

ROBERT BENTLEY
GOVERNOR



STATE OF ALABAMA

JIM BYARD, JR.
DIRECTOR

June 1, 2011

Dear Local Government Official:

RE: Energy Efficiency and Conservation Block Grant Program
Solicitation III

The Energy Division of the Alabama Department of Economic and Community Affairs (ADECA) is soliciting applications for non-entitlement local governments for energy efficiency projects that can be implemented quickly and completed no later than July 30, 2012. All proposed projects must meet the requirements of the Energy Efficiency and Conservation Block Grant (EECBG) Program. The attached Request for Applications (RFA) outlines eligible activities and project requirements. Only local government entities not receiving direct EECBG funding from the U. S. Department of Energy are eligible for this solicitation.

Applications should be clearly marked "EECBG Solicitation III" and must be received no later than **5:00 p.m. CT, July 1, 2011** at:

By Mail
ADECA – Energy Division
P. O. Box 5690
Montgomery, AL 36103-5690

By Courier:
ADECA – Energy Division
Mailroom 404
401 Adams Avenue
Montgomery, AL 36104

Questions concerning the EECBG application may be submitted in writing through June 24, 2011 to the contacts listed on page three of the RFA.

This RFA does not indicate acceptance or approval of any proposal in response to this request. No subgrant payment can be made until a grant agreement has been fully executed. Therefore, no work shall begin on projects selected for funding until an executed grant agreement has been received. All subgrant awards are contingent upon state receipt of federal funds awarded.

Sincerely,

A handwritten signature in blue ink, appearing to read "Jim Byard, Jr.", with a long horizontal flourish extending to the right.

Jim Byard, Jr.
Director

REQUEST FOR APPLICATIONS



Alabama Department of Economic and Community Affairs

Energy Division

Energy Efficiency and Conservation Block Grant Program

American Recovery and Reinvestment Act of 2009

Solicitation III

Non-Entitlement Municipal/County Governments

Issue Date: June 1, 2011

Application Due Date: July 1, 2011

**Energy Efficiency and Conservation Block Grant Program (EECBG)
Solicitation III**

PLEASE READ THIS ENTIRE DOCUMENT CAREFULLY PRIOR TO COMPLETING FORMS AND SUBMITTING YOUR APPLICATION. INCOMPLETE APPLICATIONS WILL BE REJECTED WITHOUT REVIEW.

Eligible Applicants

Eligible applicants are incorporated units of local government (municipalities and counties) in Alabama with the exception of those receiving direct entitlements as listed below.

The following local government entities have been allocated direct EECBG funding from the U.S. Department of Energy (DOE) and are not eligible for this solicitation:

<u>Cities</u>	<u>Counties</u>
Auburn	Baldwin
Birmingham	Calhoun
Decatur	Cullman
Dothan	Jefferson
Florence	Madison
Gadsden	Marshall
Hoover	Mobile
Huntsville	Shelby
Madison	Talladega
Mobile	Tuscaloosa
Montgomery	
Tuscaloosa	

Submission Information

Each application submitted must contain one (1) original and two (2) copies.

All applications must be received no later than 5:00 p.m. CDT, **July 1, 2011**, at:

By Mail:

ADECA - Energy Division
P.O. Box 5690
Montgomery, AL 36103-5690

By Courier:

ADECA - Energy Division
Mailroom 404
401 Adams Avenue
Montgomery, AL 36104

Late Applications

Applications submitted after the due date will not be considered. The ADECA Energy Division reserves the right to reject any incomplete applications without review.

Questions

Questions pertaining to this Request for Applications (RFA) may be submitted through **June 24, 2011** by fax to the ADECA Energy Division at (334) 242-0552 or by email to either of the program managers listed below:

Elizabeth Grimes elizabeth.grimes@adeca.alabama.gov
Jennifer Young jennifer.young@adeca.alabama.gov

Please keep a complete copy of your application (including a copy of all completed and signed attachments) for your records.

This 'Request for Application' does not indicate acceptance or approval of any application in response to this request. No grant or contract payment can be made until a grant agreement has been fully executed. Therefore, no work shall begin on projects selected for funding until an executed grant agreement has been received. All grant awards are contingent upon state receipt of federal funds awarded.

