



Local Infrastructure Hub: Module 5: How to Complete the Pre-Award Information Sheet

March 27, 2023

Expected learning outcomes for Module 5

Upon successful completion of this module, city teams will be able to:

- ✓ *Understand how to complete the Pre-Award Information Sheet.*
- ✓ *Understand Teaming and Partnerships and how to incorporate it into your application.*

Your hosts today



Zabrina Minor Gregg
Manager, Witt O'Brien's

- 15 years of Federal Grants Management Experience
- Professional Grant Writing and Project Management Professional
- Has managed an ARPA/ERA portfolio of over \$700M



Andrea Goldwater
Facilitator, NLC

- Corporate Trainer, Intrepa, Inc.
- IT Consultant, 21st Century Academy
- Assistant Director, Office of Charter Schools, Ball State University
- Director of Operations, K12 Inc.
- Director of Operations and Americorps Program, PLA



How to Complete the Pre-Award Application



SCEP
STATE & COMMUNITY ENERGY PROGRAMS

EECBG PROGRAM PRE-AWARD INFORMATION SHEET

Each Energy Efficiency and Conservation Block Grant (EECBG) Program recipient shall provide the following information on behalf of itself and all subrecipients and certify that the information is accurate and complete. Recipients may choose to provide this information in whatever format they like, as this form is optional.

EECBG Program recipients representing local and tribal entities may select from two options: 1) a grant or 2) a voucher for technical assistance and/or equipment rebates. EECBG Program recipients choosing a grant must provide data requested in sections 1 through 8 below. EECBG Program recipients choosing a voucher may skip sections 4 through 7. Please submit this form to the EECBG Program Inbox: eecbg@hq.doe.gov.

SECTION 1: CONTACT & LOCATION INFORMATION *(All recipients)*

Recipient Name:		Award Number:	
UEI:		DUNS (if applicable):	
Business Officer:		BO Phone Number/Email:	
Principal Investigator (PI):		PI Phone Number/Email:	

A. TYPE OF ORGANIZATION – Please indicate the type of organization of the Recipient by selecting one of the following:

- Local Government
- Tribal Government
- State

B. LOCATION AND CONGRESSIONAL DISTRICT

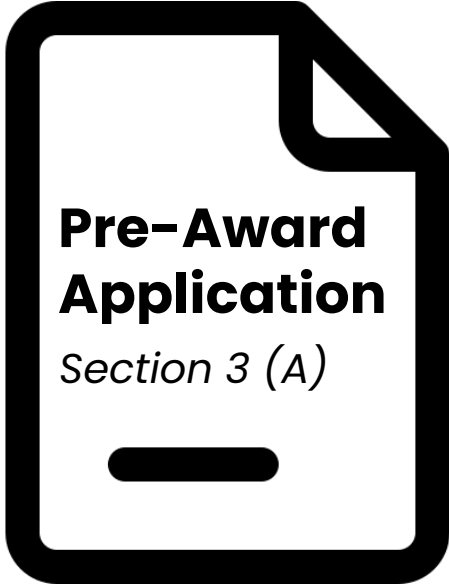
List the address and Congressional district(s) for the primary location where the grant will be performed.

Street Address:	
City:	
State:	
Zip:	
Congressional District(s):	

SECTION 2: GRANT OR VOUCHER *(All recipients)*

EECBG Program recipients representing local and tribal entities must select whether to receive their EECBG Program award in the form of a grant or a voucher for technical assistance and/or equipment rebates. Please indicate your choice here. All States & Territories must select "Grant." (Select one option) **[response to this question is non-binding]**

- Voucher for Technical Assistance
- Voucher for Equipment Rebate
- Voucher for both Technical Assistance and Equipment Rebate
- Grant

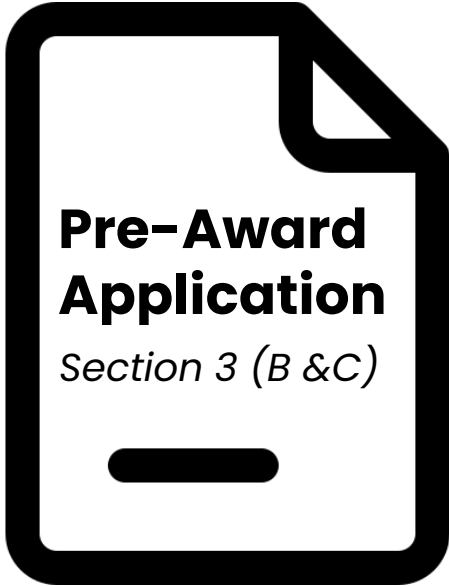


SECTION 3: BUSINESS ASSURANCES (*All recipients*)

A. DISCLOSURE OF POTENTIAL IMPROPRIETIES

Below, please disclose if any of the following conditions exist. If the answer to any question (a) through (g) below is yes, provide a detailed explanation in an attachment to this form.

