

**FINANCIAL ASSISTANCE
FUNDING OPPORTUNITY ANNOUNCEMENT**



**U.S. Department of Energy
Energy Efficiency and Renewable Energy
Golden Field Office**

**State Energy Program 2012 Competitive Awards
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Application Due Date: 04/16/2012, 11:59 PM Eastern Time

REGISTRATION AND APPLICATION SUBMISSION REQUIREMENTS

Registration Requirements: Allow at least 21 days to complete registrations.

To submit an application under this announcement, complete the following registrations:

1. Obtain a Dun and Bradstreet Data Universal Numbering System (DUNS) number, at <http://fedgov.dnb.com/webform>.
2. Register in the Central Contractor Registration (CCR) system, at <https://www.bpn.gov/ccr/default.aspx>. Designating an E-Business Point of Contact (EBiz POC) and obtaining a special password called an MPIN are important steps in CCR registration. These items are needed to submit applications in Grants.gov. Update your CCR registration annually.
3. Register in Grants.gov at <http://www.grants.gov/>. See the Organization Registration User Guide at <http://www.grants.gov/assets/OrgRegUserGuide.pdf>. The Applicant User Guide is at <http://www07.grants.gov/assets/ApplicantUserGuide.pdf>.
4. Register in FedConnect at <https://www.fedconnect.net/>; use “Register as a Vendor” link. To create an organization account, your organization’s CCR MPIN is required.

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Where to Submit the Application Package:

APPLICATIONS MUST BE SUBMITTED THROUGH GRANTS.GOV TO BE CONSIDERED FOR AWARD. Follow instructions in the User’s Guide for application submissions. Applicants are responsible for verifying successful transmission, prior to the Application due date and time.

Where to Ask Questions About the Funding Opportunity Announcement Content:

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Where to Submit Questions About the Registrations or Systems:

DUNS & Bradstreet: govt@dnb.com

Central Contractor Registration (CCR) system: <https://www.bpn.gov/ccr/>

By phone: 866-606-8220 or 334-206-7828 (8:00 a.m. to 8:00 p.m., Eastern Time)

Grants.gov: support@grants.gov

By phone: 1-800-518-4726 (7:00 a.m. to 9:00 p.m., Eastern)

FedConnect: support@FedConnect.net

By phone: 1-800-899-6665 (8:00 a.m. to 8:00 p.m., Eastern)

Table of Contents

<u>Number</u>	<u>Subject</u>	<u>Page</u>
SECTION I – FUNDING OPPORTUNITY DESCRIPTION		
	A. Description	4
	B. Program Areas of Interest	5
SECTION II – AWARD INFORMATION		
	A. Type of Award Instrument.....	18
	B. Estimated Funding	18
	C. Maximum and Minimum Award Size.....	19
	D. Expected Number of Awards	19
	E. Anticipated Award Size	19
	F. Period of Performance	20
	G. Type of Application.....	20
SECTION III - ELIGIBILITY INFORMATION		
	A. Eligible Applicants	21
	B. Cost Match	21
	C. Other Eligibility Requirements.....	21
SECTION IV – APPLICATION AND SUBMISSION INFORMATION.....		
	A. Address to Request Application Forms.....	22
	B. Letter of Intent and Pre-Application.....	22
	C. Content and Form of Application.....	22
	D. Submissions from Successful Applicants	40
	E. Submission Dates and Times	40
	F. Application Due Date	40
	G. Intergovernmental Review	41
	H. Funding Restrictions.....	41
	I. Submission and Registration Requirements	42
SECTION V - APPLICATION REVIEW INFORMATION		
	A. Criteria.....	43
	B. Review and Selection Process.....	47
	C. Anticipated Notice of Selection and Award Dates.....	48
SECTION VI - AWARD ADMINISTRATION INFORMATION		
	A. Notice of Selection	48
	B. Administrative and National Policy Requirements.....	49
	C. Reporting	55
SECTION VII - QUESTIONS/AGENCY CONTACTS		
	A. Questions.....	56
SECTION VIII - OTHER INFORMATION.....		
	A. Amendments	56
	B. Government Right to Reject or Negotiate.....	56
	C. Commitment of Public Funds	57
	D. Proprietary Application Information.....	57
	E. Evaluation and Administration by Non-Federal Personnel	57
	F. Intellectual Property Developed under this Program.....	58
	G. Notice Regarding Eligible/Ineligible Activities.....	58
	H. Notice of Right to Conduct a Review of Financial Capability	58
	I. Notice of Potential Disclosure under Freedom of Information Act	58
	Appendix A – Definitions	59
	Appendix B – Personally Identifiable Information.....	63
	Appendix C – Budget Justification.....	65

SECTION I – FUNDING OPPORTUNITY DESCRIPTION

A. Description

The Office of Energy Efficiency and Renewable Energy’s (EERE’s) State Energy Program (SEP), seeks applications to advance policies, programs, and market strategies that accelerate job creation and reduce energy bills while achieving energy and climate security for the nation. This competitive Funding Opportunity Announcement (FOA) allows states to compete for funding designed to meet EERE nationally focused initiatives for the fundamental and permanent transformation of markets across all sectors of the economy. Specifically, this FOA focuses on three areas of interest:

Area of Interest 1 – Advancing Energy Efficiency in Public Facilities that will assist states to develop holistic, whole-building, deep retrofit programs or strategies across as broad a segment of the state’s public building portfolio as possible to achieve significant energy and cost savings.

Area of Interest 2 – Stimulating Energy Efficiency Action that will assist states in generating the necessary policy and program frameworks to support investment in cost-effective energy efficiency and establish or increase a statewide energy savings goal by calendar year 2015.

Area of Interest 3 – Improving or Developing A Fee-Based Self-Funded Public Facilities Energy Retrofit Program that will assist states in developing/improving and implementing a comprehensive and well-designed self-funded program which relies on a fee-for-services model that can successfully be used to retrofit public facilities statewide across many sectors (e.g., state buildings, municipal buildings, National Guard assets, school districts, water and wastewater treatment facilities, street lighting, etc.).

