



**ARKANSAS GREEN TECHNOLOGY GRANT PROGRAM
GUIDEBOOK**

**GUIDELINES, FORMATS,
PROGRAM REQUIREMENTS
& DOCUMENTS**

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PURPOSE OF THIS PUBLICATION

The **ARKANSAS GREEN TECHNOLOGY GRANT PROGRAM Guidebook** The Green Technology Grant Program (GTGP) will utilize American Recovery and Reinvestment Act (ARRA) funds to supplement the state's efforts to build a green economy, save energy and create jobs. More specifically, this program is targeted to support companies that make products that contribute to renewable energy (RE) production or storage, energy efficiency (EE), or that provide a product resulting in an overall reduction in energy use in the state economy. The **Guidebook** identifies policies to be followed in submission of project application, preparing project calculations and provides the required format for presenting the projects to the Arkansas Energy Office for technical evaluation.

Questions or comments concerning the guidelines or format should be addressed to the Jeff Seiter, Industrial Program Manager, Arkansas Energy Office at (501) 682-8067.

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The Arkansas Energy Office website at
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SECTION I - INTRODUCTION

A. GTGP Program Summary

The Arkansas GTGP Program is a onetime grant that is targeted to support clean technology companies in Arkansas that make or sell products that contribute to renewable energy (RE) production or storage, energy efficiency (EE), or that result in an overall reduction in energy use in the state economy.

In compliance with DOE objectives and program activities allowed under the ARRA Grant Announcement, a wide range of activities will be funded as part of the mission of the GTGP with a preference toward projects that use ARRA funds as leverage to attract additional financing, investment or in-kind support.

B. GTGP Program Guidelines

To be eligible for a GTGP grant the project must meet the following program guidelines and requirements.

1. Project must be located in Arkansas.
2. Project must meet one or more of the following criteria:
 - **Technical Assistance:** Conduct energy assessments or audits; launch energy efficiency/renewable energy (EE/RE) benefit promotional and marketing activities or campaigns; participate in EE/RE measurement projects; conduct feasibility studies to facilitate access to capital and credit for EE/RE measurement projects.
 - **Facilities and Equipment Improvements:** The GTGP will encourage industries to modify patterns of energy consumption to reduce peak demands for energy and improve efficiency of energy supply systems. The GTGP will help companies that implement, expand, upgrade or demonstrate EE/RE products by funding equipment retrofits and processing improvements. Results will be measured by initially capturing baseline data and subsequently recording EE/RE progress or variance from the baseline in areas such as efficiency improvements and energy conservation.
 - **Renewable Energy Products:** Acquire, upgrade or demonstrate renewable energy products, equipment and materials for use in an operational setting, provided that any energy generation demonstration must be small scale. "Small scale" is defined as appropriately sized solar units on existing rooftops and parking shade structures, as well as 60kW systems or smaller installed on the ground within boundaries of an existing facility.
 - **Process Improvements:** Conduct industrial energy audits and replace energy efficient and renewable energy equipment and materials, in order to reduce energy consumption for production, manufacturing, assembly or distribution processes.
 - **Technology Improvements:** Support interaction with resources that can analyze existing techniques or technologies in order to speed improvements and deployment of commercially available EE/RE techniques and technologies. Applicants will be

encouraged to seek partnerships that develop and demonstrate advances in energy efficiency and clean technologies. Funds will be provided for travel, conferences, database research and other ancillary costs to facilitate interaction.