- a. Is the proposed Recipient, Subrecipient(s), or any of the Recipient's or Subrecipient's principals¹ under investigation for or charged with a covered offense?²
- Yes
 No
- b. Has the proposed Recipient, Subrecipient(s), or any of the Recipient's or Subrecipient's principals been convicted of a covered offense in the last five years or had a civil judgment rendered against them for one of those offenses in that time period?
- Yes
 No
- c. Is the proposed Recipient, Subrecipient(s), or any of the Recipient's or Subrecipient's principals under investigation for potential violation of U.S. export control laws and regulations, or has the proposed Recipient, Subrecipient(s), or any of the Recipient's or Subrecipient's principals been convicted of any violations of U.S. export control laws and regulations?
- Yes
 No
- d. Is the proposed Recipient or Subrecipient(s) under investigation for potential violations of the Drug-Free Workplace Act of 1988, or has the proposed Recipient or Subrecipient(s) been convicted of any violations of the Drug-Free Workplace Act of 1988?
- Yes
 No
- e. Is the proposed Recipient, Subrecipient(s), or any of the Recipient's or Subrecipient's principals under investigation for research misconduct, or has the proposed Recipient, Subrecipient(s), or the Recipient's or Subrecipient's principals been convicted of research misconduct?
- Yes
 No
- f. Has any Federal Agency recommended or initiated proceedings against the proposed Recipient, Subrecipient(s), or the Recipient's or Subrecipient's principals for suspension or debarment, or is the proposed Recipient, Subrecipient(s), or the Recipient's or Subrecipient's principals debarred, suspended, publicly banned from doing business with the Federal government, or otherwise declared ineligible from receiving Federal Contracts, subcontracts or financial assistance?
- Yes
 No
- g. Is the proposed Recipient or Subrecipient(s) delinquent on federal debt or insolvent or at risk of insolvency or have the proposed Recipient or Subrecipient(s) filed for bankruptcy in any domestic or foreign jurisdiction?
- Yes
 No



B. POTENTIAL CONFLICTS OF INTEREST

1. **Financial Conflicts of Interest.** The Recipient must disclose in writing any managed or unmanageable financial conflicts of interest involving a member of the project team (i.e., Investigators) and include sufficient information to enable DOE to understand the nature and extent of the financial conflict, and to assess the appropriateness of the non-Federal entity's management plan. See Section V(b)(3) of the [DOE Interim Conflict of Interest Policy](#). As part of this DOE funded project, does the recipient or any subrecipients have any managed or unmanageable financial conflicts of interest involving a member of the project team (i.e., Investigators)?

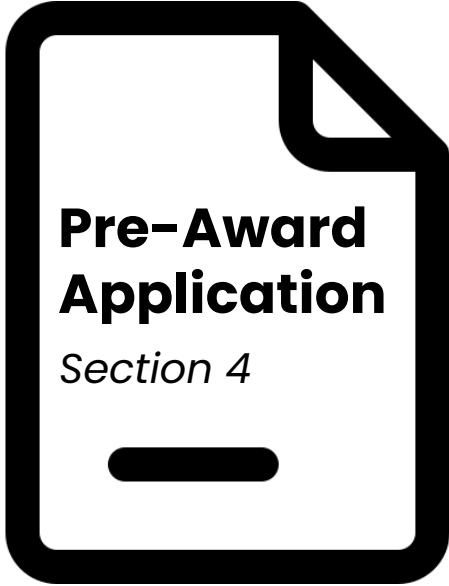
No

Yes. If yes, in a separate attachment, the Recipient must provide relevant disclosures/supporting documentation as required by the [DOE Interim Conflict of Interest Policy](#) Section V(b)(3).

- C. **Organizational Conflicts of Interest³.** The Recipient must disclose in writing any potential or actual organizational conflict of interest to DOE. See [DOE Interim Conflict of Interest Policy](#) Section VI and 2 CFR 200.318 for more information. As part of this DOE funded project, does the recipient or any subrecipients intend to engage in a procurement with a parent, affiliate, or subsidiary organization that is not a state, local government, or Indian tribe?

