

Pinal County and City of Casa Grande, Arizona Joint Partner Application

The EECEBG Program Formula Application (for grant awards only) consists of:

- Standard Form 424 (Application form)
- Standard Form 424A (Budget summary)
- Budget Justification
- Required certifications
- Energy Efficiency and Conservation Strategy – to be completed within one year of agreement.
- EECEBG Program Activity File
- Web link to the latest single or program-specific audit as required by 2 CFR 200 Subpart F41 - <https://www.pinal.gov/162/Finance>
- An environmental questionnaire – Not applicable
- Pre-Award Information Sheet
 - Pinal County submitted March 6, 2023
 - Casa Grande
- Pinal County and Casa Grande IGA

Application for Federal Assistance SF-424

* 1. Type of Submission:

- Preapplication
- Application
- Changed/Corrected Application

* 2. Type of Application:

- New
- Continuation
- Revision

* If Revision, select appropriate letter(s):

* Other (Specify):

* 3. Date Received:

4. Applicant Identifier:

5a. Federal Entity Identifier:

5b. Federal Award Identifier:

State Use Only:

6. Date Received by State:

7. State Application Identifier:

8. APPLICANT INFORMATION:

* a. Legal Name:

* b. Employer/Taxpayer Identification Number (EIN/TIN):

* c. UEI:

d. Address:

* Street1:

Street2:

* City:

County/Parish:

* State:

Province:

* Country:

* Zip / Postal Code:

e. Organizational Unit:

Department Name:

Division Name:

f. Name and contact information of person to be contacted on matters involving this application:

Prefix:

* First Name:

Middle Name:

* Last Name:

Suffix:

Title:

Organizational Affiliation:

* Telephone Number:

Fax Number:

* Email:

Application for Federal Assistance SF-424

*** 9. Type of Applicant 1: Select Applicant Type:**

B: County Government

Type of Applicant 2: Select Applicant Type:

Type of Applicant 3: Select Applicant Type:

* Other (specify):

*** 10. Name of Federal Agency:**

U.S. Department of Energy

11. Catalog of Federal Domestic Assistance Number:

81.128

CFDA Title:

Energy Efficiency and Conservation Block Grant Program

*** 12. Funding Opportunity Number:**

* Title:

Energy Efficiency and Conservation Block Grant (EECBG) Program Formula Awards
(EECBG Program Formula) - IIJA ALRD

13. Competition Identification Number:

Title:

14. Areas Affected by Project (Cities, Counties, States, etc.):

Add Attachment

Delete Attachment

View Attachment

*** 15. Descriptive Title of Applicant's Project:**

Pinal County Electric Vehicle Charging Stations

Attach supporting documents as specified in agency instructions.

Add Attachments

Delete Attachments

View Attachments

Application for Federal Assistance SF-424

16. Congressional Districts Of:

* a. Applicant

* b. Program/Project

Attach an additional list of Program/Project Congressional Districts if needed.

Add Attachment

Delete Attachment

View Attachment

17. Proposed Project:

* a. Start Date:

* b. End Date:

18. Estimated Funding (\$):

* a. Federal	<input type="text" value="391,250.00"/>
* b. Applicant	<input type="text"/>
* c. State	<input type="text"/>
* d. Local	<input type="text"/>
* e. Other	<input type="text"/>
* f. Program Income	<input type="text"/>
* g. TOTAL	<input type="text" value="391,250.00"/>

*** 19. Is Application Subject to Review By State Under Executive Order 12372 Process?**

- a. This application was made available to the State under the Executive Order 12372 Process for review on .
- b. Program is subject to E.O. 12372 but has not been selected by the State for review.
- c. Program is not covered by E.O. 12372.

*** 20. Is the Applicant Delinquent On Any Federal Debt? (If "Yes," provide explanation in attachment.)**

Yes No

If "Yes", provide explanation and attach

Add Attachment

Delete Attachment

View Attachment

21. *By signing this application, I certify (1) to the statements contained in the list of certifications and (2) that the statements herein are true, complete and accurate to the best of my knowledge. I also provide the required assurances** and agree to comply with any resulting terms if I accept an award. I am aware that any false, fictitious, or fraudulent statements or claims may subject me to criminal, civil, or administrative penalties. (U.S. Code, Title 18, Section 1001)**

** I AGREE

** The list of certifications and assurances, or an internet site where you may obtain this list, is contained in the announcement or agency specific instructions.

Authorized Representative:

Prefix: * First Name:
Middle Name:
* Last Name:
Suffix:

* Title:

* Telephone Number: Fax Number:

* Email:

* Signature of Authorized Representative:

* Date Signed:

SF 424 attachment

Principal Investigator
Hattie Sturgill
Facilities Management Director
(520) 866-6914
Hattie.sturgill@pinal.gov

Business Officer
Heather Patel
Grants Manager
(520) 866-6422
Heather.patel@pinal.gov

BUDGET INFORMATION - Non-Construction Programs

SECTION A - BUDGET SUMMARY

Grant Program Function or Activity (a)	Catalog of Federal Domestic Assistance Number (b)	Estimated Unobligated Funds		New or Revised Budget		
		Federal (c)	Non-Federal (d)	Federal (e)	Non-Federal (f)	Total (g)
1. DOE Funds: Acquisition, construction, installation of Electric Vehicle Charging Stations	81.128	\$ 391,250.00	\$ 0.00	\$ 0.00	\$ 0.00	\$ 391,250.00
2.						
3.						
4.						
5. Totals		\$ 391,250.00	\$ 0.00	\$ 0.00	\$ 0.00	\$ 391,250.00

SECTION B - BUDGET CATEGORIES

6. Object Class Categories	GRANT PROGRAM, FUNCTION OR ACTIVITY				Total (5)
	(1)	(2)	(3)	(4)	
	DOE Funds: Acquisition, construction, installation of Electric Vehicle Charging Stations				
a. Personnel	\$ 0.00	\$	\$	\$	0.00
b. Fringe Benefits	0.00				0.00
c. Travel	0.00				0.00
d. Equipment	0.00				0.00
e. Supplies	0.00				0.00
f. Contractual	0.00				0.00
g. Construction	391,250.00				391,250.00
h. Other	0.00				0.00
i. Total Direct Charges (sum of 6a-6h)	391,250.00				\$ 391,250.00
j. Indirect Charges	0.00				\$ 0.00
k. TOTALS (sum of 6i and 6j)	\$ 391,250.00	\$	\$	\$	\$ 391,250.00
7. Program Income	\$ 0.00	\$	\$	\$	\$ 0.00

Authorized for Local Reproduction

SECTION C - NON-FEDERAL RESOURCES

(a) Grant Program		(b) Applicant	(c) State	(d) Other Sources	(e) TOTALS
8.	DOE Funds: Acquisition, construction, installation of Electric Vehicle Charging Stations	\$ 0.00	\$ 0.00	\$ 0.00	\$ 0.00
9.					
10.					
11.					
12.	TOTAL (sum of lines 8-11)	\$ 0.00	\$ 0.00	\$ 0.00	\$ 0.00

SECTION D - FORECASTED CASH NEEDS

		1st Quarter	2nd Quarter	3rd Quarter	4th Quarter
13.	Federal	\$ 0.00	\$ 0.00	\$ 0.00	\$ 0.00
14.	Non-Federal				
15.	TOTAL (sum of lines 13 and 14)	\$ 0.00	\$ 0.00	\$ 0.00	\$ 0.00

SECTION E - BUDGET ESTIMATES OF FEDERAL FUNDS NEEDED FOR BALANCE OF THE PROJECT

(a) Grant Program		FUTURE FUNDING PERIODS (YEARS)			
		(b) First	(c) Second	(d) Third	(e) Fourth
16.	DOE Funds: Acquisition, construction, installation of Electric Vehicle Charging Stations	\$ 97,812.50	\$ 97,812.50	\$ 97,812.50	\$ 97,812.50
17.					
18.					
19.					
20.	TOTAL (sum of lines 16 - 19)	\$ 97,812.50	\$ 97,812.50	\$ 97,812.50	\$ 97,812.50

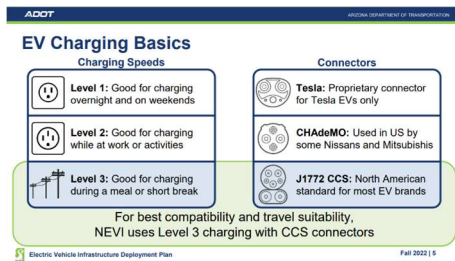
SECTION F - OTHER BUDGET INFORMATION

21.	Direct Charges:		
22.	Indirect Charges:		
23.	Remarks:		

SF 424A Budget Justification

DOE funds: Acquisition, construction, installation of Electric Vehicle Charging Stations

Pinal County is partnering with the City of Casa Grande and will leverage both the county's and the city's FY23 Energy Efficiency and Conservation Block Grant formula awards from the US Department of Energy to complete the installation of a minimum of 9 pay-as-you-go battery electric vehicle-charging stations. This request includes the cost for contracting with a private entity for the acquisition, construction, and installation of eligible infrastructure included in the project averaging \$40,000 per station. All stations will be publicly accessible, ADA compliant, maintain traffic safety, include North American



Charging Standard/CCS combo connectors, and will not adversely impact the environment. Locations will take into consideration existing APS infrastructure. Pinal County will adhere to the minimum requirements set forth in 23 CFR 680 and will use the resources on <https://driveelectric.gov/resources/> and <https://www.transportation.gov/rural/ev/toolkit>.

