

Home Energy Rebates Program

Budget Justification Workbook

August 28, 2024



SCEP

STATE & COMMUNITY ENERGY PROGRAMS

Agenda & Housekeeping

Home Energy Rebates Program Webinar

Everyone has been placed on mute



Please provide your questions through the Q&A feature. We will endeavor to answer questions throughout the webinar.

- Introductions and Overview
- Cost Principles
- Home Energy Rebates Budget Justification Workbook
 - Guidance, examples, and best practices
 - Programmatic cost categories vs. CFR federal cost categories
- Application to Award
 - Aligned documents
 - Review and approval process
 - Award documents



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Overview

- The DOE created the Budget Justification Workbook resource to assist states, territories, and Tribes in preparing their budget in accordance with their application and to ensure consistency for submission.
- A completed Budget Justification Workbook is a required component of a Home Energy Rebates application.
 - A template is available with instructions for how to complete the document.
 - There are different Budget Justification Workbook templates for states/territories and for the Tribal Program. **Please be sure to use the appropriate template for your program application.**
 - If an applicant chooses not to use the DOE provided resource, the same details and information are required.

Overview Continued

- Applicants must complete each tab of the Budget Justification Workbook, including all work to be performed by the prime recipient and all subrecipients, subcontractors, and vendors.
- Applicants should include costs associated with implementing the program requirements as well as with required annual audits and incurred cost proposals in their proposed budget documents.
- All costs must be reasonable, allocable, and allowable

Cost Principles

Cost Principles



Code of Federal Regulations

A point in time eCFR system



Title 2



Displaying title 2, up to date as of 8/02/2024. Title 2 was last amended 8/02/2024. 

[view historical versions](#)



There are Federal Register documents that will modify this content. See the 'Cross Reference' blocks in the text of this content for more information.

Enter a search term or CFR reference (eg. fishing or 1 CFR 1.1)



[Title 2](#) / [Subtitle A](#) / [Chapter II](#) / [Part 200](#) / [Subpart E](#)

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Reasonable

2 CFR 200.404 and FAR 31.201-3

- A reasonable cost does not exceed what would be incurred by a prudent person in the conduct of business.
- A reasonable cost is ordinary and necessary for award performance.
- A reasonable cost also applies sound business practices and reflects responsibility to the organization, the Government, and public at large.
- The burden of proof that a challenged costs is reasonable is incumbent upon the Recipient.
- The DOE Warranted Contracting Officer makes this final determination.

Allocable

2 CFR 200.405 and FAR 31.201-4

- An allocable cost must be necessary to the overall operation of the organization and is assignable in part to the federal award.
- A cost is allocable to the project if the product or service benefits the federal award.
- An allocable cost can be captured directly or indirectly.
- E.g., a single cost item cannot be allocated as both direct and indirect (rent, non-project travel).

Allowable

2 CFR 200.403 and FAR 31.201-2

- An allowable cost must first be necessary and reasonable for the performance of the federal award and be allocable.
- An allowable cost must conform to any limitations or exclusions set forth in the appropriate Cost Principles under 2 CFR 200, Section E or FAR Part 31.205.
- The cost may not be assigned to an award as a direct cost if any other cost incurred for the same purpose has been allocated as an indirect cost.
- An allowable cost must not be included as a cost or used to meet cost share of any other federally-financed program.

Direct and Indirect Costs

Direct Costs

Direct costs can be identified specifically with a particular final cost objective, such as a federal award, or other internally or externally funded activity, or that can be directly assigned to such activities relatively easily with a high degree of accuracy.

Typical direct costs include:

- Direct labor costs (i.e., the compensation of employees who work specifically on completing the objectives of a federal award);
- Direct labor employees' related fringe benefit costs;
- Travel of direct labor employees; and
- Materials, supplies, or other items purchased for use on a specific federal award.

Indirect Costs

Indirect costs are incurred for a common or joint purpose benefitting more than one cost objective, and not readily assignable to the cost objectives specifically benefitted, without effort disproportionate to the results achieved. Indirect costs are allowable as described in 2 CFR Part 200, including [2 CFR § 200.414](#).

