September 11, 2009

U. S. Department of Energy
Idaho Operations Office

Application Completion Guidance

State Energy Efficient Appliance Rebate Program (SEEARP)

American Recovery and Reinvestment Act (ARRA)

Funding Opportunity Number: DE-FOA-0000119

FDA Number: 81.127, Energy Efficient Appliance Rebate Program (EEARP)

Comprehensive Application Due Date: 10/15/2009 at 6:00 PM Eastern Time

Disclaimer

In providing services to assist the applicant with preparing a grant application, neither the U.S. Department of Energy (DOE) nor any of its Operation Offices, National Laboratories or support contractors endorse the contents of this application or represent that the application will be selected to receive federal funding. Any services provided by DOE or its National Laboratories are intended to be advisory in nature and the applicant is solely responsible for the contents of this application.

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Purpose of this Guide

This guide is intended to summarize the key steps for successfully completing and submitting the Comprehensive Application for the State Energy Efficient Appliance Rebate Program, and to provide specific guidance on how to develop the required Program Plan and Budget documents.

Applications will be accepted on a rolling basis and DOE encourages early submission. We highly recommend that you consult your assigned Technical Assistance contact with any questions and for assistance prior to submission to expedite the review process and Program Plan approval.

Please refer to the Funding Opportunity Announcement (FOA) for detailed information on completion of your full application

Submitting the Comprehensive Application Package

STEP ONE

Application forms and instructions are available at www.grants.gov. To access these materials, go to http://www.grants.gov, select "Apply for Grants," and then select "Download a Grant Application Package." Enter the Catalog of Federal Domestic Assistance (CFDA) number (81.127) or the funding opportunity number (DE-FOA-0000119) and then follow the prompts to download the application package. Save the application package to your local computer. Note: **DO NOT use the Save & Submit selection in Grants.gov.**

STEP TWO

Open the downloaded application file in Adobe Reader and fill in the requested information. Be sure to fill in the forms embedded in the application form, including the SF424, Project/Performance Site Location(s), Other Attachments form, and the Disclosure of Lobbying Activities.

Save the application file to retain all information and forms.

Complete the other mandatory attachments (as listed on the following page) and save files with the required file names so your materials are clearly identified.

STEP THREE

Submit the complete Comprehensive Application package, including all mandatory attachments, using **www.fedconnect.net. You should access the FOA (not your award) in FedConnect and submit your Comprehensive Application package as a "Response" to the FOA.**

The Comprehensive Application shall be submitted no later than October 15, 2009 6:00 p. m. ET using www.fedconnect.net

Checklist of Required Forms/Files

Your application must include the following documents. ** (Please note: this updated Required Checklist replaces the "Summary of Required Forms/Files" on page 12 of the FOA: DE-FOA-0000119, CFDA Number 81.127)

Name of Document	Format	File Name
Grant Application Package • SF-424 • Project/Performance Site Location(s) • Other Attachments form • Disclosure of Lobbying Activities, if applicable (See FOA, page 12)	PDF	StateAbbreviaton_Application.pdf Example: MD_Application.pdf If forms are in separate files, use appropriate names, e.g., MD_SF424.pdf, MD_ProjectSite.pdf, MD_SF_LLL.pdf.
Other Mandatory Attachments		
1. Program Plan a) Narrative b) Spreadsheet Planning Tool	PDF and Excel	a) StateAbbreviation_ProgramPlan.pdf b) StateAbbreviation_Planning.xls
2. Budget Detail Package (Replaces both the SF-424A and the Budget Justification File.)	Excel	StateAbbreviation_BudgetDetail.xls
3. Applicant Environmental Checklist	Form	StateAbbreviation_Environmental.pdf

Applicant Guidance Contact Information for States and Territories

State Contacts for Program Plan Technical Support

States/Territories	Name, Email, Phone	Hours Available**
Northeast: CT, MA, ME, NH, NJ, NY, RI, VT Mid Atlantic: DC, MD, VA Puerto Rico	Andre Javier-Barry ajavierbarry@drintl.com (301) 588-9387	M-F 9:00 – 5:00 (EDT)
West: CA, HI Midwest: IA, IL, IN, MI, MN, OH, WI	Chris Cloutier ccloutier@drintl.com (651) 644-4017	M-F 9:00 – 5:00 (CDT)
Midwest: KS, KY, MO, ND, NE, SD Southwest: AZ, CO, NM, NV, OK, TX, UT, WY	Marcelo Guevara mguevara@drintl.com (301) 628-2049	M-F 9:00 – 5:00 (EDT)
Southeast: AL, AR, FL, GA, LA, MS, NC, SC, TN US Virgin Islands	Holly Kroll Smith hsmith@drintl.com (386) 236-8706	M–F 9:00 – 5:00 (EDT)
Northwest: AK, ID, MT, OR, WA Mid Atlantic: DE, PA, WV Guam, American Samoa, Northern Marianas	Dana Schallheim dschallheim@drintl.com (301) 588-9387	M–F 9:00 – 5:00 (EDT)