Table 1. Electric vehicle charging infrastructure specifications in the United States.

Charging level	Voltage	Typical power	Electric vehicle miles of range per charging hour	Location
Level 1	120 V AC	1.2-1.4 kW AC	3-4 miles	Primarily home and some workplace
Level 2	208 V-240 V AC	3.3-6.6 kW AC	10-20 miles	Home, workplace, and public
DC fast	400 V-1,000 V DC	50 kW or more	150-1,000 miles	Public, frequently intercity

Note: AC = alternating current; DC = direct current; kW = kilowatt; V = volt

*chrome-

extension://efaidnbmnnnibpcajpcglclefindmkaj/https://theicct.org/sites/default/files/publications/ICCT_EV_Charging_Cost_20190813.pdf

The costs for the acquisition, construction, and installation of the charging stations are estimated based on the following:

Table 4. Installation costs per DC fast charger by power level and chargers per site.

	50 kW				150 kW				350 kW			
	1 charger per site	2 chargers per site	3-5 chargers per site	6-50 chargers per site	1 charger per site	2 chargers per site	3-5 chargers per site	6-20 chargers per site	1 charger per site	2 chargers per site	3-5 chargers per site	6-10 chargers per site
Labor	\$19,200	\$15,200	\$11,200	\$7,200	\$20,160	\$15,960	\$11,760	\$7,560	\$27,840	\$22,040	\$16,240	\$10,440
Materials	\$26,000	\$20,800	\$15,600	\$10,400	\$27,300	\$21,840	\$16,380	\$10,920	\$37,700	\$30,160	\$22,620	\$15,080
Permit	\$200	\$150	\$100	\$50	\$210	\$158	\$105	\$53	\$290	\$218	\$145	\$73
Taxes	\$106	\$85	\$64	\$42	\$111	\$89	\$67	\$45	\$154	\$123	\$92	\$62
Total	\$45,506	\$36,235	\$26,964	\$17,692	\$47,781	\$38,047	\$28,312	\$18,577	\$65,984	\$52,541	\$39,097	\$25,654

*chrome-

extension://efaidnbmnnnibpcajpcglclefindmkaj/https://theicct.org/sites/default/files/publications/ICCT_EV_Charging_Cost_20190813.pdf

U.S. DEPARTMENT OF ENERGY

FINANCIAL ASSISTANCE
CERTIFICATIONS AND ASSURANCES
FOR USE WITH SF 424

Applicant: Pinal County

Solicitation No.: DE- CFDA 81.128

The following certifications and assurances must be completed and submitted with each application for financial assistance. The name of the person responsible for making the certifications and assurances must be typed in the signature block on the forms.

Certifications Regarding Lobbying; Debarment, Suspension and Other Responsibility Matters; and Drug Free Workplace Requirements

DOE F 1600.5, Assurance of Compliance Nondiscrimination in Federally Assisted Programs

***CERTIFICATIONS REGARDING LOBBYING;
DEBARMENT, SUSPENSION AND OTHER RESPONSIBILITY MATTERS;
AND DRUG FREE WORKPLACE REQUIREMENTS***

Applicants should refer to the regulations cited below to determine the certification to which they are required to attest. Applicants should also review the instructions for certification included in the regulations before completing this form. Signature of this form provides for compliance with certification requirements under 10 CFR Part 601 "New Restrictions on Lobbying," 10 CFR Part 606 "Governmentwide Debarment and Suspension (Nonprocurement) and 10 CFR Part 607 "Governmentwide Requirements for Drug-Free Workplace (Grants)." The certifications shall be treated as a material representation of fact upon which reliance will be placed when the Department of Energy determines to award the covered transaction, grant, or cooperative agreement.

1. LOBBYING

The undersigned certifies, to the best of his or her knowledge and belief, that:

- (1) No Federal appropriated funds have been paid or will be paid, by or on behalf of the undersigned, 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 awarding of any Federal contract, the making of any Federal grant, the making of any Federal loan, the entering into of any cooperative agreement, and the extension, continuation, renewal, amendment, or modification of any Federal contract, grant, loan, or cooperative agreement.
- (2) 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 this Federal contract, grant, loan, or cooperative agreement, the undersigned shall complete and submit Standard Form-LLL, "Disclosure Form to Report Lobbying," in accordance with its instructions.
- (3) The undersigned shall require that the language of this certification be included in the award documents for all subawards at all tiers (including subcontracts, subgrants, and contracts under grants, loans, and cooperative agreements) and that all subrecipients shall certify and disclose accordingly.

This certification is a material representation of fact upon which reliance was placed when this transaction was made or entered into. Submission of this certification is a prerequisite for making or entering into this transaction imposed by section 1352, title 31, U.S. Code. Any person who fails to file the required certification shall be subject to a civil penalty of not less than \$10,000 and not more than \$100,000 for each such failure.

2. ADDITIONAL LOBBYING REPRESENTATION

Applicant organizations which are described in section 501(c)(4) of the Internal Revenue Code of 1986 and engage in lobbying activities after December 31, 1995, are not eligible for the receipt of Federal funds constituting an award, grant, or loan.

As set forth in section 3 of the Lobbying Disclosure Act of 1995 as amended, (2 U.S.C. 1602), lobbying activities are defined broadly to include, among other things, contacts on behalf of an organization with specified employees of the Executive Branch and Congress with regard to Federal legislative, regulatory, and program administrative matters.

Check the appropriate block:

The applicant is an organization described in section 501(c)(4) of the Internal Revenue Code of 1986? Yes No

If you checked "Yes" above, check the appropriate block:

The applicant represents that after December 31, 1995 it has has not engaged in any lobbying activities as defined in the Lobbying Disclosure Act of 1995, as amended.

3. DEBARMENT, SUSPENSION, AND OTHER RESPONSIBILITY MATTERS

- (1) The prospective primary participant certifies to the best of its knowledge and belief, that it and its principals:
 - (a) Are not presently debarred, suspended, proposed for debarment, declared ineligible, or voluntarily excluded from covered transactions by any Federal department or agency;
 - (b) Have not within a three-year period preceding this proposal been convicted of or had a civil judgment rendered against them for commission of fraud or a criminal offense in connection with obtaining, attempting to obtain, or performing a public (Federal, State or local) transaction or contract under a public transaction; violation of Federal or State antitrust

statutes or commission of embezzlement, theft, forgery, bribery; falsification or destruction of records, making false statements, or receiving stolen property;

- (c) Are not presently indicted for or otherwise criminally or civilly charged by a governmental entity (Federal, State or local) with commission of any of the offenses enumerated in paragraph (1)(b) of this certification; and
- (d) Have not within a three-year period preceding this application/proposal had one or more public transactions (Federal, State or local) terminated for cause or default.

- (2) Where the prospective primary participant is unable to certify to any of the statements in this certification, such prospective participant shall attach an explanation to this proposal.

4. DRUG-FREE WORKPLACE

This certification is required by the Drug-Free Workplace Act of 1988 (Pub.L. 100-690, Title V, Subtitle D) and is implemented through additions to the Debarment and Suspension regulations, published in the Federal Register on January 31, 1989, and May 25, 1990.