Typical indirect costs include:

- Depreciation on buildings and equipment;
- The cost of operating and maintaining facilities; and
- General administration and general expenses, such as the salaries and expenses of executive officers, personnel administration, and accounting.

Generally Unallowable Costs - Refer to [2 CFR Part 200](#)

Alcoholic beverages, Entertainment

Meals in your hometown/not traveling, including working lunches (within 50-mile radius)

Unauthorized airfare upgrades

Auto expenses, when already being reimbursed for mileage

Most expenses for which receipts are not provided

Pre-award costs (Program requirement)

Cost of fines paid

Cost overruns incurred on other Federal awards

Goods or services above market prices

Fee or profit for award primary recipients or sub-recipients

Direct Expenses not related to the Federal project

Expenses not ordinary and necessary for the performance of the Federal award

Overtime that should be compensated as regular time

Advertising and public relations costs not related to the performance of the Federal award

Bad debt, and related collection and legal costs

Cost incurred for an organized fundraising activity

Merger & Acquisition costs

Lobbying expenses

Certain patent expenses not required by the Federal award

CFR Revisions – Effective on New Awards Starting 10/1/2024

Threshold/Rate	Location	Previously	As of the 2024 Update
Equipment threshold*	2 CFR 200.313	\$5,000	\$10,000
Supply threshold*	2 CFR 200.314	\$5,000	\$10,000
Fixed amount subaward threshold	2 CFR 200.333	\$250,000	\$500,000
De minimis rate (IDC)	2 CFR 200.414	10%	15%
Audit threshold	2 CFR 200.501	\$750,000	\$1,000,000
Modified total direct costs exclusion for subawards	Appendix III to Part 200 Appendix IV to Part 200	Above \$25,000	Above \$50,000

**Guidance on the proceeds for selling unused equipment or supplies revised to refer to \$1,000 as amount recipients may be permitted to retain from Federal Share (was previously \$500 or 10%).*

Home Energy Rebates Budget Justification Workbook

Budget Justification Workbook - States/Territories

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Office of State and Community Energy Programs

Home Energy Rebates Budget Justification Workbook Template

AUGUST 26, 2023

Office of State and Community Energy Programs » Home Energy Rebates Budget Justification Workbook Template

 Home Energy Rebates Budget Justification Workbook Template

<https://www.energy.gov/scep/articles/home-energy-rebates-budget-justification-workbook-template>

Budget Justification Workbook - Tribes

Step 3: Complete the Tribal Application Checklist to ensure the required documents and plan are submitted to DOE.

Step 4: Complete application documents and plan. The required documents are:

- Tribal Application Checklist
- Standard Form 424
- Standard Form 424A
- **Planned Activities:** as stated in section 5.4 of the **Program Requirements and Application Instructions**, "An Indian Tribe must complete the Planned Activities section in PAGE, providing estimated values for the first tranche (25%) of funding."
- **Budget Justification Workbook:** Tribes should use the workbook that corresponds to their **expected award size** based on the tranche approach outlined in the **Administrative and Legal Requirements Document**.
 - **One Tranche:** Awards less than \$500,000 receive 100% of funds in one tranche
 - **Two Tranches:** Awards between \$500,000 and \$3 million receive funds in two tranches
 - **Three Tranches:** Awards over \$3 million receive funds in three tranches
- **Pre-Award Information Sheet**
- **Narrative Document:** To simplify the drafting of responses, DOE encourages Tribes to refer to our **Tribal Sample Narrative Responses**. We encourage Tribes to enter their responses into the **Tribal Narrative Document Template** for submission to DOE.
- **Tribal Council Resolution and/or a final official action by the Tribal governing body:** For instructions, see **Program Requirements and Application Instructions**, Appendix C, page 41.

<https://www.energy.gov/scep/tribal-home-electrification-and-appliance-rebates-program>

Programmatic Cost Categories

Under the Home Energy Rebates Program, all funds should fall into two programmatic cost categories: 1) Administrative Funds (if applicable) and 2) Rebate funds.

- Administrative funds may not exceed 20% of the total budget

If a single employee performs both administrative and rebate delivery duties, the expectation is to create separate line entries for the same position to reflect the appropriate amount of time the employee will perform each activity.