Background

The State Energy Program (SEP) provides formula and competitive grants to states. States use these awards to address their energy priorities and program funding to adopt emerging energy efficiency and renewable energy technologies. The mission of the SEP is to provide leadership to maximize the benefits of energy efficiency and renewable energy through technology deployment, communications and outreach activities, and accessing new partnerships and resources.

The SEP upholds the Department of Energy (DOE) Strategic Plan¹ Goals 1.2 and 1.4.

- Goal 1.2 - “Environmental Impact of Energy” aims to improve the quality of the environment.
- Goal 1.4 - “Energy Productivity” serves to cost-effectively improve the energy efficiency of the U.S. economy.

¹ DOE Strategic Plan

Congress authorized the DOE to allow for formula and competitive grants and/or cooperative agreements to the states under the SEP. DOE provides formula grants to states to design and carry out their own energy efficiency and renewable energy programs. In FY2012, the competitive portion of the SEP is providing \$15 million to fund grants and/or cooperative agreements that allow states to compete for funding designed to meet EERE nationally focused initiatives.

B. Program Areas of Interest

Area of Interest 1 – Advancing Energy Efficiency in Public Facilities

Number of Projects: Up to 30

Total Potential Award Funding: Up to \$10,000,000

Awards range from \$250,000- \$1,000,000

DOE is seeking applications for the development of programs and strategies to dramatically increase energy efficiency in state and local public facilities. Energy efficiency programs can produce, among other benefits, substantial energy and cost savings while demonstrating leadership and the economic competitiveness of clean energy, fostering markets for energy efficient products, services and technologies, and creating high-paying jobs in the clean energy industry. Projects in this area are specifically targeted to activities pertaining to state and local public facilities under the jurisdiction or influence of the state government and/or local government facilities in partnership with the state government. The goal of Area of Interest 1 is to assist states to develop holistic, whole-building deep retrofit programs/strategies with a well-structured set of elements and the use of one or more financing mechanisms to achieve significant energy and cost savings across as broad a segment of the state's public building portfolio as possible. This is in contrast to DOE's goal for projects in Area of Interest 3, which is outlined later in this FOA.

States are encouraged to develop new or strengthen existing public facilities energy efficiency programs by creating, enhancing, or expanding replicable best practices, activities, organizational structures, and techniques that will increase the amount of square footage retrofitted as a percentage of the total public facilities. States are also encouraged to also partner with local governments to include local and municipal buildings as a part of the submitted portfolio of public facilities, and to develop strategies that will allow resource leveraging to the greatest possible extent. States should pursue comprehensive programs and strategies that address the range of barriers hindering adoption of energy efficiency to a greater extent in public buildings. Common barriers to widespread adoption of public facilities energy efficiency programs are: (1) consumer access to information about how a building consumes energy and understanding occupant behaviors that lead to excessive energy consumption; (2) development of a qualified workforce to diagnose building performance problems, recommend solutions to those problems, and perform the work necessary to deliver the recommended solutions; and (3) readily available access to funding to pay for the retrofits through a variety of financial mechanisms.

For the purposes of this funding opportunity, public facilities under the jurisdiction or influence of the state government may include, but are not limited to: state, local and municipal buildings and offices, hospitals, schools, universities, water and waste-water treatment facilities.

DOE seeks to support applicants with various levels of experience in implementing efficiency programs in their public facilities. For Area of Interest 1 applicants will be categorized into three tiers based on the applicant's own assessment and documentation of this level of experience and the extent of implementation of whole-building retrofit projects that have occurred in public facilities to date. These categories are further defined later in this section of the FOA.

DOE Objectives:

- To support states in developing and implementing strong, whole-building retrofit programs or strategies that result in a 20% or better improvement/increase in energy efficiency across their selected portfolio of public facilities by 2020 from a 2011 baseline.
- To support states, or states in partnership with local governments, in better understanding the energy consumption of the facilities in their jurisdiction, benchmarking their energy use, identifying and addressing barriers to energy efficiency, and creating sector-based models of success that can be emulated by other state or local governments.
- To support programs or strategies that can showcase a project in the first nine months of the award period. A showcase project will demonstrate that awardees are taking immediate, concrete action resulting in significant savings. A compelling showcase project will produce significant energy and cost savings, with a preference for 20% or greater energy savings, is replicable and demonstrates to others how to take action, and is reflective of your commitment as a leader. Applicants are encouraged to have multiple showcases but are asked to identify at least one showcase project within three months of receiving the award and begin implementation within nine months.
- To support three categories of applicants with different levels of experience in implementing efficiency programs in their public facilities based on the applicant's own assessment and documentation of this level of experience and the extent of implementation of whole-building retrofit projects that have occurred in public facilities to date.
- To encourage and document innovative models of success that are not already well established or widely achieved in the marketplace through their demonstration in public facilities across several regions of the United States.
- To support the continued development of an energy efficiency workforce that will develop, produce, deploy, administer and verify efficiency measures. These would include positions along the entire energy efficiency value chain such as contractors, inspectors, manufacturers, managers and administrators, among others.

To the extent that an application proposes a program with one or more these elements or strategies, that portion of the application will not be reviewed or considered for funding. The following elements or strategies **do not** meet DOE's objectives for Area of Interest 1:

- Programs that include government assets other than buildings and facilities, such as fleets;
- Programs targeted to making new construction energy-efficient; and
- Programs that use award funds to design, develop, and implement energy efficiency retrofits and upgrades and do not include a sustainable third party funding source.

Definition of Whole-Building Retrofit:

A “whole-building retrofit” for purposes of designing a public facilities energy efficiency program/strategy under Area of Interest 1 is defined as being comprised of the following:

1. A pre-retrofit evaluation of the major energy-consuming systems and components of the facility or facilities utilizing diagnostic tools.