ALTERNATE I (GRANTEES OTHER THAN INDIVIDUALS)

- (1) The grantee certifies that it will or will continue to provide a drug-free workplace by:
 - (a) Publishing a statement notifying employees that the unlawful manufacture, distribution, dispensing, possession, or use of a controlled substance is prohibited in the grantee's workplace and specifying the actions that will be taken against employees for violation of such prohibition;
 - (b) Establishing an ongoing drug-free awareness program to inform employees about:
 - (1) The dangers of drug abuse in the workplace;
 - (2) The grantee's policy of maintaining a drug-free workplace;
 - (3) Any available drug counseling, rehabilitation, and employee assistance programs; and
 - (4) The penalties that may be imposed upon employees for drug abuse violations occurring in the workplace;
 - (c) Making it a requirement that each employee to be engaged in the performance of the grant be given a copy of the statement required by paragraph (a);
 - (d) Notifying the employee in the statement required by paragraph (a) that, as a condition of employment under the grant, the employee will:
 - (1) Abide by the terms of the statement; and
 - (2) Notify the employer in writing of his or her conviction for a violation of a criminal drug statute occurring in the workplace not later than five calendar days after such conviction;
 - (e) Notifying the agency, in writing, within ten calendar days after receiving notice under subparagraph (d)(2) from an employee or otherwise receiving actual notice of such conviction. Employers of convicted employees must provide notice, including position title, to every grant officer or other designee on whose grant activity the convicted employee was working, unless the Federal agency has designated a central point for the receipt of such notices. Notice shall include the identification number(s) of each affected grant;
 - (f) Taking one of the following actions, within 30 calendar days of receiving notice under subparagraph (d)(2), with respect to any employee who is so convicted:
 - (1) Taking appropriate personnel action against such an employee, up to and including termination, consistent with the requirements of the Rehabilitation Act of 1973, as amended; or
 - (2) Requiring such employee to participate satisfactorily in a drug abuse assistance or rehabilitation program approved for such purposes by a Federal, State or local health, law enforcement, or other appropriate agency;
 - (g) Making a good faith effort to continue to maintain a drug- free workplace through implementation of paragraphs (a),(b),(c),(d),(e), and (f).

- (2) The grantee may insert in the space provided below the site(s) for the performance of work done in connection with the specific grant:

Place of Performance: (Street address, city, county, state, zip code)

31 North Pinal Street, Florence, Arizona 85132

Check if there are workplaces on file that are not identified here.

ALTERNATE II (GRANTEES WHO ARE INDIVIDUALS)

- (1) The grantee certifies that, as a condition of the grant, he or she will not engage in the unlawful manufacture, distribution, dispensing, possession, or use of a controlled substance in conducting any activity with the grant.
- (2) If convicted of a criminal drug offense resulting from a violation occurring during the conduct of any grant activity, he or she will report the conviction, in writing, within 10 calendar days of the conviction, to every grant officer or other designee, unless the Federal agency designates a central point for the receipt of such notices. When notice is made to such a central point, it shall include the identification number(s) of each affected grant.

5. SIGNATURE

As the duly authorized representative of the applicant, I hereby certify that the applicant will comply with the above certifications.

Name of Applicant: P i n a l C o u n t y

Printed Name and Title of
Authorized Representative: J e f f S e r d y , C h a i r m a n o f t h e B o a r d o f S u p e r v i s o r

SIGNATURE

DATE

Assurance of Compliance

Nondiscrimination in Federally Assisted Programs

OMB Burden Disclosure Statement

Public reporting burden for this collection of information is estimated to average 15 minutes per response, including the time for reviewing instructions, searching existing data sources, gathering and maintaining the data needed, and completing and reviewing the collection of information. Send comments regarding this burden estimate or any other aspect of this collection of information, including suggestions for reducing this burden, to Office of Information Resources Management Policy, Plans, and Oversight, Records Management Division, HR-422 - GTN, Paperwork Reduction Project (1900-0400), U.S. Department of Energy, 1000 Independence Avenue, S.W., Washington, DC 20585; and to the Office of Management and Budget (OMB), Paperwork Reduction Project (1900-0400), Washington, DC 20503.

Pinal County (Hereinafter called the "Applicant") HEREBY AGREES to comply with Title VI of the Civil Rights Act of 1964 (Pub. L.88-352), Section 16 of the Federal Energy Administration Act of 1974 (Pub.L.93-275), Section 401 of the Energy Reorganization Act of 1974 (Pub.L.93-438), Title IX of the Education Amendments of 1972, as amended (Pub.L.92-318, Pub.L.93-568, and Pub.L.94-482), Section 504 of the Rehabilitation Act of 1973 (Pub.L.93-112), the Age Discrimination Act of 1975 (Pub.L.94-135), Title VIII of the Civil Rights Act of 1968 (Pub.L.90-284), the Department of Energy Organization Act of 1977 (Pub.L.95-91), and the Energy Conservation and Production Act of 1976, as amended (Pub.L.94-385) and Title 10, Code of Federal Regulations, Part 1040. In accordance with the above laws and regulations issued pursuant thereto, 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 Department of Energy.

Applicability and Period of Obligation

In the case of any service, financial aid, covered employment, equipment, property, or structure provided, leased, or improved with Federal assistance extended to the Applicant by the Department of Energy, this assurance obligates the Applicant for the period during which Federal assistance is extended. In the case of any transfer of such service, financial aid, equipment, property, or structure, this assurance obligates the transferee for the period during which Federal assistance is extended. If any personal property is so provided, this assurance obligates the Applicant for the period during which it retains ownership or possession of the property. In all other cases, this assurance obligates the Applicant for the period during which the Federal assistance is extended to the Applicant by the Department of Energy.

Employment Practices

Where a primary objective of the Federal assistance is to provide employment or where the Applicant's employment practices affect the delivery of services in programs or activities resulting from Federal assistance extended by the Department, the Applicant agrees not to discriminate on the ground of race, color, national origin, sex, age, or disability, in its employment practices. Such employment practices may include, but are not limited to, recruitment advertising, hiring, layoff or termination, promotion, demotion, transfer, rates of pay, training and participation in upward mobility programs; or other forms of compensation and use of facilities.

Subrecipient Assurance

The Applicant shall require any individual, organization, or other entity with whom it subcontracts, subgrants, or subleases for the purpose of providing any service, financial aid, equipment, property, or structure to comply with laws cited above. To this end, the subrecipient shall be required to sign a written assurance form, however, the obligation or both recipient and subrecipient to ensure compliance is not relieved by the collection or submission of written assurance forms.

Data Collection and Access to Records

The Applicant agrees to compile and maintain information pertaining to programs or activities developed as a result of the Applicant's receipt of Federal assistance from the Department of Energy. Such information shall include, but is not limited to, the following: (1) the manner in which services are or will be provided and related data necessary for determining whether any persons are or will be denied such services on the basis of prohibited discrimination; (2) the population eligible to be served by race, color, national origin, sex, age, and disability; (3) data regarding covered employment including use or planned use of bilingual public contact employees serving beneficiaries of the program where necessary to permit effective participation by beneficiaries unable to speak or understand English; (4) the location of existing or proposed facilities connected with the program and related information adequate for determining whether the location has or will have the effect of unnecessarily denying access to any person on the basis of prohibited discrimination; (5) the present or proposed membership by race, color, national origin, sex, age, and disability, in any planning or advisory body which is an integral part of the program; and (6) any additional written data determined by the Department of Energy to be relevant to its obligation to assure compliance by recipients with laws cited in the first paragraph of this assurance.

The Applicant agrees to submit requested data to the Department of Energy regarding programs and activities developed by the Applicant from the use of Federal assistance funds extended by the Department of Energy, Facilities of the Applicant (including the physical plants, building, or other structures) and all records, books, accounts, and other sources of information pertinent to the Applicant's compliance with the civil rights laws shall be made available for inspection during normal business hours on request of an officer or employee of the Department of Energy specifically authorized to make such inspections. Instructions in this regard will be provided by the Director, Office of Civil Rights, U.S. Department of Energy.

This assurance is given in consideration of and for the purpose of obtaining any and all Federal grants, loans, contracts (excluding procurement contracts), property, discounts or other Federal assistance extended after the date hereto, to the Applicants by the Department of Energy, including installment payments on account after such data of application for Federal assistance which are approved before such date. The Applicant recognizes and agrees that such Federal assistance will be extended in reliance upon the representation and agreements made in this assurance and that the United States shall have the right to seek judicial enforcement of this assurance. This assurance is binding on the Applicant, the successors, transferees, and assignees, as well as the person(s) whose signature appears below and who are authorized to sign this assurance on behalf of the Applicant.

Applicant Certification

The Applicant certifies that it has complied, or that, within 90 days of the date of the grant, it will comply with all applicable requirements of 10 C.F.R. § 1040.5 (a copy will be furnished to the Applicant upon written request to DOE).

Designated Responsible Employee

Jeff Serdy, Chairman of the Board of Supervisors
Name and Title (Printed to Typed)

(520) 866-6068
Telephone Number

Signature

Date

Pinal County

Applicant's Name

(520) 866-6422
Telephone Number

31 North Pinal Street
Address:

Date

Florence, Arizona 85132

Authorized Official:
President, Chief Executive Officer
or Authorized Designee

Jeff Serdy, Chairman of the Board of Supervisors
Name and Title (Printed to Typed)

(520) 866-6068
Telephone Number

Signature

Date

Program Activity File

Project Narrative

Pinal County is partnering with the City of Casa Grande and will leverage both the county’s and the city’s FY23 Energy Efficiency and Conservation Block Grant formula awards from the US Department of Energy to complete the installation of a minimum of 9 pay-as-you-go battery electric vehicle-charging stations. This request includes the cost for contracting with a private entity for the acquisition, construction, and installation of eligible infrastructure included in the project averaging \$40,000 per station. All stations will be publicly accessible, ADA compliant, maintain traffic safety, include North American

Charging Standard/CCS combo connectors, and will not adversely impact the environment. Locations will take into consideration existing APS infrastructure. Pinal County will adhere to the minimum requirements set forth in 23 CFR 680 and will use the resources on <https://driveelectric.gov/resources/> and <https://www.transportation.gov/rural/ev/toolkit>.

