

# REQUEST FOR APPLICATIONS (RFA)



## **Energy-Efficient Retrofits of Local Governments, K-12 Schools, and Non-Profit Organizations**

**Alabama Department of Economic and Community Affairs  
(ADECA) Energy Division**

### **State Energy Program**

Issue Date: June 18, 2019

Application Due Date: August 16, 2019

**ENERGY-EFFICIENT RETROFITS OF LOCAL GOVERNMENTS,  
K-12 SCHOOLS, AND NON-PROFIT ORGANIZATIONS  
STATE ENERGY PROGRAM**

**Eligible Applicants**

Eligible applicants include incorporated units of local government (municipalities and counties), K-12 public school systems, and non-profit organizations in Alabama. Below is a definition of a non-profit organization for the purposes of this RFA.

A **non-profit organization** is an organization that uses its surplus revenues to further achieve its purpose or mission, rather than distributing its surplus income to the organization's directors (or equivalents) as profit or dividends. Applicants must have the status of a **501(c) organization** and be tax-exempt in order to apply.

**Submission Information**

All applications must be received no later than **12:00 p.m., August 16, 2019** via email at the following address:

[sep@adeca.alabama.gov](mailto:sep@adeca.alabama.gov)

A confirmation of receipt will be emailed after submittal. Applicants are strongly encouraged to submit electronic applications in advance of the deadline. Grant Applications submitted after the deadline due to technical difficulties will not be considered.

**Late and Incomplete Applications**

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

**Questions**

Questions pertaining to this RFA may be submitted in writing by email to [sep@adeca.alabama.gov](mailto:sep@adeca.alabama.gov).

**Please keep a complete copy of your Grant Application and any attachments for your record.**

This RFA 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 Alabama Department of Economic and Community Affairs (ADECA) - Energy Division manages the State Energy Program (SEP) for Alabama by the authority of the U.S. Department of Energy (DOE). Each year the Energy Division develops and implements an energy efficiency plan that will reduce projected energy consumption in Alabama.

Projects under this RFA will be funded, in whole or in part, with funds appropriated by the SEP. The SEP is a formula grant used to promote the conservation of energy, to reduce the rate of growth of energy demand, and to reduce dependence on imported oil through the development and implementation of a comprehensive State Energy Program and the provision of federal financial and technical assistance to states in support of such program. Accordingly, special consideration will be given to projects that promote and enhance the objectives of the SEP.

**The Energy Division is soliciting applications from local governments, K-12 schools, and non-profit organizations in Alabama for the purchase and installation of energy-efficient improvements. Energy efficiency improvements eligible for funding are listed in the Grant Application Form under Section D: Project Detail and Energy Savings Information.**

**NOTE: Applicants may submit applications under both this funding announcement and the Energy-Efficient Retrofits of Wastewater Treatment Facilities. However, measures directly related to wastewater operations may not be submitted under this funding opportunity. Only general building efficiency measures, such as LED lighting at wastewater facilities, may be submitted under this funding announcement.**

**Please contact the Energy Division with questions regarding eligibility of any measures not specifically listed in Section D of the Grant Application Form. Energy-efficient windows and doors are not eligible. The payback period for each retrofit should be 10 years or less with the exception of photovoltaic projects.**

### **B. State Energy Program Project Goals**

The mission of the State Energy Program is to provide leadership to maximize the benefits of energy efficiency and renewable energy through communications and outreach activities, technology deployment, and accessing new partnerships and resources.

The goals established for the SEP are:

1. Increase energy efficiency to reduce energy costs and consumption for consumers, businesses, and government.
2. Reduce reliance on imported energy.
3. Improve the reliability of electricity and fuel supply and the delivery of energy services.
4. Reduce the impacts of energy production and use on the environment.

Applications submitted in response to this solicitation should, to the maximum extent feasible, incorporate the goals of the SEP. At least one of the above goals should be addressed and briefly discussed as it relates to proposed activities. Applications should be developed with thoughtful consideration being given to the applicable quarterly and annual reporting requirements contained in Part V.

## **PART II – AWARD INFORMATION**

### **A. Estimated Funding**

Approximately \$260,000 is available for the Energy-Efficient Retrofits of Local Governments, K-12 Schools and Non-Profit Organizations Program. The minimum award amount is **\$10,000 per applicant**, and the maximum award amount is **\$25,000 per applicant**.

### **B. Period of Performance**

The Energy Division anticipates awarding grants to begin October 1, 2019 and to terminate no later than September 30, 2020, for an amount not to exceed the amount requested by the Applicant or that which is negotiated between the selected Applicant and the Energy Division.