The evaluation must analyze the building's shell and thermal envelope (including air tightness); the heating, cooling, ventilation, water heating, and available energy control systems; and major appliances and plug loads. The evaluation must also determine whether any conditions put the building's occupants at major risk for health and safety problems. Examples of these conditions would be: excessive carbon monoxide as a result of an improperly functioning piece of equipment, appliance, or system; rot, mold, or mildew as a result of excessive moisture; or the presence of asbestos, lead, or other serious potential health hazard that could be disturbed as a result of work being done on the building. The evaluation should also identify occupant behaviors that lead to excessive energy consumption. The evaluation must provide effective recommendations that will reduce the energy consumption of the building, and make it a healthy, safe, and comfortable environment for the occupants to live or work. The evaluation should also include an actionable work scope that is agreed to by the evaluator and building's owner/occupants.

2. Work that will resolve the issues identified in the initial evaluation and included in the agreed-upon work scope.

The energy efficiency goal of the retrofit work should be to reduce the total energy consumption of a portfolio of government facilities by a minimum of 20%. Work should be done according to local and state code and permitting requirements, industry-accepted standard work specifications, and best practices. This may also include behavior modification as an element of the energy management plan to address any behavior identified in the evaluation that led to excessive energy use.

3. A post-retrofit evaluation of the building and its major systems and components.

This evaluation should determine whether the work completed was done correctly and had the intended effect while ensuring the health and safety of the building's occupants.

Key Elements of Activities:

For each Tier described below, applications must include an energy efficiency program or strategy that addresses all identified gaps or barriers that includes the following activities. Details about each of these elements are provided in the Project Narrative requirements for Area of Interest 1 in Section IV of this FOA.

- Identify team and work to develop the necessary partnerships;
- Garner the necessary program support from agencies/organizations;
- Develop a comprehensive baseline and set a significant energy savings target of 20% or greater involving whole building retrofits;
- Establish mechanisms for implementing the program;
- Develop list of and information on potential activities and measures for achieving the 20% goal across the entire building portfolio;
- Screen potential activities and measure according to key criteria and select final menu/prioritization; and
- Identify key sources of financing and develop mechanisms and partnerships.

Applicant Categories:

Under this area of interest, DOE seeks applications from states, groups of states, or state-local partnerships to increase energy efficiency in public facilities. Applicants are categorized into three tiers. States wishing to apply for funding under Area of Interest 1 must self-select which Tier they are applying for and provide the following to substantiate their selection:

- An estimate of the total number and square footage of public buildings and facilities under the jurisdiction of all government entities included in a single application under Area of Interest 1;
- An estimate of the number and square footage of these public buildings and facilities that have undergone some type of energy efficiency retrofit within the last 5 years; and
- A preliminary assessment or listing of the facilities that have had some level of retrofit occur within the last 5 years, along with the building/facility type(s) and an estimate of the extent (by square footage or other appropriate metric) of the retrofits that have already been implemented in each public building or facility.

Note that if states wishing to apply under Area of Interest 1 already have a comprehensive inventory of the public buildings and facilities as well as the other pertinent information requested for purposes of this FOA, they can submit that in lieu of estimates.

Each of the three tiers of applicants eligible for funding under Area of Interest 1 are described below along with the key activities to be accomplished as part of this funding award for that tier.

Tier 1: For states with an extensive level of experience in designing, developing and implementing substantial or whole-building retrofits in their public facilities but who may not have a comprehensive energy efficiency program/strategy. Applicants in this category will have implemented retrofit projects in 50-100% of total government building or facilities square footage.

Funds Available: \$3-5 Million

Size of Award: \$250,000-\$500,000 for proposals focused on public buildings only; up to \$1.0 Million if including private commercial buildings

Activities for Tier 1 applicants include:

- Develop a comprehensive inventory documenting the total number and square footage of public buildings and facilities under the jurisdiction of all government entities included in a single application under Area of Interest 1, the number and square footage of these public buildings and facilities that have undergone some type of energy efficiency retrofit within the last 5 years, and the types and extent (by square footage or other appropriate metric) of retrofits in each public building or facility.
- Identify the sector(s) of public buildings and facilities to be included in this project that need to do whole building retrofits to achieve the goal of 20% or greater improvement in energy efficiency across 100% of the total government buildings and facilities portfolio for all government entities included in the application, in terms of square footage.
- For Tier 1 government entity applicants that have already completed whole building retrofits in 85 -100% of their public buildings and facilities, the enrollment of private sector building is required.
- Applicants should include leading private sector entities as a part of their application; quality, size and impact of those partnerships will affect the application's merit rating.
- For all others in Tier 1, additional weight is given to the application private sector buildings are included.
- Conduct comparative analysis of existing state government efforts versus the required energy efficiency program/strategy elements and develop gap analysis outlining the activities and measures necessary to achieve them.
- Develop an energy efficiency program/strategy that addresses all of the identified gaps (see Key Elements of Activities).
- Implement the energy efficiency program/strategy; track, measure and report on program progress on a quarterly basis.
- Provide the data, models and tools developed to DOE.

Tier 2: For states with a moderate level of experience in designing, developing and implementing retrofits in their public facilities but who may not have a comprehensive energy efficiency program/strategy. Applicants in this category will have implemented retrofit projects in 10-49% of total government building or facilities square footage.

Funds Available: \$3-7 Million

Size of Award: \$250,000-750,000 for proposals focused on public buildings

Activities for Tier 2 applicants include:

- Develop a comprehensive inventory documenting the total number and square footage of public buildings and facilities under the jurisdiction of all government entities included in a single application under Area of Interest 1, the number and square footage of these public buildings and facilities that have undergone some type of energy efficiency retrofit within the last 5 years, and the types and extent (by square footage or other appropriate metric) of retrofits in each public building or facility.