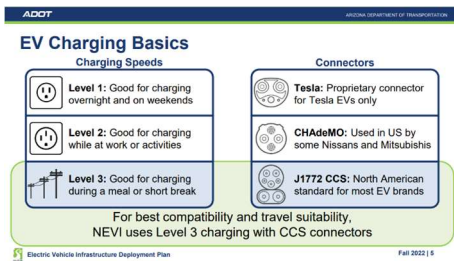


Table 1. Electric vehicle charging infrastructure specifications in the United States.

Charging level	Voltage	Typical power	Electric vehicle miles of range per charging hour	Location
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DC fast	400 V-1,000 V DC	50 kW or more	150-1,000 miles	Public, frequently intercity

Note: AC = alternating current; DC = direct current; kW = kilowatt; V = volt

*chrome-extension://efaidnbmnnnibpcajpcglclefindmkaj/https://theicct.org/sites/default/files/publications/ICCT_EV_Charging_Cost_20190813.pdf

Pinal County is the third most populated county in Arizona and one of the fastest growing counties in the nation. Pinal County is located between two large metropolitan areas, Maricopa County (Phoenix) and Pima County (Tucson). Pinal County has several electric service providers who serve the area. However, for this project, the county is collaborating with one of the largest electric service providers, Arizona Public Service. Therefore, the project sites for the electric vehicle charging stations will only be located within their service area. (<https://www.aps.com/en/Residential/Service-Plans/Service-Area-Maps>).

The Arizona Department of Transportation maintains a GIS portal with average daily traffic counts (ADTs). The ADT information covers the following state and US highways located within Pinal County that are under their jurisdiction: US Interstate 10, 8, and 60, State Route 87, 287, 77, 79, and 177. Although the map identifies various ADTs for mile markers, the chart below reflects the ADT for a larger stretch of the roadway. Interstate 10 intersects Pinal County. Therefore, this project will benefit both the community and those travelling the Interstate 10 corridor.

Roadway	ADT (highest amount recorded)
US Interstate 10	62,629
US Interstate 8	8,604
US Interstate 60	15,542
State route/highway 87	8,458
State route/highway 287	5,798
State route/highway 77	4,362
State route/highway 79	6,402
State route/highway 177	2,073

<https://adot.maps.arcgis.com/apps/webappviewer/index.html?id=07cac1757f8a4ce1a73a6e5e79563fe4>

There are over 40,000 electric vehicles registered in Arizona (<https://afdc.energy.gov/data>) and only 15 charging stations in Pinal County (<https://chargehub.com/en/charging-stations-map.html>).

The Arizona Department of Transportation (ADOT) has an Electric Vehicle Infrastructure Deployment Plan funded through the NEVI program. The plan lists the future alternative fuel corridors and planned charging station locations. The future alternative fuel corridors include Interstate 10, US Highway 60, State Route 87 and a portion of State Route 77. Planned charging station locations include an upgrade in Casa Grande and a proposed location in Eloy. ADOT is updating their plan and may identify new alternative fuel corridors. However, it is important to note, there is minimal benefit at this time to Pinal County.

Pinal County is a diverse county that includes both rural and suburban areas. The following is a breakdown of community populations throughout the project area.

Community	Population*	Designation	Potential locations
Casa Grande	53,658	Suburban	TBD
Arizona City	9,868	Rural – focus area	Community library
Eloy	15,635	Rural – focus area	Community facilities
Coolidge	13,218	Rural – focus area	Community facilities, private partners
Florence	26,785	Rural – focus area	County facilities
Superior	2,407	Rural – focus area	Community park
Kearny	1,741	Rural	Not a focus area
Mammoth	1,076	Rural	Not a focus area
San Manuel	3,114	Rural – focus area	Public Health Department
Oracle	3,051	Rural – focus area	TBD
Pinal County	425,264	Total population	TBD

*U.S. Census

”Rural residents [drive more](#) than their urban counterparts, [spend more](#) on vehicle fuel and maintenance, and often have fewer alternatives to driving to meet their transportation needs. In the long run, adoption of EVs—integrated with holistic regional land use and transportation planning—can help residents of rural areas reduce those costs, minimize the environmental impact of transportation, and improve accessibility and quality of life in their communities.” (<https://www.transportation.gov/rural/ev/toolkit>)

Over the past few years, Pinal County has become a hub for electric vehicle manufacturing. Companies such as Lucid Motors, Nikola, and LG Energy have made significant economic investments in the county. “The market for electric vehicles (EVs) has grown rapidly in recent years and is expected to continue to grow at a fast pace over the coming decade. Electric car sales in the United States increased from a mere 0.2 percent of total car sales in 2011 to 4.6 percent in 2021.” (US Bureau of Labor Statistics https://www.bls.gov/opub/btn/volume-12/charging-into-the-future-the-transition-to-electric-vehicles.htm#_edn1)

Pinal County is seeking additional funding to supplement this project through the US Department of Transportation, Federal Highway Administration Charging and Fueling Infrastructure Discretionary Grant under the Community Program.

Pinal County and the City of Casa Grande will evaluate the best locations for battery electric vehicle charging stations. Based on current identified needs, the county will require stations be located within an APS service area and will focus on the identified communities listed above. Project sites will be evaluated based on the NRSS (<https://www.transportation.gov/NRSS>) and will be selected based on maintaining traffic safety and having no adverse impact on the environment.

Project sites will be located in free public accessible locations typically a parking facility near a government building or at a prominent public space such as a library, park, or shopping center. Multi-family residential locations will also be evaluated. “For EV users, increasing the availability of affordable public charging, including at community and cultural sites, will help give rural Americans—and anyone who travels in rural America—the confidence that they will be able to recharge when and where they need to, just as reliably as they can refuel a conventional vehicle today. “ (<https://www.transportation.gov/rural/ev/toolkit>)

All selected locations will meet the Americans with Disabilities Act of 1990 requirements, which will include access to safe and accessible pathways to public buildings or spaces, and extra wide parking stalls to accommodate larger vehicles that may include a ramp or require extra space for wheelchairs.

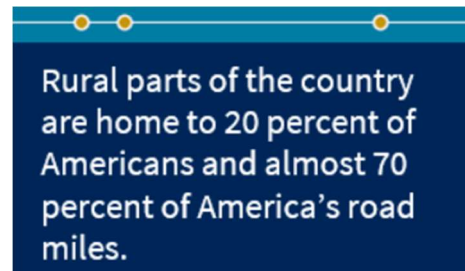
Pinal County’s project will address the following focus areas, project benefits, and improved access to electric vehicle infrastructure:

Community	Population	Designation	LMI%*
Casa Grande	53,658	Suburban	47.26%
Arizona City	9,868	Rural – focus area	56.34%
Eloy	15,635	Rural – focus area	69.25%
Coolidge	13,218	Rural – focus area	59.51%
Florence	26,785	Rural – focus area	50.12%
Superior	2,407	Rural – focus area	47.74%
Kearny	1,741	Rural	48.92%
Mammoth	1,076	Rural	69.28%
San Manuel	3,114	Rural – focus area	52.42%
Oracle	3,051	Rural – focus area	41.15%

Pinal County	425,264	Total population	45.97%
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*US Department of Housing and Urban Development Low-and-Moderate Income percentage (<https://hud.maps.arcgis.com/apps/webappviewer/index.html?id=ffd0597e8af24f88b501b7e7f326bedd>)

- Urban/Suburban Area Charging and Fueling Solutions – The City of Casa Grande is the only suburban area included in the project. Interstate 10 intersects (FHWA identified corridor) Casa Grande and has the largest number of ADTs. Casa Grande is 47 miles south of the Phoenix Metropolitan area and 68 miles north of the Tucson Metropolitan area. Casa Grande has a population of more than 53,000 residents, a median household income of \$59,175, and is 40% Hispanic. They are 47.26% low and moderate income.
- Rural Area Charging and Fueling Solutions – The remaining communities are either incorporated communities or Census Designated Places (CDPs). Although smaller in population, the siting evaluation will demonstrate the areas of most need, areas where access to charging stations are limited, and areas where residents and/or travelers are most likely to use them. For example, the Town of Superior is located on US Highway 60. This major roadway connects the Phoenix Metropolitan Area with Eastern Arizona. In general, rural communities demonstrate a higher low and moderate-income percentage and traditionally have been underserved, specifically by private sector investment. Pinal County includes three tribal communities.