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PART I – FUNDING OPPORTUNITY DESCRIPTION

A. Summary

The American Recovery and Reinvestment Act of 2009 (ARRA), Public Law 111-5 appropriated funding for the U.S. Department of Energy (DOE) to issue/award formula-based grants under the Energy Efficiency and Conservation Block Grant (EECBG) Program. DOE's authorization for this program is set forth in Title V, Subtitle E of the Energy Independence and Security Act (EISA) of 2007. The Alabama Department of Economic and Community Affairs (ADECA) Energy Division manages the EECBG Program for Alabama by authority of DOE.

Projects selected through this Request for Applications (RFA) will be funded, in whole or in part, with funds appropriated by the ARRA for the EECBG Program and administered by the ADECA Energy Division. The purposes of the ARRA are to stimulate the economy and to create and retain jobs. The ARRA gives preference to activities that can be started and completed expeditiously. Accordingly, special consideration will be given to projects that promote and enhance the objectives of the ARRA, especially job creation, preservation and economic recovery, in an expeditious manner.

B. Program Purpose

The purpose of the EECBG Program is to assist eligible entities in creating and implementing strategies to:

- Reduce fossil fuel emissions in a manner that is environmentally sustainable and, to the maximum extent practicable, maximize benefits for local and regional communities;
- Reduce the total energy use of the eligible entities; and
- Improve energy efficiency in the building sector, the transportation sector and other appropriate sectors.

C. Program Principles

DOE has developed the following core principles to guide applicants during the program and project planning process:

- Prioritize energy efficiency and conservation first as the cheapest, cleanest and fastest ways to meet energy demand.
- To maximize benefits over the longest possible terms, applicants should look for ways to link their energy efficiency efforts to long-term priorities (especially community economic development, community stabilization and poverty reduction efforts).
- Invest funds in programs and projects that create and/or retain jobs and stimulate the economy while meeting long term energy goals.
- Target programs and projects that will provide substantial, sustainable and measurable energy savings, job creation and economic stimulus effects.

- Encourage projects that leverage federal funds with other public and private resources, including coordinated efforts involving other Federal programs targeting community development funded through the Recovery Act such as the Community Development Block Grant Program, HOME Investment Partnerships Program and job training programs.
- To the extent possible, develop programs and strategies that will continue beyond the funding period.
- Ensure oversight, transparency and accountability for all program activities.
- Enact policies that transform markets, increase investments, and support program goals. Market transformation is defined as strategic interventions that cause lasting changes in the structure or function of a market or the behavior of market participants, resulting in an increase in adoption of energy efficiency and renewable energy products, services and practices.
- Develop comprehensive plans that benchmark current performance and set aggressive goals for energy efficiency and conservation.

D. Special ARRA Reporting Requirements

In addition to reporting requirements listed under Part V of this solicitation, all applications funded under this solicitation must report on the following ARRA requirements during the grant period:

- Hours worked which are paid using Recovery Act Funds
- Energy (kwh/therms/gallons/BTUs/etc.) saved
- GHG emissions reduced - carbon dioxide (CO₂) equivalents
- Energy cost savings
- Funds leveraged (funds from sources other than the EECBG grant that will be used for the project)

PART II – AWARD INFORMATION

A. Estimated Funding

Funds Available: Approximately \$1,200,000

Maximum Award per Local Government Entity: \$300,000

B. Eligible Projects

The Energy Division is accepting applications for energy efficiency projects that can be implemented quickly and completed no later than July 30, 2012. The following types of energy efficiency projects are eligible for funding through this solicitation:

- **Energy Efficiency Improvements to Local Government Buildings:** Energy efficiency retrofits for buildings (limited to lighting, insulation, occupancy sensors, programmable thermostats, cool roofs, windows and doors, or HVAC projects)
 - Other types of energy retrofit projects may be considered if it is determined the project can be completed expeditiously.
- **Advanced Lighting Retrofits:** Replacement of traffic signals, street lighting and/or sports field lighting with energy-efficient lighting technologies; including light emitting diodes (LED) and any other technology of equal or greater energy efficiency

The applicant should have an accurate estimation of retrofit costs, associated annual energy savings and simple payback period. The budget justification should include a cost breakdown by type of retrofit.