- Identify the sector(s) of public buildings and facilities to be included in this project that need to do whole-building retrofits in order to achieve the goal of 20% or greater energy savings in at least an additional 50% of the total government buildings and facilities portfolio for all government entities included in the application, in terms of square footage.
- Conduct a comparative analysis of existing state government efforts versus the required energy efficiency program/strategy elements (see outline in Tier 1 description) and develop a gap analysis outlining the activities and measures necessary to achieve them.
- Develop an energy efficiency program/strategy that addresses all of the identified gaps (see Key Elements of Activities).
- Implement the energy efficiency program/strategy; track, measure and report on program progress on a quarterly basis.
- Provide the data, models and tools developed to DOE.

Tier 3: For states with little-to-no experience in designing, developing and implementing a comprehensive energy efficiency program/strategy focused on whole-building retrofits in their public facilities. Applicants in this category will have done no or very few retrofit projects in less than 10% of total government buildings or facility square footage.

Funds Available: \$2-5 Million

Size of Award: \$250,000-\$750,000

Activities for Tier 3 applicants include:

- Develop a comprehensive inventory documenting the total number and square footage of public buildings and facilities under the jurisdiction of all government entities included in a single application under Area of Interest 1, the number and square footage of these public buildings and facilities that have undergone some type of energy efficiency retrofit within the last 5 years, and the types and extent (by square footage or other appropriate metric) of retrofits in each public building or facility.
- Identify the sector(s) of public buildings and facilities to be included in the project that need to do whole-building retrofits to achieve the goal of 20% or greater energy savings in an additional 25% of the total government building and facilities portfolio for all government entities included in the application, in terms of square footage.
- Conduct comparative analysis of existing state government efforts versus the required energy efficiency program/strategy elements below and develop a gap analysis outlining the activities and measures necessary to achieve them.
- Develop an energy efficiency program/strategy that addresses all of the identified gaps (see Key Elements of Activities).
- Implement the energy efficiency program/strategy; track, measure and report on program progress on a quarterly basis.
- Provide the data, models and tools developed to DOE.

Area of Interest 2 – Stimulating Energy Efficiency Action in States

Number of Projects: Up to 8

Total Potential Award Funding: Up to \$2,000,000

Awards range from \$250,000 to \$750,000

Under this Area of Interest, DOE seeks applications from states or groups of states to increase investments in cost effective energy efficiency through ratepayer funded programs.

Applicant Categories:

Tier 1: For states or groups of states with little-to-no current electricity savings from ratepayer funded energy efficiency programs:

DOE seeks to help these states become leaders in reducing electricity consumption. Selected states will either: 1) establish a minimum annual statewide electricity savings goal of one percent, and achieve the goal through demand side energy efficiency programs implemented by utilities or other program administrators (states can “ramp up” to a minimum one percent goal through incrementally increasing performance targets approaching one percent over a reasonable amount of time²); or 2) identify and implement energy efficiency programs and estimate the associated savings to total a minimum of one percent annual statewide electricity savings. The following is the definition of states with little-to-no current savings from energy efficiency programs:

1. States that have achieved less than 0.50 percent savings relative to electricity sales based on 2008 data (from the American Council for an Energy Efficient Economy’s energy efficiency ranking of states based on savings as a percent of electricity sales, published in 2010³); or
2. States that have invested less than one percent of total electricity or gas revenues on energy efficiency (from the American Council for an Energy Efficient Economy’s energy efficiency ranking of states, published in 2010⁴); or
3. A state that does not meet either definition based on 2008 data can provide convincing evidence that it is below either of the thresholds, using data from 2009 or 2010.

Tier 2: For states or groups of states with moderate-to-significant current electricity savings from ratepayer funded energy efficiency programs:

DOE seeks to help states that have met or are on track to meet existing statewide electricity savings goals innovate beyond the “low hanging fruit” to capture deeper savings. Selected states will increase annual incremental electricity savings by a minimum of one percent and achieve the goal through demand side energy efficiency programs implemented by utilities or other program administrators. States can “ramp up” to a minimum one percent increase over a reasonable amount of time. The following is the definition of states with moderate-to-significant current savings from energy efficiency programs:

² For an example of incrementally increasing annual performance targets, see the Arkansas Public Service Commission Sustainable Energy Resources Action Guide at http://www.apscservices.info/pdf/08/08-144-U_153_1.pdf

³ Table 8, “2008 Incremental Electricity Savings by State” p. 15

⁴ Table 4, “2009 Electricity Efficiency Program Budgets by State” p. 11

1. States that have achieved 0.50 percent or more savings relative to electricity sales based on 2008 data (from the American Council for an Energy Efficient Economy's energy efficiency ranking of states based on savings as a percent of electricity sales, published in 2010); or
2. States that have invested more than one percent of total electricity or gas revenues on energy efficiency (from the American Council for an Energy Efficient Economy's energy efficiency ranking of states, published in 2010⁵); or
3. A state that does not meet either definition based on 2008 data but can provide convincing evidence that it is above either of the thresholds, using data from 2009 or 2010.

For either tier: should a state decide to address them, natural gas and transportation fuel savings should be additional to the minimum one percent electricity savings goal/increase. Area of Interest 2 will provide states with funding to stimulate ground-level development of results-based policies and programs through a stakeholder process that will aggressively decrease electricity consumption and bring the state similar levels of annual savings from energy efficiency as today's leading states.

The funding under this Area of Interest supports the stakeholder process that will lead to the identification of a suite of energy efficiency programs that will provide significant electricity savings, the adoption of the electricity savings goal/increase and the development of the implementation plan to achieve the goal/increase. The policy and program frameworks supporting this project should be created through collaboration with key stakeholders including governors, public utility commissions, utilities, legislators, and others. The project approach is expected to build on the National Action Plan for Energy Efficiency⁶.

The awards under Area of Interest 2 will provide funding for up to three years divided into two funding phases, with associated budget periods. The two phases are not required to be completed by a specific date, but both must be completed within the project period (3 years). The applicant should propose the amount of time associated with each phase.