** Please contact your representative to arrange assistance to accommodate differing time zones.

State Contacts for Budget Guidance, Idaho Operations Office

	Name	Email	Telephone	Hours Available
Primary	Jeff Fogg	recovery@id.doe.gov	208-526-4958	M-Thur 8:00 – 5:00 (MDT)
Alternate	Eliot Dye	dyeej@id.doe.gov	208-526-9593	M-Thur 8:00 – 5:00 (MDT)

State Contacts for DOE Headquarters

Name	Title	Email	Telephone	Hours Available
Wendolyn Holland	Senior Advisor	Wendolyn.holland@hq.doe.gov	202-586-3003	M-F 9:00–6:00 ET
Alison Mize	Strategic Planner, NWT	Alison.mize@ee.doe.gov	202-590-0015	M-F 9:00–6:00 ET

Program Plan Overview

Each State and Territory must submit a Program Plan with its application. The format of the Program Plan has been standardized for national consistency and to expedite DOE review. The Program Plan must contain the following two documents. You may also attach non-required documents if desired to support your application.

1. **Program Plan Narrative** – All applicants shall use the template included on the following pages to prepare their Program Plan Narrative. Fill in all tables, expanding and copying as needed. Provide a written narrative when appropriate or requested. Explain as needed. There are no page limits, but please try to be as brief as possible. <u>Use a 12 point Times New Roman font, double space text outside of the tables in the narrative sections, and insert page numbers.</u>

2. **Program Plan Excel Spreadsheet** – All applicants should enter information about their proposed rebate levels and quantities into the standardized Excel Spreadsheet Planning tool that has been provided. (It will also be available on FedConnect.) This spreadsheet file will serve as the supporting documentation for the Program Plan/Narrative. We suggest you complete the Program Plan Excel Spreadsheet before completing the Program Plan Narrative.

Optional - Any non-required attachments that support your narrative, such as a Recycling Plan, Charts, etc.

Program Plan Narrative Template

Executive Summary

Program Summary.
Briefly describe your overall program approach, including goals, objectives, and estimated benefits for your State or Territory.

Outline your specific program objectives in Table 1. All savings numbers should be calculated using the Program Planning Excel Spreadsheet tool.

Table 1. Program Objectives

Program Objective	Target Value
Total Number of Rebates Paid	
Total Number of Appliances Replaced	
Total Number of Appliances Recycled	
Total Annual Energy Savings (kWh)	
Total Annual Energy Savings (Therms)	
Total Annual Water Savings (gallons)	
Total Annual CO_2 Reductions (lbs)	
Jobs Created*	

** DOE is waiting for specific OMB guidance on how to quantify jobs created for reporting purposes. In the meantime, the general guidance is that every $92,000 expended leads to one "job created."*

Enter a comprehensive timeline with key milestones for your program in Table 2. When will key decisions be made? When will the program be announced? How long will it last? Please add your own milestones as needed.

Table 2. Program Milestones and Timeline

Program Milestones	Target Date

I. Program Overview

Please populate the Program Planning Excel Spreadsheet before completing this section. All data in the tables below should correspond with the data in the Excel spreadsheet. Please include an estimate of the total number of appliances that will be recycled through your program, where applicable.

Table 3. Rebate Detail

Products to be Rebated	Rebate Level ($)	Targeted Quantity	Total Cost	Targeted # of Products Recycled
	$		$	
	$		$	
	$		$	
	$		$	
	$		$	
	$		$	
Total Rebates			**$**	

II. Explanation of Covered Products

<u>If all of the State's proposed products are from the recommended list included in the FOA, then no additional explanation is needed. You can skip to the next section.</u> If other ENERGY STAR qualified products or cold-climate products are proposed, then you must provide a justification for each product. Data for these additional products must also be included in the Program Planning Excel Spreadsheet.

Justification for ENERGY STAR or cold-climate appliances not on the recommended list. For each product selected, explain why it will provide significant benefits in your State/Territory, the annual per-unit energy savings, estimated annual sales of product in your State (market share), and price difference between the proposed product and the standard efficiency alternative. Include any other explanation you feel justifies the inclusion of this product in your program.

Product:

Annual per-unit Energy Savings:

Estimated Sales or Market Share in your State:

Price Difference:

Explanation on how this product benefits your State:

III. Integrating SEEARP Rebates with Existing State or Utility Incentives

States must design their SEEARP rebates to complement existing State or utility incentives available to local residents. In addition, States must ensure that the ARRA funds supplement and do not supplant current efforts. In the table below, please note for each product you propose to rebate whether there are any current (or planned) State rebates or tax credits, or any utility rebate programs. Please base this on what is planned for 2010-2011.