<https://www.transportation.gov/rural/ev/toolkit>

Fleet Vehicles – Pinal County will install two charging stations at the Pinal County Fleet Services Department in Florence, Arizona to serve the growing number of electric vehicles the county is adding to their fleet. Pinal County is 45.97% low and moderate income. Throughout the county 28% of residents are Hispanic. Aside from two incorporated communities (Casa Grande and Apache Junction) and one CDP (San Tan Valley), the balance of the county is rural. Pinal County Fleet manages vehicles for all departments and divisions of the county including public health, and the public housing authority. The county serves all members of our communities.

Metric

1. Acquisition, construction, and installation of a minimum of nine (9) pay-as-you-go battery electric vehicle-charging stations. Pinal County's project will expand the deployment and access to EV charging stations within Pinal County. This includes rural Arizona, where access to charging stations is minimal. Pinal County is expanding access in areas that are not included in the Arizona Department of Transportation NEVI plan approved by FHWA.
2. Climate change, resilience, and sustainability – this project will reduce greenhouse gas emissions in the transportation sector, incorporates evidence-based climate resilience measures, and reduces lifecycle greenhouse gas emissions from the project materials.

“Vehicle emissions can be divided into two general categories: air pollutants, which contribute to smog, haze, and health problems; and greenhouse gases (GHGs), such as carbon dioxide and methane. Both categories of emissions can be evaluated on a tailpipe basis, a well-to-wheel basis, and a cradle-to-grave basis.

Conventional vehicles with an internal combustion engine (ICE) produce direct emissions through the tailpipe, as well as through evaporation from the vehicle's fuel system and during the fueling process. Conversely, all-electric vehicles produce zero direct emissions. PHEVs produce zero direct emissions when they are in all-electric mode, but they can produce evaporative emissions. When using the ICE, PHEVs produce tailpipe emissions. However, their direct emissions are typically lower than those of comparable conventional vehicles.”

(https://afdc.energy.gov/vehicles/electric_emissions.html)

“the emissions associated with the non-electric miles are assumed to be 0.29 lb CO₂/mile (based on the 66.8 mpg efficiency anticipated for 2025).⁶ The emissions associated with the miles driven in the conventional vehicle are assumed to be 0.48 lb CO₂/mile (based on a 40.8 mpg efficiency anticipated for 2025)”

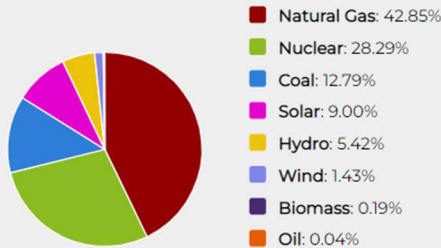
“Based on the assumptions used in this analysis, the wide-spread use of workplace charging could be expected to reduce emissions on grids with an average carbon intensity of less than 1.5 lb CO₂/kWh.” (chrome-extension://efaidnbmnnnibpcajpcgclefindmkaj/https://afdc.energy.gov/files/u/publication/ev_emissions_impact.pdf)

The source of your electricity has an effect on the emissions of your electric vehicle.

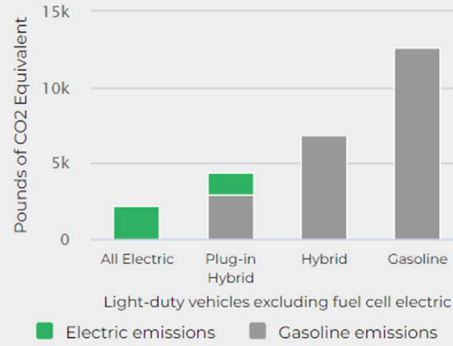
Choose a State

State Averages for Arizona

Electricity Sources



Annual Emissions per Vehicle



https://afdc.energy.gov/vehicles/electric_emissions.html

The following graphic illustrates the potential reduction of emissions according to <https://afleet.es.anl.gov/infrastructure-emissions/>. This includes 105 GHGs, 1038.2 CO, 17.6 NOx, 2.2 PM10, 2.0 PM2.5, and 97.4 VOC.

AFLEET Charging and Fueling Infrastructure (CFI) Emissions Tool

1. Charging and Fueling Infrastructure Location (REQUIRED)

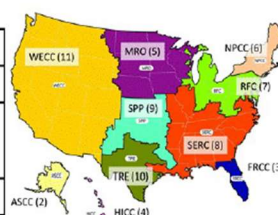
State: ARIZONA

2. Charging and Fueling Infrastructure Inputs

Charger/Station Type	2a. Number of Chargers/Stations (REQUIRED)			2b. Annual Fuel Consumption Per Fuel Unit (OPTIONAL)				2c. Vehicle Type Utilizing Charger/Station % (OPTIONAL)	
	Low Utilization	Moderate Utilization	High Utilization	Low Utilization	Moderate Utilization	High Utilization	Fuel Unit	Light-Duty	Heavy-Duty
Level 2 EVSE	5	10	4	3,000	6,000	10,000	kWh	100%	0%
DCFC EVSE	0	0	0	13,000	28,000	52,000	kWh	100%	0%
Hydrogen	0	0	0	14,000	28,000	56,000	hydrogen kg	100%	0%
Propane	0	0	0	5,500	11,000	22,000	LPG gallon	0%	100%
CNG	0	0	0	122,500	245,000	490,000	CNG GGE	0%	100%
LNG	0	0	0	81,500	163,000	326,000	LNG gallon	0%	100%

3. Fuel Production Assumptions (OPTIONAL)

CNG Feedstock Source	1 - North American Fossil NG 2 - Renewable Natural Gas	1
LNG Feedstock Source	1 - North American NG 2 - Renewable Natural Gas	1
Source of Electricity for EVSEs and Hydrogen (Electrolysis)	1 - Average U.S. Mix 2 to 11 - EIA Region Mix (see map) 12 - User Defined (go to 'Intro' sheet)	11
Hydrogen Production Process	1 - NG SMR 2 - Electrolysis	1



- 1 U.S.
- 2 ASCC
- 3 FRCC
- 4 HICC
- 5 MRO
- 6 NPCC
- 7 RFC
- 8 SERC
- 9 SPP
- 10 TRE
- 11 WECC
- 12 User Defined
- 11 Default based on State

4. Annual CFI Tool - Emissions Reductions (PASTE TABLE INTO PROPOSAL)

	GHGs (short tons)	CO (lb)	NOx (lb)	PM10 (lb)	PM2.5 (lb)	VOC (lb)	SOx (lb)	Fuel Dispensed (fuel unit)	Fuel Unit
AFV Fueling Infrastructure									
Level 2 EVSE	105.0	1,038.2	17.6	2.2	2.0	97.4	0.4	115,000	Unit
DCFC EVSE									kWh
Hydrogen									kg
Propane									gal
CNG									GGE
LNG									gal
Fueling Infrastructure Total	105.0	1,038.2	17.6	2.2	2.0	97.4	0.4		

3. Equity, community engagement, and Justice 40

“Today, the rate of EV adoption in rural areas is roughly 40 percent lower than it is in urban areas, and EV charging infrastructure expansion has mostly been concentrated in cities and along major highways. Lower density and longer trips have resulted in urban-rural disparities in micromobility adoption as well. Closing these gaps will help rural residents, businesses, and communities more quickly realize the significant economic, environmental, and health benefits from EVs.” (<https://www.transportation.gov/rural/ev/toolkit/ev-benefits-and-challenges/individual-benefits>)