- In Phase 1, the state identifies a suite of energy efficiency programs that will provide significant electricity savings, adopts an annual statewide electricity savings goal/increase of a minimum of one percent, and develops a viable implementation plan to achieve the goal/increase through supporting programs. In this phase, the State should facilitate a collaborative discussion with stakeholders. The goal/increase does not need to be achieved by the end of the project period, but the implementation plan must define when the goal/increase is expected to be achieved in addition to the milestones and schedule of specific actions that will enable it. For example, if a state adopts an Energy Efficiency Resource Standard of one percent in the first year of the project period, DOE does not expect the state to achieve that level of electricity savings by the second year of the

⁵ Table 4, "2009 Electricity Efficiency Program Budgets by State" p. 11

⁶ More information on the National Action Plan for Energy Efficiency can be found at <http://www.epa.gov/cleanenergy/energy-programs/suca/resources.html>

project period. However, the state should develop and approve an implementation plan indicating how and when the one percent goal/increase will be achieved.

- In Phase 2, the state begins execution of the implementation plan developed in Phase I. As mentioned above, the implementation plan is not required to be completed by the end of the project period, but it is required to be started.

The result of the stakeholder process may lead a state to pursue one or more of the following to implement the established electricity savings goal/increase:

- Energy Efficiency Resource Standard (EERS): Similar to a Renewable Portfolio Standard, an EERS sets annual energy efficiency targets and requires a percentage reduction in energy use from energy efficiency measures.⁷
- Integrated Resource Plan (IRP) with robust energy efficiency: An IRP is a long-range utility plan for meeting the forecasted demand for energy within a defined geographic area. Demand side energy efficiency can contribute to meeting future demand as an energy resource.⁸
- Increased Energy Efficiency Programs with Estimated Energy Savings: See the Rapid Deployment Energy Efficiency (RDEE) Toolkit for examples of state and local programs.⁹
- Other Energy Efficiency Savings Strategy.

States must address the following in their Project Narrative if applying under Area of Interest 2:

1. The application of the goals and steps outlined in the National Action Plan for Energy Efficiency “Vision for 2025” document¹⁰ to their project;
2. An outline of a collaborative stakeholder process and likely stakeholder group members as well as any relevant stakeholder process(es) currently ongoing in the state;
3. The energy consumption baseline that exists in the state or will be developed for use in tracking progress towards achieving the adopted energy efficiency goal/increase;
4. The specific policy and programmatic opportunities currently in the state for electricity savings through ratepayer funded energy efficiency programs (In other words, the applicant should describe why the state is currently well positioned to take advantage of this funding and why a successful outcome is likely if it is selected);
5. The resource capacity of the State Energy Office (SEO) to manage the project to successful completion;

⁷ See the ACEEE research report “Energy Efficiency Resource Standards: A Progress Report on State Experience” <http://www.aceee.org/research-report/u112>

⁸ See the National Action Plan’s “Guide to Resource Planning with Energy Efficiency” http://www.epa.gov/cleanenergy/documents/suca/resource_planning.pdf

⁹ The RDEE Toolkit is available at http://www.epa.gov/cleanenergy/documents/suca/rdee_toolkit.pdf
This document can be found at <http://www.epa.gov/cleanenergy/energy-programs/suca/resources.html>

6. Any known challenges to meeting the objectives of Phase 1 and Phase 2, and strategies to address them.
7. Technical assistance or other identified needs critical to a successful outcome.
8. Other states that can serve as models or mentors for the specific policy and/or programmatic path most promising for the state to achieve the goal.

DOE will provide support to selected states through technical assistance; monitor and evaluate strategies and action plans and provide input as appropriate; and work closely with the state to ensure established milestones are met.

Area of Interest 3 – Improving or Developing A Fee-Based Self-Funded Public Facilities Energy Retrofit Program

Number of Projects: up to 12

Total Potential Award Funding: up to \$5,000,000

Awards range from \$250,000 to \$750,000

DOE is seeking applications for the development of Fee-Based, Self-Funded Public Facilities Energy Retrofit Program models by states for implementation in retrofitting public buildings and facilities in their jurisdiction. The goal is to assist states in developing/improving and implementing a comprehensive and well-designed self-funded program which relies on a fee-for-services model that can successfully be used to retrofit public facilities statewide across many sectors (e.g., state buildings, municipal buildings, National Guard assets, school districts, water and wastewater treatment facilities, street lighting, etc.). The goal of Area of Interest 3 is to help states stand up good models of a sustainable mechanism for providing a continuous source of financing for public building retrofits and to demonstrate the model on a small-to-medium scale in one or more types of public buildings to ensure its workability and success, and then to be able to replicate it more widely in the state's portfolio of public buildings. This is in contrast to DOE's goal for projects in Area of Interest 1 of this FOA.

One common example of a fee-for-services model a number of states have used is an Energy Savings Performance Contracting Program, or ESPC Program. In ESPC programs, the Energy Service Company (ESCO) provides customers with a comprehensive set of energy conservation, renewable energy, and/or distributed generation measures Energy Conservation Measures (ECMs) and guarantees that the energy savings will finance the full cost of the retrofit project. A program's oversight and administrative fee can be added as a cost element in the performance contracting project to be paid for through the guaranteed energy savings stream.

Such fee-for-services programs can provide important technical assistance to clients, resulting in more and deeper retrofit projects. This helps to ensure the longevity of the program, continuing project oversight, and creates sustainable, well-paying jobs in the industry. Key advantages of using this ESPC fee-based model example, are that a service provider guarantees the energy savings and reimburses the client agency for any savings shortfalls. This can also be a turnkey solution providing all the services required to design and implement a comprehensive energy efficiency retrofit, from the initial energy audit, through commissioning and verification of energy savings. Furthermore, because these programs are a source of third-party financing, the client agency is able to construct projects sooner, preserve scarce capital dollars and leverage

appropriation dollars through combining energy savings with grants, utility rebates, and bonds to, essentially “do more with less.”