No

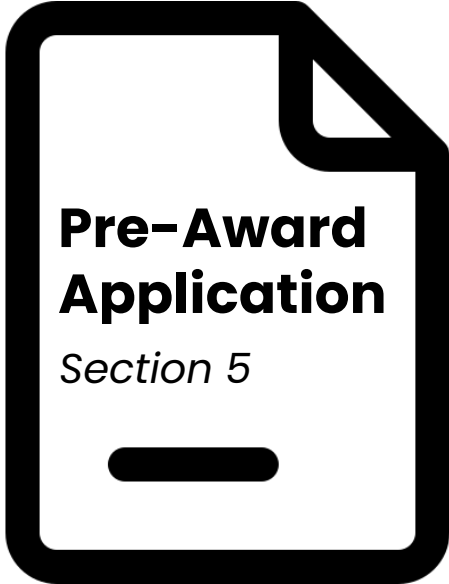
Yes. If yes, in a separate attachment, the Recipient must provide relevant disclosures/supporting documentation as required by the [DOE Interim Conflict of Interest Policy](#) Section VI.



SECTION 4: PAYMENT INFORMATION (*Grant recipients only*)

Provide (1) the awardee seven-digit ASAP (Automated Standard Application for Payment System) ID number that is under the DOE / Golden Field Office (GO) Agency Locator Code (ALC) and Region Code (#8900-0001-04) if available; (2) the name, phone number and email for the ASAP / Payments Contact Person; and (3) indicate whether the preferred payment method is by advance or reimbursement.

- 1) ASAP Number:
- 2) ASAP/Payments Contact Person:
- 3) The preferred payment method is:



SECTION 5: PERFORMANCE AND FINANCIAL INFORMATION REQUEST *(Grant recipients only)*

Before providing this information, please read the **ADDITIONAL INFORMATION** at the end of this form. Each field identified below must be completed.

1. Has the Recipient had prior Federal awards? Yes No

If Yes:

Is the Recipient up to date on all reporting requirements on all other current and prior awards, including submitting acceptable final technical reports, with other Federal or non-Federal organizations? If you check No to this question, please attach an explanation. Yes No

2a. Has the Recipient had an independent Single Audit or independent Compliance Audit per Federal regulations, or had a prior Defense Contract Audit Agency (DCAA) Audit performed? (Please see attached instructions regarding Independent Audit requirements.) Yes No

2b. Has the Recipient undergone a Financial Audit within the last 3 years? Yes No

If Yes to either 2a. or 2b.:

- a. A copy of the audit is attached to this form. Yes No
- b. An electronic copy of the audit was provided with application package. Yes No

An electronic copy of the audit can be found at

If audit was not provided, please explain why it has not been completed and/or provided:

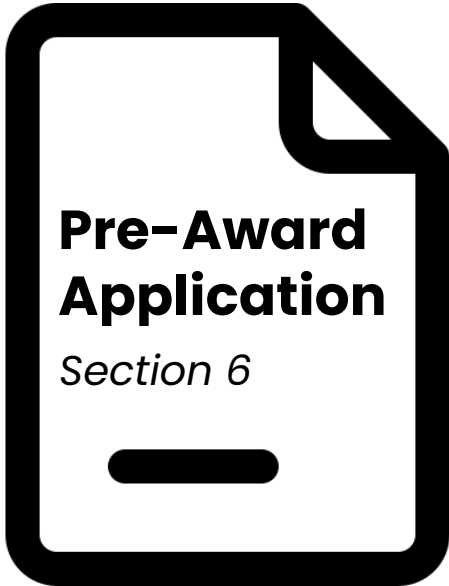
3. Recipient's fiscal year end date is

4a. Identify the Federal Agency providing the preponderance of funding from ALL Government Awards which the Recipient's organization is/was the prime recipient, including any DOE Awards. Provide Agency name, Cognizant Agency point of contact (individual in charge of negotiating billing rates), phone number, and e-mail.
(If the Recipient's organization has a DCAA contact, please provide this information in 4(c) below):

Agency:
Point of Contact:
Phone/Email:

4b. DCAA Contact Information:

DCAA Office:
Point of Contact:
Phone/Email:

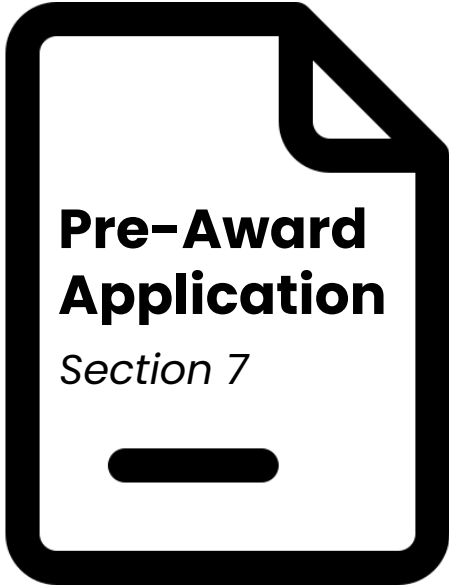


SECTION 6: FINANCIAL MANAGEMENT SYSTEM – ACCOUNTING SYSTEM SURVEY *(Grant recipients only)*

To qualify for Financial Assistance, compliance with 2 CFR 200 as amended by 2 CFR 910 is required. This includes assurance of an adequate accounting system for estimating, accounting and billing for governmental funding received. Please complete the checklist below as assurance of this requirement.

For additional information, please visit <https://www.dcaa.mil>. Please refer specifically to the “[Pre-award Accounting System Adequacy Checklist](#)” under CUSTOMERS-->Checklists and Tools.

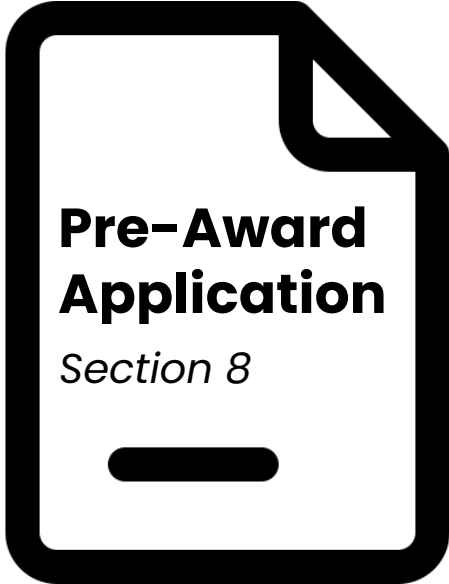
	<u>Yes</u>	<u>No</u>	<u>NA</u>
1. Is the Accounting System in accordance with Generally Accepted Accounting Principles applicable to the circumstances and associated applicable Federal regulations?	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>
2. Accounting System provides for:			
a. Segregation of direct costs from indirect costs.	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>
b. Identification and accumulation of direct costs by project.	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>
c. A logical and consistent method for the allocation of indirect costs to intermediate and final cost objectives. (Project line items are final cost objective)	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>
d. Accumulation of costs under general ledger control.	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>
e. A timekeeping system that identifies employees' labor by intermediate and final cost objective (i.e., project level, division level).	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>
f. A labor distribution system that charges direct and indirect labor to appropriate cost objectives.	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>
g. Interim (at least monthly) determination of costs charged to a project through routine posting of books of account.	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>
h. Excluding costs charged to Government projects which are not allowable in terms of FAR 31, Contract Cost Principles and Procedures, or other provisions.	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>
i. Identification of costs by project line item and by units (as if each unit or line item were a separate project) if required by the proposed award.	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>
3. Is the Accounting System designed, and are the records maintained in such a manner that adequate, reliable data are developed for use in developing cost proposals?	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>
4. Is the Accounting System currently in full operation?	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>



SECTION 7: REPRESENTATION/CERTIFICATION (*Grant recipients only*)

Certification of the information is required by the organization's authorized representative

- I certify that I have registered in the System for Award Management (SAM).
- I certify that I have registered in FedConnect.net in order to receive award documentation.
- I certify that all subrecipient cost information has been reviewed, and that all subrecipient costs are reasonable, allowable, and allocable in accordance with the applicable cost principles. All subrecipient budget documents should be available upon DOE request.
- I certify that all direct costs proposed in the application (under the personnel, travel, equipment, supplies, contractual, construction, and/or other direct costs categories) are direct to the project and are not duplicated in the proposed indirect costs.
- I certify that the processes undertaken to solicit any subrecipients, subawards, subcontracts and vendors comply with our organization's written procurement procedures as outlined in "Procurement Standards" 2 CFR 200.317 through 2 CFR 200.326 inclusive.
- I certify the Recipient:
 - (1) Has in effect an up-to-date, written, and enforced administrative process to identify and manage conflicts of interest with respect to all projects for which financial assistance funding is sought or received from DOE;
 - (2) Shall promote and enforce Investigator compliance with DOE's Interim Conflict of Interest (COI) Policy's requirements including those pertaining to disclosure of significant financial interests;
 - (3) Shall manage financial conflicts of interest and provide initial and ongoing financial conflicts of interest reports to DOE;
 - (4) Agrees to make information available, promptly upon request, to DOE relating to any Investigator disclosure of financial interests and the Recipient's review of, and response to, such disclosure, whether or not the disclosure resulted in the Recipient's determination of a financial conflict of interest; and
 - (5) Shall fully comply with the requirements of the DOE Interim COI Policy.