### **C. Method of Payment**

Subrecipients will be paid on an advance payment basis provided that they maintain a cash management plan, demonstrate the willingness and ability to maintain both written procedures to minimize the transfer of funds and their disbursement, and financial management systems that meet the standards for fund control and accountability in accordance with 2 CFR Part 200.302 and 2 CFR Part 200.305. Subrecipients may also elect to be paid through reimbursement. Based on a risk assessment conducted by ADECA, all subrecipients will be assigned a risk score. Those subrecipients with higher scores may be required to follow different payment procedures. Those Subrecipients considered high risk may be placed on reimbursement only status.

All Subrecipients must register in the State of Alabama Accounting and Resource System (STAARS) Vendor Self Service (VSS) portal in order to receive payment. Subrecipients can elect to be paid via Electronic Funds Transfer (EFT) or paper check when registering.

### **D. Prohibited Expenditures**

State Energy Program Regulation 10 CFR Part 420 does not allow expenditures or matching funds for the following:

- For construction, such as construction of mass transit systems and exclusive bus lanes, or for construction or repair of buildings or structures;
- To purchase land, a building or structure or any interest therein;
- To subsidize fares for public transportation;
- To subsidize utility rate demonstrations or state tax credits for energy conservation or renewable energy measures; or
- To conduct or purchase equipment to conduct research, development, or demonstration of energy efficiency or renewable energy techniques and technologies not commercially available.

### **E. Matching Funds**

A 20% match is required for grants made with SEP funds and may be provided through cash and/or in-kind services. For example, if the maximum award amount of \$25,000 is requested, a minimum match amount of \$5,000 (20% of \$25,000) is required.

## PART III – APPLICATION CONTENTS

**Each application submitted must contain an electronic copy of the following documents:**

### A. Letter of Transmittal

The letter of transmittal must include the following:

1. A brief statement of the work to be performed
2. A statement assuring that the person signing the letter is authorized to bind the offer presented in the letter and accompanying application
3. A statement committing the applicant to provide at least a 20% match
4. The requested SEP award amount
5. The proposed dollar amount to be provided as match
6. The total cost of the project (award amount + match amount)
7. The proposed match type (cash or services)

### B. Grant Application Form

One Grant Application Form should be submitted per applicant. A separate Section D: Project Detail and Energy Savings Information should be completed by the applicant for each of the facilities to receive retrofits.

The Grant Application Form includes the following sections and must be completed in full:

Section A: Grant Applicant Information

Section B: Project Budget

Section C: Risk Assessment

Section D: Project Detail and Energy Savings Information

#### **Notes:**

- All fields on each line item **must be completed** to be considered.
- The payback period for each retrofit should be 10 years or less with the exception of photovoltaic projects.

This RFA, the SEP Grant Application Form, and the SEP Grant Applications Frequently Asked Questions can be found on ADECA's website at <http://adeca.alabama.gov/Divisions/energy/Pages/StateEnergyProgram.aspx>.

**PART IV – APPLICATION EVALUATION**  
Applications shall be evaluated on the following criteria

**SEP Grant Application Review Sheet**

Category: **Energy-Efficient Retrofits of Local Governments, K-12 Schools, and Non-Profit Organizations** Reviewer: \_\_\_\_\_

Applicant: \_\_\_\_\_ Date: \_\_\_\_\_

Requested Award Amount: \$ \_\_\_\_\_ Proposed Match Amount: \$ \_\_\_\_\_

Requirements		Notes
Transmittal Letter is provided and signed by an authorized official	Y <input type="checkbox"/> N <input type="checkbox"/>	
Grant Application Form Sections A through D are submitted	Y <input type="checkbox"/> N <input type="checkbox"/>	
Award amount requested is between \$10,000 and \$25,000	Y <input type="checkbox"/> N <input type="checkbox"/>	
Proposed match meets or exceeds the 20% required	Y <input type="checkbox"/> N <input type="checkbox"/>	
All measures in proposed project are eligible	Y <input type="checkbox"/> N <input type="checkbox"/>	
Payback period for measures is 10 years or less (with the exception of photovoltaic)	Y <input type="checkbox"/> N <input type="checkbox"/>	

Section B: Project Budget (25 possible points)		Points	Score
Expenses are included in the appropriate budget categories and are reasonable	Y <input type="checkbox"/> N <input type="checkbox"/>	<b>20</b>	
Leveraging above the 20% match requirement ( <i>round to the nearest whole number</i> )	1% = 1 pt.	<b>5</b>	