A fee-for-service program can be used as a full-circle model that goes beyond retrofitting the energy-consuming systems and components of a set of buildings. In addition to the retrofit activities themselves, a well-designed fee-for-services program will also have the capacity to fund technical assistance, administrative, and education activities supporting energy retrofit projects in public facilities. For example, some states design their models to include a modest fee on each project to offset statewide program operation costs, in addition to the public facility retrofits. The self-sustaining elements of this approach result in the energy savings from facility retrofits paying for both the retrofit of the buildings and the delivery of statewide program services, which encourage and aid state and local agencies in identifying and implementing additional energy retrofit projects, and provides a continuous stream of investment that supports and creates local clean energy jobs.

States are encouraged to develop full-circle fee-for-services programs designed with best practices that have been tested in states with existing programs that successfully deliver cost-effective energy savings and other benefits. States should develop programs that, once demonstrated, can be applied statewide, support localities, result in new or improved self-funded program design mechanisms, and reflect recognized program best practices working in existing programs. In addition, states should gear the programs they develop toward a model or models that will facilitate ongoing retrofits across the state in a variety of public building types/sectors. The programs states develop should be built to leverage existing experience with public facilities retrofits and address any state-specific barriers (e.g. lack of champions, prior failures, restrictive legislation, etc.) to implementing a fee-based self-funded program.

Program Elements:

A well-designed fee-based, self-funded public facilities energy retrofit program under Area of Interest 3 is defined as, but not limited to, the following elements:

1. **Comprehensive Building Energy System Retrofits/Upgrades:** Programs should be designed to assist client agencies to engage in deep, comprehensive whole building approach retrofits, leveraging savings from quick return on investment ECMs to help pay for implementing measures with longer payback periods; for example using savings from lighting upgrades to fund needed boiler and chiller replacements. Many companies are comfortable bundling simple pay back measures from multiple individual projects to achieve comprehensive buildings retrofits.
2. **Strong Leadership, Champions, Legislative and Gubernatorial Support:** Programs should establish the state energy office as the point agency and the source for information on the fee-based, self-funded public facilities energy retrofit program. Utilize legislative and gubernatorial powers to establish the program as a priority for the state agenda and ensure that legislation allows for a fee-based mechanism. Establish support from state decision-makers across such disciplines as legal, procurement, financing, facilities management, communication and other areas which the program would intersect with to advance program acceptance and adoption.

3. **Standardized Processes and Contracts:** The program should be designed to standardize its engagement/support processes through formalizing process steps, schedules, and developing state approved contract templates. Standardization of contract instruments such as project audits, service contracts, financial instruments, and evaluation protocols and data collection would reduce transaction costs, and accelerate retrofits thus creating jobs and, spurring innovation. Additionally, program guidelines would lend transparency and outline the program's level of services, fee schedules, and program's roles and responsibilities as well as the end-users.
4. **Financing Services:** The program should educate participants on the different methods of financing available as it impacts the scope of the project and the amount of risk that the client agency assumes. The program should also identify any incentives available such as utility incentives, grants, tax deductions/credits, etc. as well as any applicable state financing programs such as revolving loan funds or green banks. Additionally, the program should explore standard financing protocols; pre-qualify lenders and the development of a financing pool which all end-users could tap into.
5. **Technical Assistance, Administrative and Education Services:** The program should also be designed to offer a variety of services to help decision-makers initiate and complete successful public facilities energy retrofits. The program should have a designated program manager, and staff/ consultant(s) to provide technical assistance to end-users, education and administrative services. Some of the Program services could include: 1) program administration to pre-qualify service providers, establish standardized state-approved contract templates, and end-user contractor selection assistance; 2) engineering oversight of the audit, contract documentation, and measurement and verification process; 3) contract negotiation of technical, financial and legal issues; 4) construction management oversight through the design, construction and commissioning process, and 5) information to end-users on the value and benefits of energy efficiency and on the services of the Program. 6) Continual education support of technical assistance providers to ensure quality oversight and successful projects. These activities should be funded by a sustainable, dedicated fee.
6. **Data Collection, Benchmarking and Measurement and Verification (M&V) Services:** The program should establish a common set of metrics and collect data in a systematic way, enabling benchmarking across agencies of the program, as well as to report on the program's efforts. Good data are among the prerequisites for setting energy efficiency policy and understanding of building energy performance. Organizations that measure and manage their energy use are more likely to implement energy efficiency improvements. The Program should determine how it will track and collect data on its public facility retrofits and what benchmarking and energy management tools will be implemented.

The program should develop a protocol and standards around M&V to verify the guaranteed energy savings occurred, and illustrate that savings are real and thus break down this barrier. The energy savings guarantee typically lasts only during the period of on-going M&V. The frequency of M&V reporting can vary depending on the needs of the client agency or the project. M&V reporting can be done multiple times per year or at a minimum annually. In developing protocols the program will need to balance the need for information about the

actual energy savings against the cost for the M&V reporting interval selected.

7. Education and Outreach: The program should establish different levels of outreach and information dissemination to make the business case for energy efficiency and accelerate the adoption of energy efficient practices and drive program demand. The different communication campaigns could include:
 - A. A broad outreach campaign to highlight the correlation between public building retrofits and economic development and job creation, as this may be new information to some of the nation's leadership. A coordinated, well delivered message illustrating the benefits of energy efficiency for Governors, legislatures, end-users and tax payers.
 - B. A directed outreach effort to client agencies educating on the value of energy efficiency, the cost in delaying retrofits and the services/value of the program.
 - C. Plan to report out program success to leaders and tax-payers.
8. Public Private Partnerships: The program should look to establish stakeholder groups that can support its efforts to retrofit public facilities and highlight the value of energy efficiency. In an era of limited resources stakeholder groups can be instrumental helping to educate client agencies on the cost of delaying retrofits, on program services and to help disseminate information to decision makers and the public on the economic benefits of energy efficiency. These groups can also be instrumental in assisting in developing best practices and finding solutions to program barriers.

Applicant Categories:

Under this Area of Interest, DOE seeks to help states develop and implement best practice fee-based self-funded model programs to retrofit public facilities. Applicants are categorized into two tiers based on their level of experience or use of these programs. States wishing to apply for funding under Area of Interest 3 must self-select which Tier they are applying for and provide supporting information to substantiate their selection, such as a summary of activities and experience with such programs and any documentation on established best practice.