The applicant should also provide an accurate timeline for project activities including **procurement of engineering services** if needed, **project design, preparation of bid documents, issuance of requests for proposals and award of construction contracts.** All local governments are required to comply with the Alabama Competitive Bid and Public Works Laws as well as federal procurement laws pertaining to local governments.

C. Period of Performance

The ADECA Energy Division intends to issue grants as soon as possible after completion of the application review process. ALL GRANTS WILL TERMINATE NO LATER THAN JULY 30, 2012. THIS IS A FIRM ENDING DATE. NO TIME EXTENSIONS WILL BE ALLOWED; THEREFORE PROJECT PLANNING MUST BE CONCISE AND IMMEDIATE.

D. Method of Payment

In most cases, payments will be made on a cost-reimbursement basis over the course of the grant.

E. Terms and Conditions

Potential subgrantees should be aware that special terms and conditions apply to projects funded by the ARRA relating to:

- Reporting, tracking and segregation of incurred costs;
- Reporting of job hours worked;
- Publication of information on the Internet;
- Access to records by Inspectors General and the Government Accountability Office;
- Prohibition on use of funds for gambling establishments, aquariums, zoos, golf courses or swimming pools;
- Ensuring that iron, steel and manufactured goods utilized in these products are produced in the United States;
- Ensuring wage rates are comparable to those prevailing on projects of a similar character; and
- Protecting whistleblowers and requiring prompt referral of evidence of a false claim to an appropriate inspector general.

These special terms and conditions will be based on provisions included in Titles XV and XVI of the ARRA. These Special Provisions may be viewed at the following website:
http://management.energy.gov/business_doe/business_forms.htm.

Recipients of funding appropriated by the ARRA shall comply with requirements of applicable Federal, State, Tribal and local laws, regulations, DOE policy and guidance, and instructions in this RFA, unless relief has been granted by DOE.

Potential subgrantees should be aware that ARRA funds can be used in conjunction with other funding as necessary to complete projects, but tracking and reporting must be separate to meet the reporting requirements of the ARRA and related Office of Management and Budget (OMB) Guidance. Applicants for projects funded by sources other than the ARRA should plan to keep separate records for ARRA funds and to ensure those records comply with the requirements of the ARRA.

Project performance will be monitored and corrective action taken, as necessary, to ensure acceptable performance for all awards.

F. Cost Share

Matching funds are not required for grants made with ARRA funds. However, the ARRA and the ADECA Energy Division encourage proposals that achieve a high degree of leveraging, and/or projects that extend the impact of the funds.

G. Limitation on Use of Funds

Administrative costs should be necessary and reasonable and cannot exceed 10 percent of grant funds requested. Costs should be identified as administrative or professional services if combined in one subcontractor budget item.

PART III – APPLICATION CONTENTS

Each application must contain one (1) original and two (2) copies of the following documents:

A. Letter of Transmittal

The Letter of transmittal signed by the chief elected official should include the following:

1. A brief statement of the work to be performed.
2. Total cost of the project.
3. An assurance that the proposed project can be implemented quickly and completed no later than July 30, 2012.
4. A statement assuring that the person signing the letter is authorized to bind the offer presented in the letter and accompanying proposal.

B. EECBG Application Worksheet

All items must be completed and all questions answered. Incomplete applications will be rejected without review. Do not alter the application worksheet form. The form must be completed electronically in order to maintain the integrity of the data fields. Do not print and type.

1. Project Summary

The Project Summary must contain a brief description of activities the Applicant proposes to undertake with the grant funds requested. Applicant(s) should identify anticipated benefits including the anticipated annual amount of energy and cost savings, the anticipated annual reduction in emissions and anticipated funds to be leveraged. Leveraged funds are funds from sources other than the EECBG grant that will be used for the project. Applicant(s) should also identify the overall cost of the proposed project. The Project Summary should be as concise and direct as possible by addressing key issues and information. Benefits should be calculated using the *Recovery Acts Benefits Calculator*, located at <http://www1.eere.energy.gov/wip/guidance.html#recovery>.