Cost Type	Position Title	Early Admin Funds			Budget Tranche 1		
		Time (Hrs)	Hourly Rate (\$/Hr)	Total Costs	Time (Hrs)	Hourly Rate (\$/Hr)	Total Costs
Administrative	Staff Project Manager	500	\$80.00	\$40,000	2000	\$85.00	\$170,000
Rebate Funds: Rebate Delivery	Customer Service Rep	100	\$20.00	\$2,000	4000	\$20.00	\$80,000
				\$0.00			\$0.00

Total Administrative Costs	\$0.00	\$0.00	\$0.00	\$0.00	\$0.00	\$0.00	0.00%	* Total cannot exceed 20%.
Total Rebate Funds: Rebate Delivery Costs	\$0.00	\$0.00	\$0.00	\$0.00	\$0.00	\$0.00	0.00%	* Any funds over 0% must be justified. If the cell to the left is yellow, justification must be provided in tab j.
Total Rebate Funds: Reimbursement Costs	\$0.00	\$0.00	\$0.00	\$0.00	\$0.00	\$0.00	0.00%	* Total must be a minimum of 80% unless justified. If the cell to the left is yellow, justification must be provided in tab j.
Total Costs	\$0.00	\$0.00	\$0.00	\$0.00	\$0.00	\$0.00	0.00%	

Administrative Costs

- Costs related to planning, administration, and technical assistance of Home Energy Rebate programs
- Allowable costs include the following types of activities:
 - Program planning and design
 - State program staff
 - Development of tools and systems, including websites, applications, rebate processing, and reporting
 - Program evaluation and consumer satisfaction surveys
 - Program monitoring and audits
 - Consumer protection functions including resolution procedures, data review, contractor management, installation standards, continuous improvement
 - Marketing, education, and outreach, including the funding of local governments and place-based organizations to assist with these activities
 - Implementation contract costs not including rebates and costs for activities directly related to delivery of rebates
 - Contractor training
 - Activities to improve access to rebates, facilitating leverage of private funds and financing mechanisms (e.g., loan loss reserves, interest rate reductions) where beneficial to efficiency and/or electrification projects
 - Technical assistance

Source: State/Territory Program Requirements and Application Instructions, Section 2.1, Page 6

Rebate Funds

- Reimbursement or providing a cost discount for eligible upgrades based on energy savings pre-determined qualified upgrade amounts total project costs.
- Activities directly related to delivery of rebates to eligible rebate recipients including:
 - Equipment, tools, models, and procedures used to assess a home and estimate energy savings
 - Equipment, tools, models, and procedures used to verify installations and perform quality control (QC) including inspections and reporting
 - Customer service support
 - Consumer protection functions including consumer feedback, project verification and inspections
 - Income eligibility
 - Disadvantage community delivery, including targeted marketing and outreach
 - Disadvantaged community incentives
 - Integration with existing programs, home energy assessments, and project scoping

Source: State/Territory Program Requirements and Application Instructions, Section 2.1, Page 8

CFR Federal Cost Categories

- 2 CFR 200.412 lays out the federal classification of costs, including both direct and indirect cost categories.
- Direct costs categories include the following:
 - Personnel
 - Fringe
 - Travel
 - Equipment
 - Supplies
 - Contractual
 - Other Direct Costs

Personnel

- Identify all positions to be supported by title and the amounts of time (e.g., % of time) to be expended on the Program, the base pay rate, and the total direct personnel compensation.
- Personnel must be direct costs to the project and not duplicative of personnel costs included in the indirect pool that is the basis of any indirect rate applied for this project.

Use position titles only, no names

A rate basis must be provided for all line items.

Cost Type	Position Title	Early Admin Funds			Total Project Hours	Total Project Costs	Rate Basis
		Time (Hrs)	Hourly Rate (\$/Hr)	Total Costs			
Administrative	Staff Project Manager	500	\$80.00	\$40,000	2600	\$227,000	salary w/ annual cost of living increase
Rebate Funds: Rebate Delivery	Customer Service Rep	100	\$20.00	\$2,000	4300	\$86,000	fully loaded labor rate
				\$0.00	0	\$0.00	

Fringe

- If fringe cost rates are approved by a federal agency, identify the agency and date of latest rate agreement and include a copy of the rate agreement with the application.
- If fringe cost rates are not approved by a federal agency, explain how total fringe benefit costs were calculated.
 - List all the elements that comprise your fringe benefits.
 - 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 statewide use, provide a copy with the SF424.