Tier 1: For states with established, public facilities energy retrofit programs that incorporate aspects of fee-for-services mechanisms to improve and/or build upon their models to enable significant scaling of their use in the public facilities sector.

Applicants in this category will have moderate-to-substantial levels of public facilities energy retrofit activity and some established fee-for-services or performance contracting best practices which includes at least three of the following: 1) a program champion; 2) Gubernatorial support via executive order or legislation; 3) list of prequalified energy services companies; 4) education and outreach activities and 5) data collection.

Tier 1: applicants will outline their approach for the development, demonstration and implementation of a robust fee-for-services, public facilities energy retrofit program. The implementation plan will also be designed to scale up from a demonstration to encompass all state building stock and partnering municipalities. The program plan should address the program elements outlined above as well as some of the items listed below:

- Solutions to increase the volume and pace of public facility retrofits;
- Enhance traditional retrofit approaches by integrating advanced or emerging, cost effective efficiency technologies;
- Ongoing educational services oversight and technical assistance;
- Continued monitoring or periodic commissioning and the measured performance of any advanced technologies installed; and
- Program self-evaluation measures.

Tier 2: For states to successfully develop and implement a well-designed fee-based self-funded public facilities energy retrofit program that is demonstrated in a defined set of public buildings.

Applicants in this category will have no established performance contracting or fee-for-services program or are in the early stages of model development and program implementation.

Tier 2: applicants will outline their approach for the development, demonstration and implementation of a successful fee-for-service, public facilities energy retrofit program. The program plan should address the program elements outlined above as well as some of the items listed below:

- Comprehensive building retrofits;
- Strong leadership, champions, legislative and gubernatorial support;
- Standardized processes and contracting;
- Financing services;
- Technical assistance, administrative and education services;
- Data collection, benchmarking and measurement and verification;
- Education and outreach, and
- Public and private partnerships

SECTION II – AWARD INFORMATION

A. Type of Award Instrument

Grants and Cooperative Agreements

- DOE anticipates awarding both grants and cooperative agreements under this program announcement. If it is determined that a cooperative agreement is the appropriate award instrument, the nature of the Federal involvement will be included in a special award condition.

B. Estimated Funding

Amount New Awards

- Approximately \$15,000,000 is expected to be available for new awards under this announcement. All awards under this announcement are subject to the appropriation and availability of funding.
 - Up to \$10,000,000 million for Area of Interest 1: Advancing Energy Efficiency in

- Public Facilities;
- Up to \$2,000,000 for Area of Interest 2: Stimulating Energy Efficiency Action in States;
- Up to \$5,000,000 for Area of Interest 3: Improving or Developing A Fee-Based Self-Funded Public Facilities Energy Retrofit Program.

C. Maximum and Minimum Award Size

- Ceiling (i.e., the estimated maximum amount for an individual award made under this announcement): \$ 1,000,000
- Floor (i.e., the estimated minimum amount for an individual award made under this announcement): \$ 250,000

D. Expected Number of Awards

Number of Awards Depending on Size

- DOE anticipates making 20-35 awards under this announcement depending on the size of the awards, and funding availability.

Number of Awards per Program/Areas of Interest

- Under this announcement, DOE expects to make the following number of awards for each Program/Areas of Interest:

Program/Areas of Interest	Number of Awards
Advancing Energy Efficiency in Public Facilities	Up to 30
Stimulating Energy Efficiency Action in States	Up to 8
Improving or Developing A Fee-Based Self-Funded Public Facilities Energy Retrofit Program	Up to 12

E. Anticipated Award Size

Award Size Per Program Area

- The anticipated award size for projects under each Program/Areas of Interest in this announcement is:

Program/Topic Area	Anticipated Award Size
Advancing Energy Efficiency in Public Facilities	\$250,000 to \$1,000,000
Stimulating Energy Efficiency Action in States	\$250,000 to \$750,000
Improving or Developing A Fee-Based Self-Funded Public Facilities Energy Retrofit Program	\$250,000 to \$750,000

F. Period of Performance

Area of Interest 1: Advancing Energy Efficiency in Public Facilities

- DOE anticipates making awards that will run for up to three (3) years.

Area of Interest 2: Stimulating Energy Efficiency Action in States

- DOE anticipates making awards that will run for up to 36 months over two budget periods. The first budget period will cover Phase 1 with a potential for a continuation for Phase 2, contingent upon the outcome of the go/no decision point of the first budget period.

A go/no-go decision point should be included in all project applications at the end of Phase I. Upon completion of the competitive project review (down-selection process), DOE will determine whether Phase II will be funded for project continuation. DOE, at its discretion, will make one of the following decisions for each award at the end of Phase I:

- “Go” Forward – the project is on track and satisfies the competitive project review criteria, minimal or no modifications are required, work is acceptable, the proposed work plan for the next performance phase is acceptable, funding is available and the project continues to be appropriate to the mission and goals of SEP.
- “Go Differently” – the project requires a redirection of work under the project as a condition of continued funding. This may be due to the recipient not fully satisfying the competitive project review and DOE determines the deficiencies can be resolved with a redirection;
- “No-Go” – the project will be terminated and DOE will not provide further funding, subject to negotiation of final deliverables. This may be due to the recipient not satisfying the competitive project review criteria, irresolvable technical difficulties, changes to the SEP mission, goals or portfolio or lack of appropriated funds. Should the project be terminated, the final annual report will be accepted by SEP to fulfill the final technical report requirement.

Area of Interest 3: Improving or Developing A Fee-Based Self-Funded Public Facilities Energy Retrofit Program

- DOE anticipates making awards that will run for up to three (3) years.

G. Type of Application

New Applications Only

- DOE will accept only new applications under this announcement (i.e., applications for renewals of existing DOE funded projects will not be considered).