Table 4. Overlap with Existing Incentives

Products to be Rebated	Other State Rebate or Tax Incentive Available? (Yes / No)	Utility Rebates Available? (Yes / No)

For those products where there will be other rebates or incentives available, please list each of the individual programs in the table below. Complete one table for each applicable product. <u>You do not need to list utility programs offered for products you will not be rebating</u>. Include the name of the sponsoring organization (i.e., the utility or other program sponsor), the efficiency level being used (such as ENERGY STAR), the rebate amount, when the program will be in operation, and budgeted number of rebates if known. Then explain how the State's proposed rebate level is designed to complement these other efforts. Some possible explanations are noted below. You can copy the table as many times as needed.

Product 1: (ENTER PRODUCT NAME)

Program Sponsor	Efficiency Level	Rebate Amount	When Available	Budgeted Quantity Of Rebates

How does State's Proposal Complement these Programs? (Check all that apply)

	Layering on top of existing rebates to increase total incentive payment to consumers.
	Directing State rebate to products at a different or higher efficiency level.
	Extending the availability (i.e., the quantity) of existing planned rebates.
	Other (Please Explain)

Product 2: (ENTER PRODUCT NAME)				
Program Sponsor	Efficiency Level	Rebate Amount	When Available	Budgeted Quantity Of Rebates

How does State's Proposal Complement these Programs? (Check all that apply)	
	Layering on top of existing rebates to increase total incentive payment to consumers.
	Directing State rebate to products at a different or higher efficiency level.
	Extending the availability (i.e., the quantity) of existing planned rebates.
	Other (Please Explain)

IV. Program Implementation Strategy

A. Program Delivery – Roles and Responsibilities
Explain who will manage and deliver the State's program. Outline the role of the State and any subcontracted delivery agents, such as third party program implementers, local utilities, recyclers, retailers, etc. Explain your plan for quality assurance for data collected. If using utilities to deliver program, explain how the State will ensure that all residents can participate in the program.

B. Program Partners
List other parties the State will collaborate with to deliver its program, including retailers, contractors, local utilities, nonprofit groups, outreach partners, neighboring States, etc. Please describe any Recommendations for Proposals if issued by the State and criteria for selection. Please describe any new networks created.

C. Rebate Processing

Explain how rebates will be paid to consumers in a timely fashion. Examples include mail-in rebate applications and instant rebates provided by participating retailers at the point of sale. For mail-in rebates, please specify the method of payment (e.g., direct deposit, check, etc.). Note who will process the rebate payments and how quickly consumers will receive rebates. Explain how the State will handle customer inquires about their rebates and remedy any problems. If rebates will be paid in conjunction with utility rebates, then explain how the commingled funds will be tracked. Also describe how the State will ensure it can handle a high volume of rebate requests in a timely fashion and track the remaining budget to avoid oversubscription.

D. Program Eligibility Rules

Outline the specific eligibility rules the State will utilize for its program. This should include a definition of eligible applicants, including who can apply, number of rebates per household, residency requirements, etc.

E. Product Replacement

Outline the various steps the State will take to target its program toward the replacement of existing appliances. Some examples include eligibility criteria, rebate structure, and recycling efforts.

F. Product Recycling

Specify for which products, if any, the State will be requiring recycling. As noted in the FOA, this is most appropriate for refrigerant-containing appliances such as refrigerators, freezers, and room air conditioners.

If you are requiring recycling, please outline your basic approach. (You may also include a more complete recycling plan as an optional attachment to your application.) Who will administer the recycling component? How will the products be collected? Who will handle the actual decommissioning, and how will recycling be verified or reported?

Spell out the applicable recycling laws in your State. The State environmental management departments and recycling and landfill permits agencies are good sources for this info.

G. Marketing and Outreach
Outline steps the State will take to promote the rebate program, including informing residents of the start date, eligibility rules, funds remaining for rebates; and, if used, the application process. List outreach tools the State will use, (e.g., press releases), Web sites, e-newsletters, e-lists, Public Service Announcements (PSAs), advertisements, print materials, earned media (interviews, articles written). Does the State intended to become an ENERGY STAR partner and use ENERGY STAR materials?

Explain how the State will keep consumers informed regarding the status of available funding for rebates and product types to meet consumer expectations. What disclaimers will you include in program materials and rebate applications? Will you rely on a first-come first-served policy for processing rebate payments? Will you announce to the public when funds are nearly depleted? Please be specific.