Fringe

Formula used in cells to carryover Personnel Costs from Personnel tab

Cost Type	Labor Type	Early Admin Funds			Budget Tranche 1			Budget Tranche 2			Budget Tranche 3			
		Personnel Costs	Rate	Total	Personnel Costs	Rate	Total	Personnel Costs	Rate	Total	Personnel Costs	Rate	Total	
Administrative	Staff Project Manager	\$40,000	20%	\$8,000	\$170,000	20%	\$34,000	\$18,000	20%	\$3,600	\$19,000	20%	\$3,800	
Rebate Funds: Rebate Delivery	Customer Service Rep	\$2,000	15%	\$300	\$80,000	15%	\$12,000	\$2,000	15%	\$300	\$2,000	15%	\$300	
0	0	\$0.00		\$0.00	\$0.00		\$0.00	\$0.00		\$0.00	\$0.00		\$0.00	
Total Fringe Administrative Costs				\$0.00				\$0.00				\$0.00		
Total Fringe Rebate Funds: Rebate Delivery Costs				\$0.00				\$0.00				\$0.00		
Total Fringe Costs				\$0.00				\$0.00				\$0.00		

A federally approved fringe benefit rate agreement, or a proposed rate supported and agreed upon by DOE for estimating purposes is required at the time of award negotiation if reimbursement for fringe benefits is requested and provide the requested information if not previously submitted.

A fringe benefit rate has been negotiated with, or approved by, a federal government agency. A copy of the latest rate agreement is/was included with the project application.*

There is not a current federally approved rate agreement negotiated and available.**

If selected provide explanation in box below

*Unless the organization has submitted an indirect rate proposal which encompasses the fringe pool of costs for the project, a list of the fringe benefit package and/or a list of the components/elements that comprise the fringe benefit package must be provided for the project.

**When this option is checked, the entity preparing this form shall submit an indirect rate proposal in the format provided in the Sample Rate Proposal at <https://www.energy.gov/eere/funding/downloads/sample-indirect-rate-proposal> containing the same level of information and which will support the rates being proposed for use in the performance of the proposed project.

Additional Explanation (as necessary): Please use this box (or an attachment) to list the elements that comprise your fringe benefits and how they are applied to your base (e.g. Personnel) to arrive at your fringe benefit rate.

Travel

- Provide the purpose of travel, such as professional conference(s), DOE sponsored meeting(s), project monitoring, etc.
- Identify the number of trips and the destination/location if known.
- Provide the basis for the travel estimate such as past trips, current quotations, federal or state travel regulations, etc.
- All listed travel must be necessary or beneficial to the performance of the Program. All foreign travel must be identified and requires preapproval.
- Travel is not reimbursable within 50-mile radius.
- Be sure to check the certification box in row 5.

I certify that these travel costs are consistent with travel costs incurred by my organization during normal business operations as a result of my organization's written travel policy, and/or my organization's compliance with the regulations prescribed by the General Services Administration.

Cost Type	Purpose of Travel	Depart From	Destination	No. of Days	No. of Travelers	Lodging per Traveler	Flight per Traveler	Vehicle per Traveler	Mileage Costs per Traveler	Per Diem per Traveler	Total Cost of Trip	Basis for Estimating Costs
Domestic Travel		Early Admin Funds										
Administrative	EXAMPLE!!! Project management meeting	DEN	DCA	2	2	\$250	\$500	\$100	\$0	\$80	\$1,860	Current GSA rates
Rebate Funds: Rebate Delivery	Subrecipient site visit	TBD	TBD	2	1	\$0	\$0	\$50	\$30	\$25	\$105	2 trips, 20 miles, current GSA rates
											\$0.00	
International Travel												
Administrative	EXAMPLE!!! Project management meeting			5	3	\$300	\$500	\$100	\$0	\$80	\$2,940	Current GSA rates
											\$0.00	

Equipment

* Note: New threshold effective 10/1/2024 with CFR changes

- Equipment is defined as an item with an acquisition cost greater than \$10,000* and a useful life expectancy of more than one year.
- List all proposed equipment and briefly justify its need as it applies to the objectives of the award.
- Provide a basis of cost such as vendor quotes, catalog prices, prior invoices, etc.
 - Provide a contractor quote for all items over \$50,000.
- If the equipment 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.
- Complete the self certification in row 5 that these costs are only for this project and not duplicated in Indirect Charges.