- **Workforce development:** Conduct education and training activities for employees related to the sale, installation and maintenance of green technology systems and equipment.
 - **Retrofits:** Assess the need for and fund building energy efficiency retrofits, specifically the replacement of existing equipment with more energy efficient equipment. This may be done in conjunction with introducing renewable energy technologies to the industry.
3. Project must be in compliance with all applicable federal, state and municipal laws, codes and regulation for work being performed. All required permits must be obtained prior to work.
 4. Failure to comply with the terms of this agreement or any of the attached federal or Arkansas Department of Finance and Administration (DFA) regulations may result in ineligibility to receive future grants funds.
 5. Grant reporting must be done electronically. The Arkansas Energy Office will provide electronic versions of all reporting forms. Grant recipient must have the capabilities to complete these forms online and submit them electronically.
 6. Any project that does not specifically have a National Environmental Policy Act (NEPA) categorical exclusion must receive a NEPA review to ensure compliance.
 7. Company must fill out a NEPA ES-1 questionnaire as part of the grant application process.
 8. If the value of the grant is greater than \$2,000.00 the company must meet the Davis Bacon Act criteria.
 9. Project must meet federal and state air and water quality standards.
 10. Project shall have a waste management plan addressing waste generated by the project that describes how any sanitary or hazardous waste generated as a result of the project will be disposed.
 11. Project must receive a National Historic Preservation Act (NHPA) review by the State Historic Preservation Office (SHPO).
 12. **If the purpose of the grant is to fund facilities and equipment improvements, the company will report results of the energy efficiency upgrade as follows:**
 - Results will be measured by initially capturing baseline data and subsequently recording EE/RE progress or variance from the baseline in areas such as efficiency improvements and energy conservation.
 - Number of jobs created or retained by the improvements
 - CO2 emissions avoided by the product of the company
 13. **If the purpose of the grant is for Technical Assistance, the company will report results as follows:**
 - Provide the AEO with a copy of the funded energy assessments or audits
 - Provide the AEO with a copy of the funded feasibility studies
 - Provide the AEO with a copy of the funded promotional and marketing plan
 - Number of jobs created or retained by the improvements
 - CO2 emissions avoided by the product of the company

14. **If the purpose of the grant is for renewable energy products, the company will report results as follows:**
 - Monthly report of power generated with quarterly and annual rollup of date.
 - Number of jobs created or retained by the improvements
 - CO2 emissions avoided by the product of the company
15. **If the purpose of the grant is for technology improvements, the company will report results as follows:**
 - Report of the conference(s) or research results.
 - Number of jobs created or retained by the improvements
 - CO2 emissions avoided by the product of the company
16. **If the purpose of the grant is for workforce development, the company will report results as follows:**
 - Provide the AEO with the lesson plan for the course
 - Provide the AEO a report for each class including number of students, hours of training and end of class evaluations.
 - Number of jobs created or retained by the improvements
 - CO2 emissions avoided by the production of the product of the company
17. A DUNS number must be obtained prior to the approval of GTGP grant. Dun & Bradstreet maintains a database containing information on more than 100 million businesses and government organizations worldwide. It provides a unique 9-digit ID for each physical location of an organization. DUNS number assignment is FREE for all organizations required to register with the U.S. government for contracts or grants. It can be obtained within one business day. (<https://eupdate.dnb.com/requestoptions.asp>)
18. A Central Contractor Registration (CCR) shall be obtained prior to the approval of an GTGP grant. CCR is the primary contractor database for the U.S. government. CCR collects, validates, stores and disseminates data in support of agency acquisition missions. (<https://www.bpn.gov/ccr/default.aspx>)
19. Recipient shall sign an American Recovery and Reinvestment Act of 2009 (ARRA) affidavit prior to the approval of the GTGP grant. The affidavit makes clear that false or misleading statements provided by a recipient in connection with these funds or any misappropriation of these funds will not only be treated as a violation of the award agreement resulting in the withholding of funds, debarment, or award termination or suspension, but may also result in civil or criminal penalties, including the possibility of substantial fines and jail time. The AEO is calling on recipients to require all sub-recipients to use the affidavit.
20. To ensure grants are available for multiple projects, no single company may receive more than 25 percent of the GTGP grant fund. On rare occasions, this limit may be waived by the AEO.
21. Company must provide and require their contractors to provide certification of general liability, vehicles, workers compensation and professional errors and omissions insurance as required.

22. Company must agree to comply with AEO's, General Assurances and Special Terms and Conditions. Copies of these documents will be provided with the grant agreement.