2. Project Detail

a. Strategy

Outline specific goals and objectives of the project and provide a detailed description of each proposed energy improvement to be accomplished including cost, savings and payback. It is extremely important that projects be implemented quickly and completed within the grant performance period. Specific information on how this will be accomplished should be provided.

b. Tasks Statement / Timeline

List all major tasks and services to be provided; along with a timeline indicating the estimated implementation and completion date for each task. Provide an accurate timeline for project activities including procurement of engineering services if needed, project design, preparation of

bid documents, issuance of requests for proposals and award of construction contracts. All local governments are required to comply with the Alabama Competitive Bid and Public Works Laws as well as federal procurement laws pertaining to local governments.

Important Reminder: All tasks must be completed no later than July 30, 2012. No time extensions will be allowed.

3. Background and Experience

Give a brief description of the qualifications and experience of key personnel assigned to this project and briefly describe similar projects which your organization has developed and implemented. If consultants will assist the applicant in developing and/or implementing the proposed project, give a brief description of the qualifications and experience of each consultant and briefly describe similar projects which the consultant's organization has developed and implemented.

C. Attachments

Attachment A - Project Budget

The Project Budget should outline the expenditures for the project. Please reference Attachment "B" for a description of budget categories. Costs incurred prior to the grant performance period, including application preparation costs, are not reimbursable. *Please note that for budget purposes "equipment" is defined as tangible, non-expendable property having a useful life of more than one year and an acquisition cost of five thousand dollars (\$5,000) or more per unit.*

Attachment B - Budget Narrative

The Budget Narrative is a detailed explanation of the cost estimations outlined in the Project Budget. **If subcontractors will perform a dual function such as administration of the project as well as engineering or construction, a breakdown of each cost should be provided on this form.**

Attachment C - State of Alabama – Disclosure Statement

Alabama Act 2001-955 requires the Vendor Disclosure Statement to be completed and filed with all proposals, bids, contracts and grant proposals to the State of Alabama in excess of \$5,000. Complete all lines as indicated. If an item does not apply, denote 'N/A' (not applicable). If you cannot include required information in the space provided, attach additional sheets as necessary. **The form must be signed, dated and notarized.**

Attachment D - Offeror/Proposer Information

The Offeror must submit an Offeror/Proposer Information Form to properly indicate organization and contact information of the individuals involved in the project.

Attachment E - W-9 Request for Taxpayer Identification Number and Certification

A completed and signed W-9 Request for Taxpayer Identification Number and Certification form must accompany the proposal.

Attachment F - Immigration Status

A declaration that all workers on this project are either citizens of the United States or are in a proper and legal immigration status that authorizes them to be employed for pay within the United States.

Attachment G - Assurance of Compliance – Nondiscrimination in Federally Assisted Programs

A declaration that the applicant agrees to assure that no person in the United States shall, on the ground of race, color, national origin, sex, age or disability, be excluded from participation in, be denied the benefits of, or be otherwise subjected to discrimination under any program or activity in which the Applicant receives Federal assistance from the U. S. Department of Energy.

Attachment H - Certifications

This form certifies matters regarding lobbying, debarment, suspension and other responsibility matters including a drug-free workplace.

Attachment I - Assurance of Compliance – Davis-Bacon Act

A declaration that the applicant agrees to assure that all laborers and mechanics on projects funded directly by or assisted in whole or in part by and through funding appropriated by the ARRA are paid wages at rates not less than those prevailing on projects of a character similar in the locality as determined by Subchapter IV of Chapter 31 of Title 40, United States Code (Davis-Bacon Act). Additional information regarding Davis-Bacon is available at <http://www.dol.gov/esa/whd/programs/dbra/whatdbra.htm>.

Attachment J - SF-LLL Disclosure of Lobbying Activities

If applicable, complete SF-LLL. Applicability: If any funds other than Federal appropriated funds have been paid or will be paid to any person for influencing or attempting to influence an officer or employee of any agency, a Member of Congress, an officer or employee of Congress, or an employee of a Member of Congress in connection with the grant/cooperative agreement, you must complete and submit Standard Form – LLL, "Disclosure Form to Report Lobbying."

D. Additional Requirements

Addendum A (For Building Retrofit Projects Only)

Addendum A must be completed for all building retrofit projects: Lighting, insulation, occupancy sensors, programmable thermostats, roofs, windows and doors, and HVAC. Provide information about the existing building and fixtures to be replaced as well as the proposed energy efficiency measures to be installed.