I certify that these costs are Direct to this and only this project and are not duplicated in Indirect Charges nor charged to other projects, if applicable.

Cost Type	Equipment Item	Qty	Unit Cost	Total Cost	Basis of Cost	Justification of need
Early Admin Funds						
Administrative	EXAMPLE!!! Equipment x	5	\$10,000	\$50,000	Contractor Quote - Attached	
Rebate Funds: Rebate Delivery	Energy savings modeling equipment	7	\$10,000	\$70,000		
				\$0.00		

Supplies

* Note: New threshold effective 10/1/2024 with CFR changes

- Supplies are defined as items with an acquisition cost of \$10,000* 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 the 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.
- Complete the self certification that these costs are only for this project and not duplicated in Indirect Charges.

I certify that these costs are Direct to this and only this project and are not duplicated in Indirect Charges nor charged to other projects, if applicable.

Cost Type	General Category of Supplies	Qty	Unit Cost	Total Cost	Basis of Cost	Justification of need
Early Admin Funds						
Rebate Funds: Rebate Delivery	EXAMPLE!!! Energy audit tool	10	\$360.00	\$3,600	Catalog price	In support of Task 4.2
				\$0.00		

Contractual

* Note: New threshold effective 10/1/2024 with CFR changes

- All subrecipients, vendors, contractors, and consultants and their estimated costs should be identified. Use TBD if the entity is unknown. Provide a brief description of the work to be performed or the service to be provided. Include the basis of cost for each item listed (competitive, historical, quote, catalog, etc.).
- Applicants must also provide a separate Budget Justification Workbook for each subrecipient that is expected to perform work estimated to be more than \$500,000* or 25% of the total work effort, whichever is less. For each Contractor cost with total project costs of \$500,000* or more, a Contractor quote must be provided.
- The Budget Justification Workbook must include the same justification information described above including any costs associated with the Community Benefits Plan. The Community Benefits Plan costs must be clearly identified in the Budget Justification Workbook.
- [SAM.gov](https://www.sam.gov) registration and an active account for all subrecipients and subcontractors is required.

Cost Type	Sub-Recipient Name/Organization	Sub-Recipient Unique Entity Identifier (UEI)	Purpose and Basis of Cost	Project Total
Rebate Funds: Rebate Delivery	EXAMPLE!!! XYZ Corp.	#	Partner to execute 50122 program on behalf of state.	\$1,000,000
				\$0.00

Subrecipients vs. Contractors

- The distinction between a subrecipient and contractor can be found in [2 CFR 200.331](#).
- A subrecipient (partners, sub-awardees) is a legal entity to which a subaward is made, who has performance measured against whether the objectives of the federal program are met, is responsible for programmatic decision making, must adhere to applicable federal program compliance requirements, and uses the federal funds to carry out a program of the organization.
- Contractors (subcontractors, vendors) are entities supplying commercial supplies or services used to support the project. A contractor is a legal entity contracted to provide goods and services within normal business operations, provides similar goods or services to many different purchasers, operates in a competitive environment, provides goods or services that are ancillary to the operation of the federal program, and is not subject to compliance requirements of the federal program.
- All characteristics may not be present, and judgment must be used to determine subrecipient vs. contractor status.

Other Direct Costs

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

I certify that these costs are Direct to this and only this project and are not duplicated in Indirect Charges nor charged to other projects, if applicable.