V. Oversight and Reporting

A. Oversight
Each State is responsible for overseeing the successful implementation of its program, even if the actual delivery is being subcontracted to another organization. Please summarize what oversight mechanisms the State will put in place for quality assurance and to minimize fraud.

B. Progress Reporting
As outlined in the FOA, States are required to submit a progress report for all activities on a quarterly basis. **DOE will issue clarification shortly on any additional reporting requirements with specific Excel tools for ease of reporting.** States should plan staffing accordingly to accommodate monthly tracking of the metrics listed below, as well as potential Recovery Act reporting.

This reporting does not replace any additional reporting required under The American Recovery and Reinvestment Act of 2009, Pub. L. 111-5. Additional monitoring and reporting guidance will be forthcoming. Please refer to your FOA for detailed information.

Notes on Metrics:

Total # of State Rebates Paid

Although reporting will be quarterly, the State must track rebates paid monthly for each category of appliances selected.

Total # of other State/Utility Rebates Paid

Based on the listing of other State and utility programs in the State, as supplied in Section III., above, the State must report the rebates actually paid to consumers by other State or utility programs.

Total # of Appliances Recycled

Based on management of recycling as detailed in section F of the Program Implementation Strategy, explain how the State will collect information on appliances recycled by type over the reporting period.

Number of Jobs Created

For all project types, the number of jobs that are created or retained during the reporting period should be reported; each job should only be reported once. This number must be based on actual employees. If actual jobs cannot be verified, the state may propose its own methodology for estimating jobs; this methodology must be approved in advance.

Estimated Energy Saved and CO_2 emissions avoided

States are expected to provide the interim estimated benefits due to the rebates provided. This primarily takes the form of annual energy savings and CO_2 abatement due to activity in the period. For example, if 1000 rebates were delivered in the quarter, report the expected annual savings due to the appliances sold. The reporting framework will include an estimate calculation of kWh, BTU saved and CO_2 for each specific appliance. The State may report this value or values based on its own methodology, with justification and approval.

VI. Applicant Contact Information

State Program Contact One (Business Officer) (The person who is responsible for the day-to-day management, including progress reporting.):

Name and Title:
Agency:
Email:
Phone:

State Program Contact Two:

Name and Tile:
Agency:
Email:
Phone:

State Single Point of Contact to Comply with Executive Order 12372 (FOA, page 13):

Name and Title:
Agency:
Email:
Telephone:

Website URL where the State application will post public communications:

Contact Information for each sub awardee (expand as needed):

Company	**Contact Person**	**Email**	**Telephone Number**	***Website URL***

Budget Guidance

As part of the Comprehensive Application, States are expected to complete a single budget file, the Budget Detail Package. The original FOA will be revised to document the elimination of the SF424A form and the Budget Justification File requirements. It will also add the requirement of the Budget Detail Package. The Budget Detail Package will include the information requested on the SF424A and the Budget Justification File.

<u>Budget Detail Package</u>

The Budget Detail Package is an Excel file with multiple worksheets. The first tab is the Budget Summary page where you will provide the budget cost overview. There are six tabs that represent each of the six major budget categories. Please complete all applicable worksheets. If you include any costs in the budget category on the Budget Summary page, you will need to complete the budget detail page for that particular category. For example, if you include $1,000 for travel on the Budget Summary sheet, you will need to enter the supporting data for that $1,000 on the Travel worksheet tab.

You will be providing ALL estimated administrative costs for this program in the Budget Detail Package. DOE will be funding 50% of those costs, but ALL costs must be included.

Once you have completed all appropriate fields, please ensure that you do not have any validation errors. Any errors will be listed at the bottom of the Budget Summary page.

There is also a tab to enter the cost sharing information. Any “in-kind” contributions should be identified as such and the basis for the cost estimate should be provided. In-kind contributions can be defined as any appropriate contribution other than cash. This could be in the form of supplies/materials, labor, or other commodities. In-kind contributions must be allowable and allocable to the program. In other words, the contributions must be some service or commodity that *could* be funded with federal program dollars, but is not. One of the most common types of in-kind contributions is the labor provided by the grant recipient to administer the award. The salary is paid to the employee, by the recipient, with non-federal dollars. In this case the hours that an employee will work on the program can be counted as an in-kind contribution. Any contributions made by an entity other than the State, must be supported by a letter from that entity declaring their commitment to provide the contribution. The letter should also indicate the estimated value of the contribution and the basis for the estimate.

The Budget Detail Package will also ask you to provide the justification for each of the budget items. For example, if you had included the $1,000 in travel, you would need to include the justification for that travel. This would consist of a brief, narrative explanation as to why the travel is necessary and appropriate for the Appliance Rebate Program. Similar justifications should be provided for all administrative costs identified in the Budget Detail Package.

Further guidance and instructions will be provided within the Budget Detail Package file.