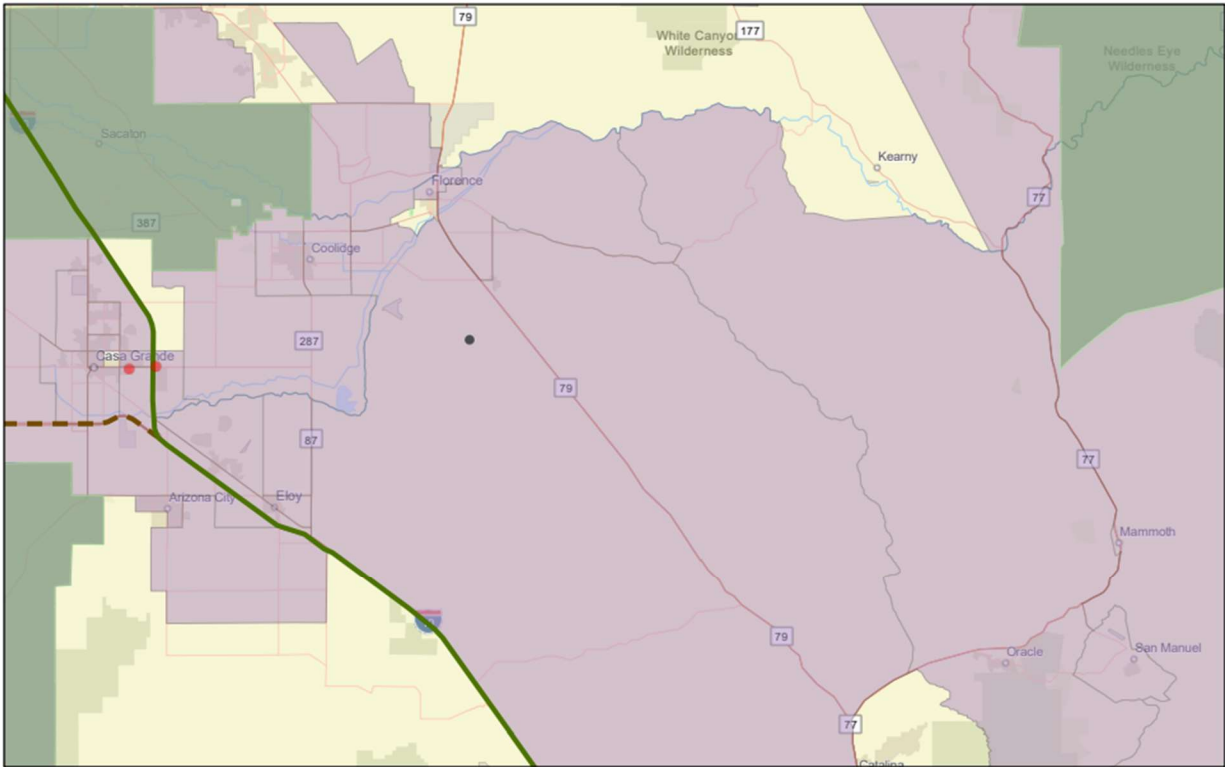
According to the US DOT Transportation Disadvantaged Census Tracts, Pinal County has a high proportion of disadvantaged tracts, as shown in orange.



<https://usdot.maps.arcgis.com/apps/dashboards/d6f90dfcc8b44525b04c7ce748a3674a>

This Electric Vehicle Justice40 map illustrates a significant portion of Pinal County, specifically the rural area, lacks the sufficient number of charging stations.

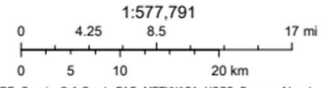
Electric Vehicle Charging Justice40 Map



5/12/2023, 12:18:01 PM

- Public EV Charging Station (Non Tesla DC Fast, as of Feb. 22, 2023)
- FHWA Designated EV Corridors (Rounds 1-6, Oct 2022)
- EV Corridor Ready - A sufficient number of EV charging stations currently exist (minimum 50-mile intervals)

- EV Corridor Pending - An insufficient number of EV charging stations currently exist
- Tribal Lands
- DOE/DOT Interim Guidance DAC (May 2022)



Esri, HERE, Garmin, SafeGraph, FAO, METI/NASA, USGS, Bureau of Land Management, EPA, NPS

<https://anl.maps.arcgis.com/apps/webappviewer/index.html?id=33f3e1fc30bf476099923224a1c1b3ee>

Pinal County reviewed the Environmental Justice Screen demographic website <https://ejscreen.epa.gov/mapper/>. The following information obtained from the site includes countywide statistics. Pinal County has more than 17 CDPs. These areas are included under the countywide number. These numbers may vary from other sources such as the US Census and HUD.

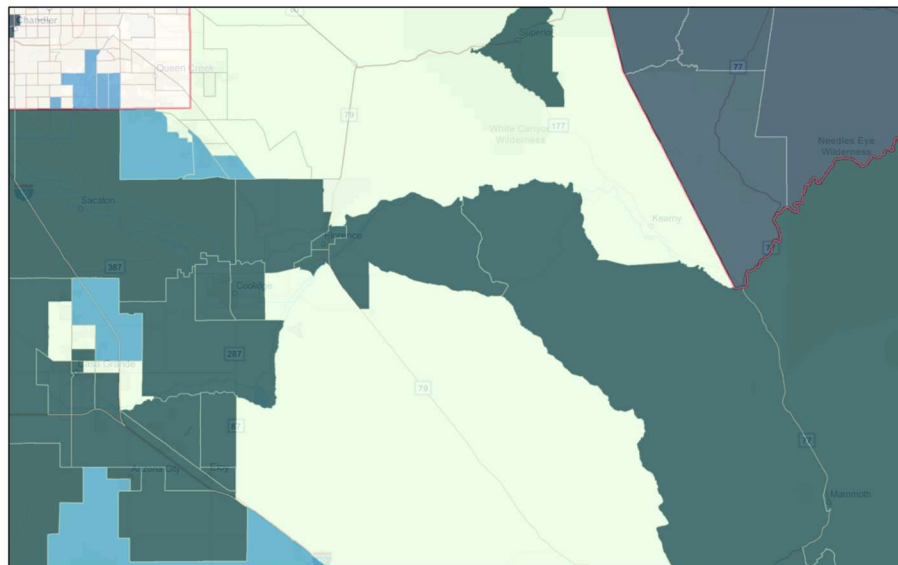
Community	Low Income	People of Color	Age 65+
Casa Grande	38%	56%	20%
Arizona City	44%	47%	24%
Eloy	53%	74%	11%
Coolidge	38%	65%	13%
Florence	30%	54%	17%
Superior	42%	70%	33%
Kearny	34%	47%	27%
Mammoth	47%	78%	29%
San Manuel	55%	60%	30%
Oracle	44%	32%	55%
Pinal County	32%	44%	21%

*EJ Screen demographic report
<https://ejscreen.epa.gov/mapper/>

Unincorporated Areas of Pinal County		
CDP	Population	LMI
Aravaipa	640	63.28
Arizona City	8955	56.34
Cactus Forest	520	71.15
Dudleyville	592	86
Gold Canyon	9590	26.64
Hidden Valley	2270	62.56
Little Mexico	3220	60.4
Oracle	3755	41.15
Picacho	255	54.9
Queen Valley	690	56.52
Randolph	2310	62.99
Red Rock	2170	29.49
Saddlebrooke	1645	54.41
San Manuel	4025	52.42
San Tan Valley	87920	40.74
Stanfield	230	100
Top of the World	215	44.19

*Unincorporated Area population and low-income percentages based on the US Department of Housing and Urban Development and the US Census.

Furthermore, the website identifies the county as a predominantly disadvantaged area. The large central areas listed as not disadvantage include large desert areas that are not habitable.



5/10/2023
 Justice40 (CEJST) ■ Partially Disadvantaged ■ Project 1
■ Disadvantaged ■ Not Disadvantaged

1:577,791
 0 4 8 16 mi
 0 5 10 20 km
Esri, HERE, Garmin, SafeGraph, FAO, METI/NASA, USGS, Bureau of Land Management, EPA, NPS

Milestones

Pinal County presents the following timeline/milestones in compliance with the period of performance of two years from award.

Award and execution of agreements	October 2023 – November 2023
Competitive procurement of services	December 2023 – February 2024
Completion and acceptance of the EECS which includes site plan, assessment, and selection	March 2024 – December 2024
Stakeholder engagement and execution of agreements with outside parties for locations	September 2024 – December 2024
NEPA review of site locations*	January 2025 – April 2025
Acquisition, construction, installation**	April 2025 – September 2025

Restrictions

*Equipment acquisitions and installations for infrastructure projects will be subject to restrictions and review as outlined in statute under the National Environmental Protection Act (NEPA). NEPA will apply to equipment acquisition and installation, and to all other activities outlined in the Administrative and Legal Requirements Document.

Pinal County's project will follow Blueprint 4B and is #11 on the Bounded categories list. Installation of electric vehicle supply equipment (EVSE), such as electric vehicle charging stations, including testing measures to assess the safety and functionality of the EVSE, restricted to existing footprints and levels of previous ground disturbance, within an existing parking facility defined as any building, structure, land, right-of-way, facility, or area used for parking of motor vehicles. All activities must use reversible, non-permanent techniques for installation, where appropriate, use the lowest profile EVSE reasonably available that provides the necessary charging capacity; place the EVSE in a minimally visibly intrusive area; use colors complementary to surrounding environment, where possible, and are limited to the current electrical capacity. This applies to Level 1, Level 2, or Level 3 (also known as Direct Current (DC) Fast Charging) EVSE.

**Equipment acquisitions and installations may also be subject to restrictions and review as outlined in statute under the Build America, Buy America Act (BABA). When necessary, exemptions under BABA may be possible.



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.