SECTION 8: SIGNATURES *(All recipients)*

I, the Authorization Official named below, represent by my signature that I am authorized to certify this information on behalf of the Recipient. I certify to the best of my knowledge and belief that the information contained in this Pre-Award Information Sheet is true, complete and accurate. I understand that any false, fictitious, or fraudulent information, misrepresentations, half-truths, or omissions of any material fact, may subject me to criminal, civil or administrative penalties for fraud, false statements, false claims or otherwise. (18 U.S.C. §§ 1001 and 287, and 31 U.S.C. 3729-3730 and 3801-3812). I further understand and agree that (1) the statements and representations made herein are material to DOE's funding decision, and (2) I have a responsibility to update the disclosures during the period of performance of the award should circumstances change which impact the responses provided above.

Name:

Title:

Signature of Authorized Official:

Date:

I, the Principal Investigator named below, certify to the best of my knowledge and belief that the information contained in this Pre-Award Information Sheet is true, complete and accurate. I understand that any false, fictitious, or fraudulent information, misrepresentations, half-truths, or omissions of any material fact may subject me to criminal, civil, or administrative penalties for fraud, false statements, false claims or otherwise. (18 U.S.C. §§ 1001 and 287, and 31 U.S.C. 3729-3730 and 3801-3812). I further understand and agree that (1) the statements and representations made herein are material to DOE's funding decision, and (2) I have a responsibility to update the disclosures during the period of performance of the award should circumstances change which impact the responses provided above.

Name:

Title:

Signature of Principal Investigator:

Date:

Application Materials Checklist: Grant

- ❑ **UEI number**
 - ❑ *Note: This can take three weeks to process, so it's important to get started early!*
- ❑ **Register on SAM, FedConnect, and PAGE**
- ❑ **Contact information** for Principal Investigator and Business Officer
- ❑ **Teaming partners** (if applicable)
- ❑ **Energy Efficiency and Conservation Strategy**
 - ❑ *Tip: Use the [template](#) provided by DOE*
- ❑ **Program Activity File**
- ❑ **Pre-Award Information Sheet** (submit by 4/28)
- ❑ **Standard Forms 424, 424A**
- ❑ **Budget Justification**
- ❑ **Assurance Letter** or Tribal Resolution authorizing the applying entity
- ❑ **Assurance Letter: Davis Bacon Act**
- ❑ **Link to latest single audit**
- ❑ **NEPA Statement of Work** (for expedited reviews)
- ❑ **NEPA Environmental Questionnaire** (if directed to submit)
- ❑ **Indirect Rate Agreement** or Rate Proposal (if applicable)
- ❑ **Certifications** regarding lobbying

Application Materials Checklist: Voucher

- ❑ **Contact information** for Principal Investigator and Business Officer
- ❑ **Teaming partners** (*if applicable*)
- ❑ Energy Efficiency and Conservation Strategy
 - ❑ **Tip:** Use the template provided by DOE
- ❑ **For TA voucher:** Summary description of the technical assistance request, including a proposed scope of work and budget.
- ❑ **For Rebate:** Summary description of the requested equipment, proposed location and facility type (i.e., municipal building, school, commercial or residential building, or site) and estimated cost
- ❑ **Pre-Award Information Sheet** (*voucher sections only; submit by 4/28*)
- ❑ **Voucher Application**
- ❑ **NEPA environmental questionnaire** (EQ-1), if directed to submit

Application for Voucher path...

- DOE has stated you do not need to submit an application at this time.
- Additional guidance on the voucher application process will be forthcoming from DOE.

Step 1: Complete pre-application steps

- Provide information in the [Pre-Award Information Sheet](#) and return it to eecbg@hq.doe.gov by **April 28, 2023** (voucher sections only).
- Prepare your Energy Efficiency and Conservation Strategy (EECS). We recommend using the following optional templates:
 - [EECS Template for Local Governments](#)
 - [EECS Template for States](#)
 - [EECS Template for Tribes.](#)
- Email your Energy Efficiency and Conservation Strategy (EECS) to eecbg@hq.doe.gov.