Section C: Risk Assessment (15 possible points)		Points	Score																
<table border="1"> <thead> <tr> <th><i>Risk Assessment Score</i></th> <th><i>Score</i></th> <th><i>Risk Assessment Score</i></th> <th><i>Score</i></th> </tr> </thead> <tbody> <tr> <td>Excellent 0 – 5 points</td> <td>15</td> <td>Moderate Risk 16 - 20 points</td> <td>6</td> </tr> <tr> <td>Good Standing 6 - 10 points</td> <td>12</td> <td>High Risk ≥ 21 points</td> <td>3</td> </tr> <tr> <td>Average Risk 11 - 15 points</td> <td>9</td> <td>Not submitted</td> <td>0</td> </tr> </tbody> </table>	<i>Risk Assessment Score</i>	<i>Score</i>	<i>Risk Assessment Score</i>	<i>Score</i>	Excellent 0 – 5 points	15	Moderate Risk 16 - 20 points	6	Good Standing 6 - 10 points	12	High Risk ≥ 21 points	3	Average Risk 11 - 15 points	9	Not submitted	0		<b>15</b>	
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Section D: Project Detail and Energy Savings (60 possible points)		Points	Score
Does the project incorporate at least one of the SEP goals listed in Part I: Section B of the RFA?	Y <input type="checkbox"/> N <input type="checkbox"/>	<b>15</b>	
Is a description of the qualifications and experience of the applicant pertaining to the administration of grant awards and/or energy efficiency projects provided?	Y <input type="checkbox"/> N <input type="checkbox"/>	<b>5</b>	
Is the Applicant committed to energy-related activity outside of proposed project?	Y <input type="checkbox"/> N <input type="checkbox"/>	<b>5</b>	
Does the Project Plan provide deliverables for completion during the grant period? ( <i>October 1, 2019 – September 30, 2020</i> )	Y <input type="checkbox"/> N <input type="checkbox"/>	<b>10</b>	
Are details of each eligible retrofit provided? ( <i>Details include location, quantity, and type of current and proposed equipment</i> )	Y <input type="checkbox"/> N <input type="checkbox"/>	<b>10</b>	
Do the Energy Savings Calculations verify the savings and payback calculations for each retrofit? ( <i>Calculations should include previous consumption, energy rates, etc.</i> )	Y <input type="checkbox"/> N <input type="checkbox"/>	<b>15</b>	

**Total Points: 100**

NOTES:

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\*The Energy Division has the right to reject incomplete applications without review\*  
\*Criteria evaluated with a "Y" will be allotted a score ranging from 1 to the maximum points indicated\*

## **PART V – AWARD ADMINISTRATION INFORMATION FOR SELECTED APPLICANTS**

### **A. Invoices**

In addition to standard management and financial reporting requirements, grant recipients will be required to submit applicable supporting documentation including but not limited to contractor invoices and proof of payment. The Energy Division will provide additional information on invoice requirements for applicants selected for funding.

### **B. Quarterly Progress Reports**

The Energy Division will provide additional information on reporting requirements once grant awards are made. In addition to standard management and financial reporting requirements, grant recipients will be required to submit data collected on the proposed project in quarterly program status reports including but not limited to the following information:

#### Building Retrofits

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

#### Government, School, Institutional Procurement

- Number of units purchased, by type (e.g. vehicles, office equipment, HVAC equipment, streetlights, outdoor lighting, exit signs)

#### Jobs

- Hours worked through SEP Funds

### **C. Final Report**

The following information will be required in a final report as appropriate and applicable to the proposed project:

#### Energy Cost Savings

- Dollars Saved

#### Energy Savings

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

#### Emissions Reductions

- Amount of green house gases reduced (CO2 equivalents)
- Amount of criteria air pollutants reduced (tons)



## D. Other Requirements

Applicants chosen for award under this solicitation will be required to submit the following upon notification of selection:

***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.

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

***Standard Form - LLL Disclosure of Lobbying Activities*** If applicable, complete Standard Form – LLL (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 SF–LLL “Disclosure Form to Report Lobbying.”

***State of Alabama – Disclosure Statement*** Alabama Act 2001-955 requires the Vendor Disclosure Statement be completed and filed with all proposals, bids, contracts, and grant proposals to the State of Alabama in excess of \$5,000. This form is not applicable to public K-12 school systems and local governments.

***Certificate of Compliance with the Beason-Hammon Alabama Taxpayer and Citizen Protection Act and E-Verify MOU*** The Beason-Hammon Alabama Taxpayer and Citizen Protection Act; Code of Alabama, Section 31-13, imposes conditions that apply to contracts, grants, or incentives by the state, any political subdivision of the state or any state-funded entity where the co-party is a “business entity or employer.” This act will require selected applicants to submit a completed copy of the E-Verify Memorandum of Understanding (MOU) which is generated when the business entity or employer enrolls in that program bearing the number assigned to that MOU by Homeland Security at <https://verify.alabama.gov>.

