | \$1,250,585 |
| Connecticut | \$1,881,620 | \$940,810 | \$940,810 |
| Delaware | \$1,151,040 | \$575,520 | \$575,520 |
| District of Columbia | \$1,048,490 | \$524,245 | \$524,245 |
| Florida | \$6,021,760 | \$3,010,880 | \$3,010,880 |
| Georgia | \$3,816,060 | \$1,908,030 | \$1,908,030 |
| Guam | \$891,700 | \$445,850 | \$445,850 |
| Hawaii | \$1,194,820 | \$597,410 | \$597,410 |
| Idaho | \$1,403,750 | \$701,875 | \$701,875 |
| Illinois | \$5,086,340 | \$2,543,170 | \$2,543,170 |
| Indiana | \$3,354,110 | \$1,677,055 | \$1,677,055 |
| Iowa | \$2,188,600 | \$1,094,300 | \$1,094,300 |
| Kansas | \$1,908,060 | \$954,030 | \$954,030 |
| Kentucky | \$2,420,420 | \$1,210,210 | \$1,210,210 |
| Louisiana | \$3,633,890 | \$1,816,945 | \$1,816,945 |
| Maine | \$1,303,340 | \$651,670 | \$651,670 |
| Maryland | \$2,531,970 | \$1,265,985 | \$1,265,985 |
| Massachusetts | \$2,797,870 | \$1,398,935 | \$1,398,935 |
| Michigan | \$4,124,380 | \$2,062,190 | \$2,062,190 |
| Minnesota | \$2,802,670 | \$1,401,335 | \$1,401,335 |
| Mississippi | \$1,848,620 | \$924,310 | \$924,310 |
| Missouri | \$2,779,120 | \$1,389,560 | \$1,389,560 |
| Montana | \$1,248,470 | \$624,235 | \$624,235 |
| Nebraska | \$1,614,510 | \$807,255 | \$807,255 |
| Nevada | \$1,637,710 | \$818,855 | \$818,855 |
| New Hampshire | \$1,259,230 | \$629,615 | \$629,615 |
| New Jersey | \$3,517,680 | \$1,758,840 | \$1,758,840 |
| New Mexico | \$1,533,830 | \$766,915 | \$766,915 |

| | | | |
|---------------------|--------------|-------------|-------------|
| New York | \$6,369,300 | \$3,184,650 | \$3,184,650 |
| North Carolina | \$3,698,030 | \$1,849,015 | \$1,849,015 |
| North Dakota | \$1,288,200 | \$644,100 | \$644,100 |
| Northern Marianas | \$860,940 | \$430,470 | \$430,470 |
| Ohio | \$4,791,100 | \$2,395,550 | \$2,395,550 |
| Oklahoma | \$2,286,480 | \$1,143,240 | \$1,143,240 |
| Oregon | \$2,028,480 | \$1,014,240 | \$1,014,240 |
| Pennsylvania | \$4,960,910 | \$2,480,455 | \$2,480,455 |
| Puerto Rico | \$1,594,690 | \$797,345 | \$797,345 |
| Rhode Island | \$1,154,250 | \$577,125 | \$577,125 |
| South Carolina | \$2,397,600 | \$1,198,800 | \$1,198,800 |
| South Dakota | \$1,195,450 | \$597,725 | \$597,725 |
| Tennessee | \$2,980,770 | \$1,490,385 | \$1,490,385 |
| Texas | \$11,674,260 | \$5,837,130 | \$5,837,130 |
| U.S. Virgin Islands | \$889,010 | \$444,505 | \$444,505 |
| Utah | \$1,757,330 | \$878,665 | \$878,665 |
| Vermont | \$1,048,680 | \$524,340 | \$524,340 |
| Virginia | \$3,393,040 | \$1,696,520 | \$1,696,520 |
| Washington | \$2,925,550 | \$1,462,775 | \$1,462,775 |
| West Virginia | \$1,607,110 | \$803,555 | \$803,555 |
| Wisconsin | \$2,835,440 | \$1,417,720 | \$1,417,720 |
| Wyoming | \$1,192,070 | \$596,035 | \$596,035 |