C. GTGP Program Process

Arkansas GTGP funds are distributed on a competitive basis. The AEO will have a 45 day time period to receive proposals. At the end of the 45 days, an advisory group will review all proposals and make awards based on the validity of the proposal and funds available. Grants will be administered by AEO staff. If funds are available after the initial or subsequent call for proposals additional 45 day periods will be initiated until all funds are obligated. If the proposed grant involves the retrofit of existing equipment or a process, then the applications shall contain an Energy Assessment Report (EAR) (instructions and format for the EAR is found in the Industrial Energy Technology Loan Program guide found at (<http://www.arkansasenergy.org/industry/incentives-and-programs/-industrial-energy-technology-loan-.aspx>)). If the proposed project involves installation of a renewable energy demonstration project, the renewable technology fund application shall be included in the grant package (instructions and format are found <http://www.arkansasenergy.org/energy-in-arkansas/energy-policy-and-legislation/recovery-2009/state-energy-program/renewable-technology-rebate-fund.aspx>)

Each project will be evaluated for its adherence to DOE goals:

- Projects that contribute to the energy efficiency and renewable energy portfolio of the state (such as accelerating the deployment of energy efficient or renewable energy products or technology in the state).
- Projects that promote the conservation of energy in the state.
- Projects that reduce the rate of growth of energy demand in the state.
- Projects that reduce dependence on imported oil in the state.

The Company must submit three copies of the application documents. The copies shall be in 1 inch three ring binders. The applications shall consist of:

- Grant Application
- Copy of EAR (if applicable)
- Copy of Renewable Technology Rebate fund application (if applicable)
- Copy of completed NEPA review form ES-1

Each grant application will be reviewed by an Advisory Group composed of personnel from the Arkansas Economic Development Commission staff, AEO, Arkansas Science & Technology Authority, and Arkansas Manufacturing Solutions. The Advisory Group may, at its discretion, use any expertise deemed necessary to review the project. A minimum of three people is required to have a quorum.

- Chairman: Arkansas Energy Office Director or designee
- Member: Arkansas Energy Office State Energy Program Manager or designee
- Member: Arkansas Science & Technology Authority President or designee
- Member: Arkansas Manufacturing Solutions Director or designee

- Member: Arkansas Economic Development Commission Director of Business Finance or designee

Once project approval has been granted, a Grant Agreement is issued. The Grant Agreement is a document that authorizes the company to proceed with the implementation of their projects.

1. Due to utilizing America Recovery and Reinvestment Act (ARRA) funding, the company shall provide these additional reports:
 - a. A monthly project progress report. Monthly reports must be submitted to the AEO no later than the 1st day of the month following the closing of the grant and each month thereafter on the 1st day of the month through duration of the project. The report should address progress on the project as it relates to the Scope of Work, budget and timeline and include the financial status of the project. The summary should also indicate any change in the Scope of Work or issues that have arisen that alter or delay progress.
 - b. If the project runs longer than a quarter or a calendar year, quarterly and annual rollups of the monthly reports shall be submitted to the AEO no later than the 15th day of the month following the end of the quarter or the 30th day following the end of the calendar year.
 - c. For the length of the ARRA program period, a monthly, quarterly and annual report of the measurement and verification of savings shall be submitted to the AEO for transmission to the Department of Energy no later than the 15th day of the month following the end of the month/quarter/calendar year (if applicable).
2. Closing out the project. Upon completion of the project, the borrower will submit a Final Completion Report to AEO.



APPENDIX A - GTGP GRANT APPLICATION FORM

1. COMPANY DATA

Company Name

Mailing Address

Street City County State Zip Code

2. COMPANY CONTACT PERSON:

Name: Title: Phone#: Fax#

3. Describe the purpose of the grant, location of the project, potential economic benefit to the State, potential energy savings, potential natural resource savings and potential reduction in greenhouse gas emissions (attach multiple pages as necessary)

4.
Total Grant Amount Requested:

7. CERTIFICATION

I do hereby certify that I am duly authorized to submit this application to the Arkansas Energy Office for a grant to be approved on the basis of economic and technical grounds on behalf of the submitting company. I further certify that the information presented is true, correct and accurate to the best of my knowledge.

Signature of Person Certifying

Title of Person Certifying

Submitting Company Name

MAIL APPLICATION MATERIALS TO:
Industrial Program Manager
Arkansas Energy Office
Attn: Jeff Seiter
900 West Capitol Suite 400
Little Rock, AR 72201