The following clause will be included in the agreement with the selected applicants: “By signing this contract, grant, or other agreement, the parties affirm for the duration of the agreement, that they will not violate federal immigration law or knowingly employ, hire for employment, or continue to employ an unauthorized alien within the State of Alabama. Furthermore, a contracting party found to be in violation of this provision shall be deemed in breach of the agreement and shall be responsible for all damages resulting therefrom.”

Local governments, state agencies, state universities, two-year colleges, or instrumentalities of the State are not required to submit an Immigration Compliance form or E-Verify MOU.

Selected applications must submit all documentation required by the following to the Energy Division **prior to installation.**

## **NATIONAL ENVIRONMENTAL POLICY ACT (NEPA)**

All projects receiving financial assistance from DOE will be reviewed under the National Environmental Policy Act (NEPA) of 1969 – 42 U.S.C. Section 4321 et seq. Most projects under this solicitation will be categorically excluded from environmental assessment. The Energy Division will notify you in the event your project will require a full environmental assessment. Applications should include a discussion of anticipated environmental impacts as described online at [https://www.eere-pmc.energy.gov/NEPA\\_Act.aspx](https://www.eere-pmc.energy.gov/NEPA_Act.aspx).

## **NATIONAL HISTORIC PRESERVATION ACT (NHPA)**

All projects receiving financial assistance under this solicitation must obtain written approval from the Alabama Historical Commission (AHC). Please visit the Alabama Historical Commission website at the following link: <http://preserveala.org/106program.aspx> for more information on NHPA Section 106 requirements. If a facility is over 50 years of age and you have any questions regarding the possible exemption of planned retrofits, please contact the ADECA Energy Division.

## **DEPARTMENT OF FINANCE, DIVISION OF CONSTRUCTION MANAGEMENT**

The Department of Finance, Division of Construction Management (formerly the Alabama Building Commission) promulgates and enforces a code of minimum building standards for state building and construction, school houses, hotels, and motion picture theaters. Projects receiving financial assistance under this solicitation are responsible for obtaining all necessary approvals required. Applicants should consider any additional costs associated with these approvals when submitting their application.

## **ALABAMA COMMERCIAL ENERGY CODE**

The Alabama Commercial Energy Code governs all commercial buildings with the exception of state buildings, schools, hotels, and theaters. As of January 1, 2016, the Alabama Commercial Energy Code is either the 2015 International Energy Conservation Code or ASHRAE 90.1-2013. Applicants should consider any additional costs associated with these approvals when submitting their application.

## **ENERGY STAR PORTFOLIO MANAGER**

Implement the agency-wide use of ENERGY STAR Portfolio Manager. Portfolio Manager is an interactive energy management tool that allows you to track and assess energy and water consumption across your entire portfolio of buildings in a secure online environment. Additional information regarding ENERGY STAR Portfolio Manager is available at <http://www.energystar.gov/buildings/facility-owners-and-managers/existing-buildings/use-portfolio-manager>.

## **SAM.GOV REGISTRATION**

All grant award recipients are required to maintain an active registration in the System for Award Management (SAM) at <https://www.sam.gov> for the duration of the award. Please note that SAM.gov now requires the submission of a notarized letter appointing the authorized Entity Administrator for both new and existing entities.

## **OTHER APPLICABLE PROGRAM REGULATIONS**

All awarded grants are subject to the applicable program regulations, including 10 CFR Part 420 – State Energy Program and the Financial Assistance Regulations, 2 CFR part 200 as amended by 2 CFR part 910.

## **E. Procurement**

All projects receiving financial assistance must follow proper procedures as stated in 2 CFR Parts 200 and 910, applicable subparts or appendices, and the Alabama Competitive Bid and Public Works Laws. In addition, all contractors must utilize best commercial practices in obtaining subcontractors.

## **F. Right to Reject**

The Energy Division reserves the right to reject any and all applications submitted and to request additional information from all applicants. The 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 Energy Division, is determined to be the best qualified and whose application best meets the objectives of the Energy Division. The Energy Division reserves the right to negotiate with any applicant(s). The 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.

## PART VI – CHECKLIST & FINAL NOTES

### CHECKLIST:

- Letter of Transmittal
  - Brief statement of the work to be performed
  - Authorization statement
  - 20 percent match commitment statement
  - The requested award amount
  - Proposed dollar amount to be provided as match
  - The total cost of the project (award amount + match amount)
  - Proposed match type (cash or services)
  
- Grant Application Form
  - Section A: Grant Applicant Information
  - Section B: Project Budget
  - Section C: Risk Assessment
  - Section D: Project Detail and Energy Savings Information

### FINAL NOTES:

- ✓ Your submitted application must consist of an electronic copy of all required documents.
- ✓ All applications must be received no later than **12:00 p.m., August 16, 2019.**
- ✓ All information should be for the eligible party requesting to receive the award, not for a third party assisting with the application process.