Step 2: Complete EECBG Program Voucher Application

Stay tuned! More information forthcoming!

Estimated Award Processing Timeframe

Award Type	Vouchers	Grants (following blueprints)	Grants (not following blueprints)
Typical award processing timeframe	30-60 days	Up to 60 days	Minimum of 90 days
Additional application requirements or award conditions	Comply with voucher terms and conditions	May be subject to additional review (e.g., indirect cost rates, sub-grants, accounting system and financial controls)	May be subject to additional review and award conditions (e.g., NEPA)
Application method	Submit pre-award sheet by April 28, 2023 and voucher application by January 31, 2024	Submit pre-award sheet by April 28, 2023 and submit grant application in Period 1 or 2 (select one or more blueprints)	Submit pre-award sheet by April 28, 2023 and submit grant application in Period 3 or 4.



Teaming and Partnerships

Teaming and Partnerships



- DOE is encouraging teaming and partnerships by preference in application processing and ease of funding.
- Specifically they are focused in joint application submissions.
- Teams can partner for vouchers or grants.
- How to understand who else is doing this work near you?

Application Prioritization for Formula Awards

Prioritization Ranking:

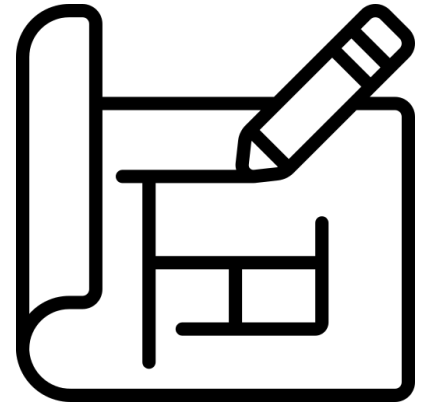
1. States; must apply in Application periods 1 and 2
2. Entities that Follow Blueprints
3. Teams
4. Entities with activities benefiting disadvantaged communities
5. Entities with limited Energy Efficiency and conservation strategy development, Technical consultant services
6. All Other



Blueprints

Blueprints

- Step by step roadmaps
- A select list of high-impact projects and programs based on proven practices
- Focusing on “Key activities” outlined in blueprints provide a streamlined approach
- Expedited Review



Goals for Blueprints

- Guide grantees toward high-impact and effective programs and projects
- Focus DOE's support
- Support grantees in leveraging other BIL and IRA investments
- Streamline that application review and approval process



Blueprint Areas:

1. Energy Planning
2. Energy Efficiency
3. Renewables
4. Transportation
5. Unlocking sustainable financing solutions for energy projects and programs
6. Workforce Development

****IMPORTANT:** Activities within NEPA determination may not require additional NEPA review for initial approval

Blueprint Topics

DOE will provide resources such as webinars, trainings, tools, and additional support on these topic areas. Choosing a blueprint topic may lead to expedited process for reviewing applications

1. Energy Planning

2. Workforce Development

3. Energy Efficiency

- A. Energy Efficiency: Building Audits and Retrofits, including grid interactivity and electrification
- B. Energy Savings Performance Contracts for Efficiency & Electrification in Municipal Buildings
- C. Building Efficiency & Electrification Campaign
- D. Building Performance Standards for Existing Buildings and Stretch Codes for New Construction

4. Renewables

- A. Solar (and battery storage) Power Purchase Agreement
- B. Community Solar
- C. Solarize Campaign
- D. Renewable Resource Planning for Communities

5. Transportation

- A. Electric Vehicles for Municipal Fleets
- B. EV Charging Infrastructure for the Community

6. Unlocking Sustainable Financing Solutions for Energy Projects and Programs



Tools and Templates



Project Tools and Templates

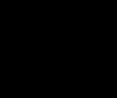
- Energy Efficiency and Conservation
<https://www.energy.gov/sites/default/files/2023-01/IIJA%2040552%20EECBG%20Program%20EECS%20Template%20for%20Local%20Governments.pdf>
- <https://www.energy.gov/diversity/energy-justice-dashboard-beta>
- <https://ejscreen.epa.gov/mapper/>
- <https://screeningtool.geoplatform.gov/en/#3/33.47/-97.5>
- <https://gem.anl.gov/>

Thank you!

For questions, please contact your navigator, the office hours and/or coaching lead, or email eecbgbootcamp@nlc.org.

For general information, please visit www.localinfrastructurehub.org





WITH SUPPORT FROM:



THE UNITED STATES
CONFERENCE OF MAYORS