Cost Type	General Description and SOPO Task #	Cost	Basis of Cost	Justification of need
Early Admin Funds				
Administrative	EXAMPLE!!! Grad student tuition - tasks 1-3	\$16,000	Established costs	Support of graduate students working on project
Rebate Funds: Reimbursement	Heat Pump Water Heater Rebate	\$1,800,000	1200 rebates of \$1500 each	
Rebate Funds: Reimbursement	Installation Incentives	\$135,000	900 rebates at \$150 each	

Indirect Costs

1. If an indirect rate has been approved or negotiated with a federal government agency, a copy of the latest rate agreement is required to be included with the application.
2. If the organization does not have a current, federally approved indirect cost rate agreement, the entity must provide an indirect rate proposal in support of the proposed costs.
 - [Sample indirect rate proposal](#)
3. Under other circumstances, organizations may elect to apply a de minimis rate in accordance with [2 CFR 200.414\(f\)](#)
 - States, Local Governments, and Indian Tribes **cannot** elect the de minimis rate, so this is not applicable for Home Energy Rebates applicants.

Indirect Costs

REBATE FUNDS: REBATE DELIVERY			
	Budget Tranche 4	Total	Explanation of BASE
Provide ONLY Applicable Rates:			
Overhead Rate	0.00%		<i>Example: Labor + Fringe</i>
General & Administrative (G&A)	0.00%		<i>Example: Total Cost Input</i>
FCCM Rate, if applicable	0.00%		
OTHER Indirect Rate	0.00%		
Indirect Costs (As Applicable):			
Overhead Costs		\$0.00	Provide explanation of base indirect costs
G&A Costs		\$0.00	
FCCM Costs, if applicable		\$0.00	
OTHER Indirect Costs		\$0.00	
Total Indirect Administrative Costs	\$0.00	\$0.00	
Total Indirect Rebate Funds: Rebate Delivery Costs	\$0.00	\$0.00	
Total Indirect Costs Requested	\$0.00	\$0.00	

Rate must match NICRA or indirect rate proposal

Provide explanation of base indirect costs

A federally approved indirect rate agreement, or rate proposed (supported and agreed upon by DOE for estimating purposes) is required if reimbursement of indirect costs is requested. Please check (X) one of the options below and provide the requested information if it has not already been provided as requested, or has changed.

An indirect rate has been approved or negotiated with a federal government agency. A copy of the latest rate agreement is included with this application and will be provided electronically to the Contracting Officer for this project.

The organization does not have a current, federally approved indirect cost rate agreement and has provided an indirect rate proposal in support of the proposed costs.

This organization has elected to apply a 10% de minimis rate in accordance with 2 CFR 200.414(f).

Administrative Costs and Rebate Funds

Allowable Administrative Costs	Budget Tranche 1 Estimate	Budget Tranche 2 Estimate	Budget Tranche 3 Estimate	Budget Tranche 4 Estimate	Total Estimated Costs
Program planning and design					\$0.00
State program staff					\$0.00
Development of tools and systems, including websites, applications, rebate processing and reporting					\$0.00
Program evaluation and consumer satisfaction surveys					\$0.00
Program monitoring and audits					\$0.00
Consumer protection functions including resolution procedures, data review, contractor management, installation standards, continuous improvement					\$0.00
Marketing, education, and outreach, including the funding of local governments and place-based organizations to assist with these activities					\$0.00
Implementation contract costs not including rebates and costs for activities directly related to delivery of rebates					\$0.00
Contractor training					\$0.00
Activities to improve access to rebates, facilitating leverage of private funds and financing mechanisms (e.g., loan loss reserves, interest rate reductions) where beneficial to efficiency and/or electrification projects					\$0.00
Technical assistance					\$0.00
Total Estimated Administrative Costs	\$0.00	\$0.00	\$0.00	\$0.00	\$0.00
CROSS-CHECK: Total Administrative Costs summed from tabs a. through h. (from "Instructions and Summary" tab row 58)	\$0.00	\$0.00	\$0.00	\$1,000.00	\$1,000.00

Categorize cost as admin or rebate

Complete after tabs a. Personnel - h. Indirect are finished

Project Related Activity	Budget Tranche 1 Estimate	Budget Tranche 2 Estimate	Budget Tranche 3 Estimate	Budget Tranche 4 Estimate	Total Project Costs
Equipment, tools, models, and procedures used to assess a home and estimate energy savings				\$400.00	\$400.00
Equipment, tools, models, and procedures used to verify installations and perform quality control (QC) including inspections and reporting					\$0.00
Customer service support					\$0.00
Consumer protection functions including consumer feedback, project verification and inspections					\$0.00
Income Eligibility					\$0.00
Disadvantaged community delivery, including targeted marketing and outreach					\$0.00
Disadvantaged community incentives (see Section 3.1.4)					\$0.00
Integration with existing programs, home energy assessments, and project scoping					\$0.00
Total Estimated Rebate Funds: Rebate Delivery Costs	\$0.00	\$0.00	\$0.00	\$400.00	\$400.00
CROSS-CHECK: Total Rebate Funds: Rebate Delivery Costs summed from tabs a. through h. (from "Instructions and Summary" tab row 59)	\$0.00	\$0.00	\$0.00	\$400.00	\$400.00