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

Recipient Name:	Pinal County	Award Number:	
UEI:	GX4FM9VQD7W3	DUNS (if applicable):	074447095
Business Officer:	Heather Patel	BO Phone Number/Email:	520-866-6422, heather.patel@pinal.gov
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:	31 North Pinal Street
City:	Florence
State:	Arizona
Zip:	85132
Congressional District(s):	2

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 offense²?
 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

1 For this form, "principal" means: (1) An officer, director, owner, partner, PI, or other person (as defined in 2 C.F.R. 180.95) within the Project Team with management or supervisory responsibilities related to this project and any resulting transaction; or (2) A consultant or other person, whether or not employed by the Recipient, Subrecipient, or their principals, or paid with Federal funds, who (a) is in a position to handle Federal funds, (b) is in a position to influence or control the use of those funds, or (c) occupies a technical or professional position capable of substantially influencing the development or outcome of an activity required to perform the transaction, including but not limited to, any Co-PIs.

2 For this form, "covered offenses" include: (1) Commission of fraud or a criminal offense in connection with obtaining, attempting to obtain, or performing a public or private agreement or transaction; (2) Violation of Federal or State antitrust statutes, including those proscribing price fixing between competitors, allocation of customers between competitors, and bid rigging; (3) Commission of embezzlement, theft, forgery, bribery, falsification or destruction of records, making false statements, tax evasion, receiving stolen property, making false claims, or obstruction of justice; or (4) Commission of any other offense indicating a lack of business integrity or business honesty that seriously and directly affects the Recipient's present responsibility.

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 Interest**³. 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.

*****Recipients choosing a voucher may skip to Section 8*****

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:	0467003
2) ASAP/Payments Contact Person:	Heather Patel
3) The preferred payment method is:	ACH deposit

³ Organizational Conflict of Interest means a situation where because of relationships with a parent company, affiliate, or subsidiary organization, the non-Federal entity is unable or appears to be unable to be impartial in conducting a procurement action involving a related organization. 2 CFR 200.318(c)(2).

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? XYes 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. XYes 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 <https://www.azauditor.gov/reports-publications/counties>

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

3. Recipient's fiscal year end date is June 30

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: US Department of Treasury (ARPA related funding)

Point of Contact: _____

Phone/Email: 202-622-6415/SLFRF@Treasury.gov

4b. DCAA Contact Information:

DCAA Office: _____

Point of Contact: _____

Phone/Email: 202-622-6415/SLFRF@Treasury.gov

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.

	Yes	No	NA
1. Is the Accounting System in accordance with Generally Accepted Accounting Principles applicable to the circumstances and associated applicable Federal regulations?	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
2. Accounting System provides for:			
a. Segregation of direct costs from indirect costs.	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
b. Identification and accumulation of direct costs by project.	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
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 checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
d. Accumulation of costs under general ledger control.	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
e. A timekeeping system that identifies employees’ labor by intermediate and final cost objective (i.e., project level, division level).	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
f. A labor distribution system that charges direct and indirect labor to appropriate cost objectives.	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
g. Interim (at least monthly) determination of costs charged to a project through routine posting of books of account.	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
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 checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
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 checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
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 checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
4. Is the Accounting System currently in full operation?	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>

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: Heather Patel

Title: Grants Manager

Signature of Authorized Official: 

Date: 3/6/2023

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:

ADDITIONAL INFORMATION

This information will assist DOE in determining: 1) cognizance; 2) whether the Recipient has adequate internal financial and management controls; and 3) whether the Recipient has an adequate accounting system. Generally, cognizance means that an organization has a Federal oversight agency (cognizant agency). Cognizance of an organization is used for many purposes including: determining which agency is responsible for verifying correct allocation of indirect rates to incurred costs; issuing the Provisional and Final Indirect Rate Agreements; and ordering audits. Adequate internal controls and accounting systems are essential to ensure that the Recipient's costs are correctly estimated, recorded, and billed. The Recipient has the responsibility to ensure that these systems are in place. The cognizant Agency has the responsibility for verifying these systems through audits or other methods.

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.

Cognizance is determined by TOTAL Federal award/contract dollars received by the Recipient/Contractor from all Federal agencies. This information is used to determine which Federal agency has the largest preponderance of funding and is cognizant. Once a Federal agency assumes cognizance for a contractor, it should remain cognizant for at least 5 years to ensure continuity and ease of administration.

Cognizance related duties are the responsibility of the Cognizant Federal Agency (CFA). The CFA is the Federal agency (e.g., Department of Defense, Department of Energy, Navy, etc.) that provided the preponderance (largest amount) of funding for your awards, across all federal agencies. It is very important to confirm that you work with the correct office.

General Rule of Thumb: Department of Health & Human Services (DHHS) is usually the CFA for Universities, Cities, States, and Counties. DHHS cognizance is not usually transferred.

If it is determined that the Department of Energy/Golden Field Office (GO) is the Cognizant Federal Office, the Recipient will have the following ANNUAL responsibilities:

1. Submit a Certified Annual Incurred Cost Claim (ICE Model – see #3 below) to the GO Cost/Price mailbox (CostPrice@ee.doe.gov). **This should represent the total organization's costs (representing the Company General Ledger), not just the Recipient's DOE award(s).**
2. Due Date: 180 days after the Recipient's fiscal year end.
3. For an example of the ICE Model, please visit <https://www.dcaa.mil>. Under “CUSTOMERS->Checklists and Tools”, click on ICE (Incurred Cost Electronically) Model and download the ICE model.

Once the information is received, GO will have the responsibility of providing your organization with an annual indirect rate agreement. This indirect rate must be used on all Federal grants and contracts.

If it is determined that GO is not the Cognizant Federal Office, the Recipient should contact the Cognizant Office for additional instructions.

ANNUAL AUDIT REQUIREMENTS

Independent (Single & Compliance) Audit Requirements

2 CFR 200, Section F located at:

<http://www.ecfr.gov/cgi-bin/text-idx?SID=6e187b05cfeca4f534c659f20983b14e&mc=true&node=pt2.1.200&rgn=div5>

For-Profits: 2 CFR 910, Section F located at:

<http://www.ecfr.gov/cgi-bin/text-idx?node=pt2.1.910&rgn=div5>

Below are excerpts from Section F.

Audit requirements.

- (a) Audit required. A non-Federal entity that expends \$750,000 or more during the non-Federal entity's fiscal year in Federal awards must have a single (program-specific, *not applicable for For-Profits*) or compliance audit conducted for that year in accordance with the provisions of this part.
- (b) *Single* audit. A non-Federal entity that expends \$750,000 or more during the non-Federal entity's fiscal year in Federal awards must have a single audit conducted in accordance with §200.514 - Scope of audit except when it elects to have a program-specific audit conducted in accordance with paragraph (c) of this section.
- (b) *Compliance* audit. (1) If a for-profit entity has one or more DOE awards with expenditures of \$750,000 or more during the for-profit entity's fiscal year, they must have a compliance audit for each of the awards with \$750,000 or more in expenditures. A compliance audit should comply with the applicable provisions in §910.514—Scope of Audit. The remaining awards do not require, individually or in the aggregate, a compliance audit.
- (c) Program-specific audit election. (*Not applicable to For-Profits*). When an auditee expends Federal awards under only one Federal program (excluding R&D) and the Federal program's statutes, regulations, or the terms and conditions of the Federal award do not require a financial statement audit of the auditee, the auditee may elect to have a program-specific audit conducted in accordance with §200.507 Program-specific audits. A program-specific audit may not be elected for R&D unless all of the Federal awards expended were received from the same Federal agency, or the same Federal agency and the same pass-through entity, and that Federal agency, or pass-through entity in the case of a subrecipient, approves in advance a program-specific audit.
- (d) Exemption when Federal awards expended are less than \$750,000. A non-Federal entity that expends less than \$750,000 during the non-Federal entity's fiscal year in Federal awards is exempt from Federal audit requirements for that year, except as noted in §200.503 Relation to other audit requirements, but records must be available for review or audit by appropriate officials of the Federal agency, pass-through entity, and Government Accountability Office (GAO).
- (e) Federally Funded Research and Development Centers (FFRDC). Management of an auditee that owns or operates a FFRDC may elect to treat the FFRDC as a separate entity for purposes of this part.
- (f) Subrecipients and Contractors. An auditee may simultaneously be a recipient, a subrecipient, and a contractor. Federal awards expended as a recipient or a subrecipient are subject to audit under this part. The payments received for goods or services provided as a contractor are not Federal awards. Section §200.331 Subrecipient and contractor determinations sets forth the considerations in determining whether payments constitute a Federal award or a payment for goods or services provided as a contractor.

(g) Compliance responsibility for contractors. In most cases, the auditee's compliance responsibility for contractors is only to ensure that the procurement, receipt, and payment for goods and services comply with Federal statutes, regulations, and the terms and conditions of Federal awards. Federal award compliance requirements normally do not pass through to contractors. However, the auditee is responsible for ensuring compliance for procurement transactions which are structured such that the contractor is responsible for program compliance or the contractor's records must be reviewed to determine program compliance. Also, when these procurement transactions relate to a major program, the scope of the audit must include determining whether these transactions are in compliance with Federal statutes, regulations, and the terms and conditions of Federal awards.