DUNS Number

All applicants are now required to have a Dun and Bradstreet (DUNS) number to apply for a grant or cooperative agreement from the Federal Government. The DUNS number is a nine-digit identification number which uniquely identifies business entities. If your organization does not have a DUNS number, go to the Dun & Bradstreet (D&B) online registration located at <http://fedgov.dnb.com/webform/displayHomePage.do> to obtain a number free of charge or call 1-866-705-5711.

Central Contractor Registration (CCR) Registration

The Central Contractor Registration (CCR) collects, validates, stores and disseminates business information about the Federal Government's trading partners in support of the contract award, grants and the electronic payment processes. To see if your organization is already registered with CCR, check the CCR website located at <http://www.bpn.gov/ccring/scripts/search.asp>. You will be able to search CCR by using either your organization's DUNS Number or legal business name.

If your organization is not registered in CCR, go to the CCR Website at www.ccr.gov and select the "Start New Registration" option to begin the registration process. Please allow up to seven days for processing your registration which includes the IRS validating your Employer Identification Number (Taxpayer Identification Number or Social Security Number).

NEPA – NETL F 451.1-EECBG (3/2009)

All Projects receiving financial assistance from DOE must be reviewed under the National Environmental Policy Act (NEPA) of 1969 – 42 U.S.C. Section 4321 et seq.

Based on DOE's review of the list of activities that funds can be utilized for under the EECBG Program, DOE has determined that projects in support of certain activities may be classified as categorical exclusions. Therefore, applicants proposing projects under this solicitation are not required to submit any NEPA documentation at this time. However, DOE and the ADECA Energy Division reserve the right to request NEPA documentation if during the review process it is determined to be necessary.

National Historic Preservation Act

Projects undertaken on buildings 50 years or older, or otherwise listed in or eligible for listing in the National Register of Historic Places, must comply with the National Historic Preservation Act (NHPA) and be considered exempt for Section 106 review under Appendix B of Alabama's Programmatic Agreement dated March 29, 2010. The fully executed Programmatic Agreement can be viewed at www.adeca.alabama.gov/C5/EECBG. **No projects requiring a Section 106 review will be considered under this RFA.**

PART IV – APPLICATION EVALUATION

Applications will be evaluated on the following criteria:

Strategy 40 Points

- Anticipated benefits in terms of:
 - energy (kwh/therms/gallons/BTUs/etc.) saved
 - reduction of greenhouse gas emissions
 - energy cost savings
 - increased energy efficiency
- Applicant's commitment to complete the project in a timely manner.
SPECIAL NOTE: ONLY PROJECTS THAT CAN BE IMPLEMENTED QUICKLY AND COMPLETED BY JULY 30, 2012 WILL BE CONSIDERED FOR FUNDING.
- How well the proposal combines the goals and objectives of both the EECBG Program and the ARRA, and proposes the realistic accomplishment of key components of both
- Suitability of proposed energy improvements and/or project plan
- Realistic descriptions of each energy improvement to be accomplished including cost, savings, and payback

Budget 30 Points

- Budget for proposed project is appropriate and reasonable
- Administrative costs cannot exceed 10% of funds requested
- Cost breakdown for each proposed task
- Reasonable basis for cost estimations
- Degree of leveraging if applicable

Tasks Statement / Timeline 20 Points

- Clearly defined, quantifiable and measurable task elements
- Proposed plan to complete the project in an expeditious manner with a detailed description of deliverables and timelines for task completion
- Realistic time estimates for each work task proposed
- Evidence that project planning can be accomplished within an expedited timeframe

Applicant's /Consultant's Training and Experience 10 Points

- Qualifications, training and experience of proposed project staff, if applicable.
See NOTE below.

NOTE: Poor performance implementing prior Energy Division grants may affect the scores of or disqualify potential applicants from this solicitation.