Totals in last two rows should match

Common Cost Clarifications

- Per [200.432](#) meals and refreshments are allowable, however the meeting must meet 2 specific conditions: “[1] dissemination of technical information beyond the non-Federal entity and [2] is necessary and reasonable for successful performance under the Federal award.”
 - These costs must also be modest: “Conference hosts/sponsors must exercise discretion and judgment in ensuring that conference costs are appropriate, necessary and managed in a manner that minimizes costs to the Federal award.”
- Per [200.421](#) advertising for education and outreach purposes is allowable. Advertising media include magazines, newspapers, radio and television, direct mail, exhibits, electronic or computer transmittals, and the like. Unallowable advertising and public relations costs are promotional items and memorabilia, including models, gifts, and souvenirs and costs of advertising and public relations designed solely to promote the non-Federal entity.
- Office supplies and furniture as well as facilities maintenance and management are NOT direct costs (unless the Recipient can verify that these expenses are solely used for this award).

Application to Award

Aligned Application Documents

Required Application Documents	Required Alignment
Standard Form SF-424	Funding amounts match
Standard Form SF-424A	
Budget Explanation	
Budget Justification Workbook	
Subrecipient Budget Justification >\$500,000*	
Contractor Quotes >\$500,000*	
Indirect Rate Agreement	
Narrative Document	Scope and budget items aligned

* Note: New threshold effective 10/1/2024 with CFR changes

Application to Award

ASSISTANCE AGREEMENT						
1. Award No.s DE-EE0006532d	2. Modification No.s	3. Effective Dates 2/19/2013d	4. CFDA No.s			
5. Awarded To/s		6. Sponsoring Offices		7. Period of Performance		
8. Type of Agreements <input type="checkbox"/> Grants <input type="checkbox"/> Cooperative Agreements <input type="checkbox"/> Others		9. Authority		10. Purchase Request or Funding Document No.s		
11. Remittance Address		12. Total Amounts Govt. Share: \$0.00d Cost Share: \$0.00d Total: \$0.00d		13. Funds Obligated This action: \$0.00d Total: \$0.00d		
14. Principal Investigators		15. Program Managers		16. Administrators Golden Field Office U.S. Department of Energy Golden Field Office 5013 Denver West Parkway Golden CO 80401		
17. Submit Payment Requests To/s		18. Paying Offices		19. Submit Reports To/s		
20. Accounting and Appropriation Dates See Scheduled						
21. Research Title and/or Description of Project s						
For the Recipients			For the United States of America			
22. Signature of Person Authorized to Sign			25. Signature of Grants/Agreements Officers			
23. Name and Titles		24. Date Signed	26. Name of Officers		27. Date Signed	

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

Attachment 3

BUDGET INFORMATION - Non-Construction Programs

1. Program/Project Identification No. SE00000000		2. Program/Project Title Home Energy Rebates				
3. Name and Address [REDACTED]				4. Program/Project Start Date [REDACTED]		
				5. Completion Date [REDACTED]		

SECTION A - BUDGET SUMMARY

Grant Program Function or Activity (a)	Federal Catalog No. (b)	Estimated Unobligated Funds		New or Revised Budget		
		Federal (c)	Non-Federal (d)	Federal (e)	Non-Federal (f)	Total (g)
1. Federal	81.041	\$ 0.00		\$ 2,500,000.00		\$ 2,500,000.00
2.						
3.						
4.						
5. TOTAL		\$ 0.00	\$ 0.00	\$ 2,500,000.00	\$ 0.00	\$ 2,500,000.00