(h) For-profit *subrecipient*. Since this part does not apply to for-profit subrecipients, the pass-through entity is responsible for establishing requirements, as necessary, to ensure compliance by for-profit subrecipients. The agreement with the for-profit subrecipient must describe applicable compliance requirements and the for-profit subrecipient's compliance responsibility. Methods to ensure compliance for Federal awards made to for-profit subrecipients may include pre-award audits, monitoring during the agreement, and post-award audits. See also §200.332 Requirements for pass-through entities.



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.

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 offense²?
 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

1 For this form, "principal" means: (1) An officer, director, owner, partner, PI, or other person (as defined in 2 C.F.R. 180.95) within the Project Team with management or supervisory responsibilities related to this project and any resulting transaction; or (2) A consultant or other person, whether or not employed by the Recipient, Subrecipient, or their principals, or paid with Federal funds, who (a) is in a position to handle Federal funds, (b) is in a position to influence or control the use of those funds, or (c) occupies a technical or professional position capable of substantially influencing the development or outcome of an activity required to perform the transaction, including but not limited to, any Co-PIs.

2 For this form, "covered offenses" include: (1) Commission of fraud or a criminal offense in connection with obtaining, attempting to obtain, or performing a public or private agreement or transaction; (2) Violation of Federal or State antitrust statutes, including those proscribing price fixing between competitors, allocation of customers between competitors, and bid rigging; (3) Commission of embezzlement, theft, forgery, bribery, falsification or destruction of records, making false statements, tax evasion, receiving stolen property, making false claims, or obstruction of justice; or (4) Commission of any other offense indicating a lack of business integrity or business honesty that seriously and directly affects the Recipient's present responsibility.

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 Interest**³. 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.

*****Recipients choosing a voucher may skip to Section 8*****

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:

³ Organizational Conflict of Interest means a situation where because of relationships with a parent company, affiliate, or subsidiary organization, the non-Federal entity is unable or appears to be unable to be impartial in conducting a procurement action involving a related organization. 2 CFR 200.318(c)(2).

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="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
2. Accounting System provides for:			
a. Segregation of direct costs from indirect costs.	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
b. Identification and accumulation of direct costs by project.	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
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="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
d. Accumulation of costs under general ledger control.	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
e. A timekeeping system that identifies employees’ labor by intermediate and final cost objective (i.e., project level, division level).	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
f. A labor distribution system that charges direct and indirect labor to appropriate cost objectives.	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
g. Interim (at least monthly) determination of costs charged to a project through routine posting of books of account.	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
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="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
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="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
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="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
4. Is the Accounting System currently in full operation?	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>

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:

Mary Allen

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:

Mackenzie Letcher

Date:

ADDITIONAL INFORMATION

This information will assist DOE in determining: 1) cognizance; 2) whether the Recipient has adequate internal financial and management controls; and 3) whether the Recipient has an adequate accounting system. Generally, cognizance means that an organization has a Federal oversight agency (cognizant agency). Cognizance of an organization is used for many purposes including: determining which agency is responsible for verifying correct allocation of indirect rates to incurred costs; issuing the Provisional and Final Indirect Rate Agreements; and ordering audits. Adequate internal controls and accounting systems are essential to ensure that the Recipient's costs are correctly estimated, recorded, and billed. The Recipient has the responsibility to ensure that these systems are in place. The cognizant Agency has the responsibility for verifying these systems through audits or other methods.

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Cognizance related duties are the responsibility of the Cognizant Federal Agency (CFA). The CFA is the Federal agency (e.g., Department of Defense, Department of Energy, Navy, etc.) that provided the preponderance (largest amount) of funding for your awards, across all federal agencies. It is very important to confirm that you work with the correct office.

General Rule of Thumb: Department of Health & Human Services (DHHS) is usually the CFA for Universities, Cities, States, and Counties. DHHS cognizance is not usually transferred.

If it is determined that the Department of Energy/Golden Field Office (GO) is the Cognizant Federal Office, the Recipient will have the following ANNUAL responsibilities:

1. Submit a Certified Annual Incurred Cost Claim (ICE Model – see #3 below) to the GO Cost/Price mailbox (CostPrice@ee.doe.gov). **This should represent the total organization's costs (representing the Company General Ledger), not just the Recipient's DOE award(s).**
2. Due Date: 180 days after the Recipient's fiscal year end.
3. For an example of the ICE Model, please visit <https://www.dcaa.mil>. Under "CUSTOMERS->Checklists and Tools", click on ICE (Incurred Cost Electronically) Model and download the ICE model.

Once the information is received, GO will have the responsibility of providing your organization with an annual indirect rate agreement. This indirect rate must be used on all Federal grants and contracts.

If it is determined that GO is not the Cognizant Federal Office, the Recipient should contact the Cognizant Office for additional instructions.

ANNUAL AUDIT REQUIREMENTS

Independent (Single & Compliance) Audit Requirements

2 CFR 200, Section F located at:

<http://www.ecfr.gov/cgi-bin/text-idx?SID=6e187b05cfeca4f534c659f20983b14e&mc=true&node=pt2.1.200&rgn=div5>

For-Profits: 2 CFR 910, Section F located at:

<http://www.ecfr.gov/cgi-bin/text-idx?node=pt2.1.910&rgn=div5>

Below are excerpts from Section F.

Audit requirements.

- (a) Audit required. A non-Federal entity that expends \$750,000 or more during the non-Federal entity's fiscal year in Federal awards must have a single (program-specific, *not applicable for For-Profits*) or compliance audit conducted for that year in accordance with the provisions of this part.
- (b) *Single* audit. A non-Federal entity that expends \$750,000 or more during the non-Federal entity's fiscal year in Federal awards must have a single audit conducted in accordance with §200.514 - Scope of audit except when it elects to have a program-specific audit conducted in accordance with paragraph (c) of this section.
- (b) *Compliance* audit. (1) If a for-profit entity has one or more DOE awards with expenditures of \$750,000 or more during the for-profit entity's fiscal year, they must have a compliance audit for each of the awards with \$750,000 or more in expenditures. A compliance audit should comply with the applicable provisions in §910.514—Scope of Audit. The remaining awards do not require, individually or in the aggregate, a compliance audit.
- (c) Program-specific audit election. (*Not applicable to For-Profits*). When an auditee expends Federal awards under only one Federal program (excluding R&D) and the Federal program's statutes, regulations, or the terms and conditions of the Federal award do not require a financial statement audit of the auditee, the auditee may elect to have a program-specific audit conducted in accordance with §200.507 Program-specific audits. A program-specific audit may not be elected for R&D unless all of the Federal awards expended were received from the same Federal agency, or the same Federal agency and the same pass-through entity, and that Federal agency, or pass-through entity in the case of a subrecipient, approves in advance a program-specific audit.
- (d) Exemption when Federal awards expended are less than \$750,000. A non-Federal entity that expends less than \$750,000 during the non-Federal entity's fiscal year in Federal awards is exempt from Federal audit requirements for that year, except as noted in §200.503 Relation to other audit requirements, but records must be available for review or audit by appropriate officials of the Federal agency, pass-through entity, and Government Accountability Office (GAO).
- (e) Federally Funded Research and Development Centers (FFRDC). Management of an auditee that owns or operates a FFRDC may elect to treat the FFRDC as a separate entity for purposes of this part.
- (f) Subrecipients and Contractors. An auditee may simultaneously be a recipient, a subrecipient, and a contractor. Federal awards expended as a recipient or a subrecipient are subject to audit under this part. The payments received for goods or services provided as a contractor are not Federal awards. Section §200.331 Subrecipient and contractor determinations sets forth the considerations in determining whether payments constitute a Federal award or a payment for goods or services provided as a contractor.

(g) Compliance responsibility for contractors. In most cases, the auditee's compliance responsibility for contractors is only to ensure that the procurement, receipt, and payment for goods and services comply with Federal statutes, regulations, and the terms and conditions of Federal awards. Federal award compliance requirements normally do not pass through to contractors. However, the auditee is responsible for ensuring compliance for procurement transactions which are structured such that the contractor is responsible for program compliance or the contractor's records must be reviewed to determine program compliance. Also, when these procurement transactions relate to a major program, the scope of the audit must include determining whether these transactions are in compliance with Federal statutes, regulations, and the terms and conditions of Federal awards.

(h) For-profit *subrecipient*. Since this part does not apply to for-profit subrecipients, the pass-through entity is responsible for establishing requirements, as necessary, to ensure compliance by for-profit subrecipients. The agreement with the for-profit subrecipient must describe applicable compliance requirements and the for-profit subrecipient's compliance responsibility. Methods to ensure compliance for Federal awards made to for-profit subrecipients may include pre-award audits, monitoring during the agreement, and post-award audits. See also §200.332 Requirements for pass-through entities.