PART V – REPORTING REQUIREMENTS

Reporting requirements under the EECBG program consist of the following types of reports. *Failure to comply with these reporting requirements may result in termination of funding.*

A. Special Status Reports

The recipient must report the following events by e-mail as soon as possible after they occur:

1. Developments that have a significant favorable impact on the project.
2. Problems, delays or adverse conditions which materially impair the recipient's ability to meet the objectives of the award or which may require DOE to respond to questions relating to such events from the public. For example, the recipient must report any of the following incidents and include the anticipated impact and remedial action to be taken to correct or resolve the problem/condition:
 - a. Any single fatality or injuries requiring hospitalization of five or more individuals.
 - b. Any significant environmental permit violation.
 - c. Any verbal or written Notice of Violation of any Environmental, Safety and Health statutes or regulations.
 - d. Any incident which causes a significant process or hazard control system failure.
 - e. Any event which is anticipated to cause a significant schedule slippage or cost increase.
 - f. Any damage to Government-owned equipment in excess of \$50,000.
3. Any other incident that has the potential for high visibility in the media.

B. Monthly Performance Progress Reports

The key activities and achievements to be reported by subgrantees will vary by program type. Grant recipients will be presented with reporting requirements at the time they receive funding and will be expected to report their achievements in terms of the specified metrics presented below. In addition to standard management and financial reporting requirements, the following information will be required in monthly program status reports:

Expenditures: Accurate records should be kept on project expenditures for all EECBG ARRA funded efforts. Tracking and reporting must be separate to meet the reporting requirements of the Recovery Act and related OMB Guidance. The specific information to be gathered and tracked is described in Attachment B - Budget Narrative. The following information will be required on monthly performance reports. It will be the same for all project types:

- Expenditures for project activities
- Leveraged funds if applicable

Job Hours Worked: The number of hours worked which are paid through ARRA funds and those which are paid through leveraged funds if applicable will be reported.

Metrics Activity: The key metrics to be reported will vary by project type. The minimum information to be reported, by project activity type, is listed below:

Building Retrofits

- Number of buildings retrofitted, by sector
- Square footage of buildings retrofitted, by sector

Lighting

- Number of energy-efficient traffic signals installed
- Numbers of street or sports field lights installed

Other Activities Not Previously Defined

- Pertinent metric information for any activity not defined above should be captured and included as needed

Impact Metrics: The following metrics, as applicable, will be reported for all activities utilizing the ARRA Benefits Reporting Calculator.

Energy Savings (kwh equivalents)

- Annual reduction in natural gas consumption (mmcf) by sector and end-use category
- Annual reduction in electricity consumption (MWh) by sector and end-use category
- Annual reduction in electricity demand (MW) by sector and end-use category
- Annual reduction in fuel oil consumption (gallons) by sector and end-use category
- Annual reduction in propane consumption (gallons) by sector and end-use category
- Annual reduction in gasoline and diesel fuel consumption (gallons) by sector and end-use category

Emissions Reductions (tons) (CO2 equivalents)

Protected Personally Identifiable Information (PII)

Reports must not contain any *Protected* PII. PII is any information about an individual which can be used to distinguish or trace an individual's identity. Some information that is considered to be PII is available in public sources such as telephone books, public websites, university listings, etc. This type of information is considered to be Public PII and includes, for example, first and last name, address, work telephone number, e-mail address, home telephone number and general educational credentials. In contrast, *Protected* PII is defined as an individual's first name or first initial and last name in combination with any one or more of types of information, including, but not limited to, social security number, passport number, credit card numbers, clearances, bank numbers, biometrics, date and place of birth, mother's maiden name, criminal, medical and financial records, educational transcripts, etc.

PART VI – OTHER INFORMATION

A. Right to Reject

The ADECA Energy Division reserves the right to reject any and all applications submitted and to request additional information from all Applicants. The ADECA Energy Division reserves the right to award a grant on an "all or none" basis or to award a separate grant or no grant for each work element. Any grant award will be made to the organization which, in the opinion of the ADECA Energy Division, is determined to be the best qualified and whose proposal best meets the needs of the ADECA Energy Division. The ADECA Energy Division reserves the right to negotiate with any Applicant(s). The ADECA Energy Division reserves the right to reallocate funding for subject areas as deemed necessary. All grant awards are subject to state receipt of federal funds awarded.

B. Proprietary Information

The information contained in the EECBG applications will be public information unless specific requests are made to keep specific information confidential. If a proposal contains any information that the Applicant does not wish to have disclosed to the public or used by the ADECA Energy Division for any purpose other than evaluation of the application, each sheet of such information must be clearly marked "Proprietary." This information will be kept confidential, subject to state and federal laws. Applications and supporting materials submitted shall become the property of the ADECA Energy Division.