SECTION B - BUDGET CATEGORIES

6. Object Class Categories	Grant Program, Function or Activity				Total (5)
	(1)	DOE	(2)	(3)	
a. Personnel		\$ 127,464.00			\$ 127,464.00
b. Fringe Benefits		\$ 137,587.08			\$ 137,587.08
c. Travel		\$ 0.00			\$ 0.00
d. Equipment		\$ 0.00			\$ 0.00
e. Supplies		\$ 0.00			\$ 0.00
f. Contract		\$ 2,153,074.64			\$ 2,153,074.64
g. Construction		\$ 0.00			\$ 0.00
h. Other Direct Costs		\$ 0.00			\$ 0.00
i. Total Direct Charges		\$ 2,418,125.72			\$ 2,418,125.72
j. Indirect Costs		\$ 81,874.28			\$ 81,874.28
k. Totals		\$ 2,500,000.00			\$ 2,500,000.00
7. Program Income		\$ 0.00			\$ 0.00

Tranches and Continuation

Term 30. Funding of Tranches

- SCEP has obligated funding as shown in Block 13 of the Assistance Agreement for completion of the Project. However, only the federal share of costs associated with the current funding tranche is available for work performed by the Recipient. Tranches are associated with specific project milestones, which are outlined in the Administrative and Legal Requirements Document (ALRD), associated with this program. The federal share of costs is shown on Attachment 3.
- The remainder of funding is contingent upon: (1) the availability of funds appropriated by Congress for the purpose of this program; (2) the availability of future-year budget authority; (3) Recipient's satisfactory progress towards meeting the objectives of the Home Energy Rebates Program; (4) Recipient's submittal of required reports; (5) Recipient's compliance with the terms and conditions of the Award; (6) the Recipient's submission of a continuation application; and (7) written approval of the continuation application by the Contracting Officer.
- In the event that the Recipient does not submit a continuation application for subsequent tranches, or SCEP disapproves a continuation application for subsequent tranches, the maximum SCEP liability to the Recipient is the funds that are available for the current approved tranche. In such event, SCEP reserves the right to deobligate any remaining federal funds.

Term 31. Continuation Application and Funding

- A continuation application is a non-competitive application to enter into a new funding tranche. The continuation application shall be submitted to SCEP in accordance with the tranche table in the ALRD that is issued.
- Continuation funding is contingent on (1) the availability of funds appropriated by Congress for the purpose of this program; (2) the availability of future-year budget authority; (3) Recipient's satisfactory progress towards meeting the objectives of the Home Energy Rebates Program; (4) Recipient's submittal of required reports; (5) Recipient's compliance with the terms and conditions of the Award; (6) the Recipient's submission of a continuation application; and (7) written approval of the continuation application by the Contracting Officer. The holistic performance of the award is taken into consideration during the continuation review.

Budget Modifications under an Active Award

Term 34. D. i. Modification to Indirect Cost Billing Rates

- The Recipient must provide a copy of an updated NICRA or indirect rate proposal to the DOE Award Administrator in order to increase indirect cost billing rates. If the Contracting Officer provides prior written approval, the Recipient may incur an increase in the indirect cost billing rates. Reimbursement will be limited by the budgeted dollar amount for indirect costs for each budget period as shown in Attachment 3 to this Award.

Term 38. C. Transfers of Funds Among Direct Cost Categories

- The Recipient is required to obtain the prior written approval of the Contracting Officer for any transfer of funds among direct cost categories where the cumulative amount of such transfers exceeds or is expected to exceed 10 percent of the total project cost, which is stated as "Total" in Block 12 to the Assistance Agreement of this Award. The Recipient is required to notify the DOE Project Officer of any transfer of funds among direct cost categories where the cumulative amount of such transfers is equal to or below 10 percent of the total project cost, which is stated as "Total" in Block 12 to the Assistance Agreement of this Award.

Term 43. Subrecipient and Subcontractor Change Notification

- Except for subrecipients and/or subcontractors specifically proposed as part of the Recipient's Application for award, the Recipient must notify the Contracting Officer and Project Officer in writing 30 days prior to the execution of new or modified subrecipient and/or subcontractor agreements, including naming any To Be Determined subrecipients and/or subcontractors.

Questions?

Please add your question to the chat.

Thank You!



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