- Area of Interest 1: Advancing Energy Efficiency in Public Facilities:
States may submit either a state-specific application or a state-local partnership application.
- Area of Interest 2: Stimulating Energy Efficiency Action:
States may submit a state-specific application.
- Area of Interest 3: Improving or Developing A Fee-Based Self-Funded Public Facilities Energy Retrofit Program:
States may submit either a state-specific application or a state-local partnership application.

States could potentially receive awards from all three Areas of Interest, however separate applications are required for each area of interest an applicant would like to be considered for.

SECTION III - ELIGIBILITY INFORMATION

A. Eligible Applicants

Restricted Eligibility

In accordance with 10 CFR 600.6(b), eligibility for award for Areas of Interest 1, 2 and 3 is restricted to the 50 States, the District of Columbia, American Samoa, Guam, the Northern Mariana Islands, Puerto Rico and the US Virgin Islands. Applications must be submitted by the State Energy Office (SEO) or other agency responsible for administering the State Energy Program pursuant to 10 CFR 420, although States may work in collaboration with non-State entities. Non-State entities interested in collaborating with their respective State Energy Office must contact their respective SEO.

B. Cost Match

Cost Match 20%

The Recipient cost match must be at least 20% of the total Federal Funds allocated. Total Estimated Project Cost is the sum of the Federal Government share and Recipient match of the estimated project costs. The Recipient's cost match must come from non-Federal sources unless otherwise allowed by law. By accepting Federal funds under this award, you agree that you are liable for your percentage match of Federal Government share, on a budget period basis, even if the project is terminated early or is not funded to its completion. See 10 CFR Part 420.

C. Other Eligibility Requirements

DOE National Laboratories/FFRDCs (Labs) will not be allowed as Applicants or as partners.

SECTION IV – APPLICATION AND SUBMISSION INFORMATION

A. Address to Request Application Forms

Application forms and instructions are available at Grants.gov. To access these materials, go to <http://www.grants.gov>, select “Apply for Grants,” and then select “Download Application Package.” Enter the CFDA and/or the funding opportunity number located on the cover of this announcement and then follow the prompts to download the application package. (Also see Section H of this Part below.)

B. Letter of Intent and Pre-Application

1. Letter of Intent

Letters of Intent Not Required

- Letters of Intent are not required.

2. Pre-application

Pre-applications Not Required

- A pre-application is not required.

C. Content and Form of Application

You must complete the mandatory forms and any applicable optional forms, in accordance with the instructions on the forms and the additional instructions below, as required by this FOA. **Files that are attached to the forms must be in Adobe Portable Document Format (PDF) unless otherwise specified in this announcement.**

Once the forms below have been completed, save the Application Package in a single file, using up to 10 letters of the Applicant’s Organization Name as the file name (e.g., Company). If your organization is submitting more than one Application, you must identify an application number at the end of each file name (e.g., Company-1). If your organization is submitting more than one Application to different areas of interest, you must identify an application number and the Area of Interest Number at the end of each file name (e.g., Company-1-Area of Interest 1).

1. SF 424 - Application for Federal Assistance

Complete this form first to populate data in other forms. Complete all required fields in accordance with the instructions on the form. The list of certifications and assurances referenced in Field 21 can be found at:

<http://energy.gov/management/downloads/certifications-and-assurances-use-sf-424> under Certifications and Assurances.

2. Project/Performance Site Location(s)

Indicate the primary site where the work will be performed. If a portion of the project will be performed at any other site(s), identify the site location(s) in the blocks provided. **Note**

that the Project/Performance Site Congressional District is entered in the format of the 2 digit state code followed by a dash and a 3 digit Congressional district code; for example, VA-001. In the form, hover over this field for additional instructions.

Use the “Next Site” button to expand the form to add additional Project/Performance Site Locations.

3. Other Attachments Form

Submit the following files with your application and attach them to the Other Attachments Form. Click on “Add Mandatory Other Attachment” to attach the Project Narrative. Click on “Add Optional Other Attachment,” to attach the other files.

a. Project Summary/Abstract File

The project summary/abstract must contain a summary of the proposed activity suitable for dissemination to the public. It should be a self-contained document that identifies the name of the applicant, the project director/principal investigator(s), the project title, the objectives of the project, a description of the project, including methods to be employed, the potential impact of the project (i.e., benefits, outcomes), and major participants (for collaborative projects). This document must not include any proprietary or sensitive business information, as the Department may make it available to the public if an award is made. The project summary must not exceed 1 page when printed using standard 8.5” by 11” paper with 1” margins (top, bottom, left and right), single spaced, with font not smaller than 11 point. Save this information in a file named “Summary.pdf,” and click on “Add Optional Other Attachment” to attach.

b. Project Narrative File - Mandatory Other Attachment

The project narrative must not exceed 30 pages, including cover page, table of contents, charts, graphs, maps, photographs, and other pictorial presentations, when printed using standard 8.5” by 11” paper with 1 inch margins (top, bottom, left, and right), single spaced. EVALUATORS WILL REVIEW ONLY THE NUMBER OF PAGES SPECIFIED IN THE PRECEDING SENTENCE. The font must not be smaller than 11 point. Do not include any Internet addresses (URLs) that provide information necessary to review the application. See Section VIII.D for instructions on how to mark proprietary application information. Save the information in a single file named “Project.pdf,” and click on “Add Mandatory Other Attachment” to attach.

b-1. For Area of Interest 1, Advancing Energy Efficiency in Public Facilities:

The project narrative must not exceed 30 pages and must include:

- **Merit Review Criterion Discussion:**

This section should be formatted to address each of the merit review criterion and sub-criterion listed in Part V. A. below. Provide sufficient information so that reviewers will be able to evaluate the application in accordance with these merit review criteria. DOE WILL EVALUATE AND CONSIDER ONLY THOSE APPLICATIONS THAT ADDRESS SEPARATELY EACH OF

THE MERIT REVIEW CRITERION AND SUB-CRITERION.

- **Executive Summary:**
Provide a brief description of the project that includes a clear, concise statement of the specific objectives/aims, quantifiable goals/milestones and expected measurable results of the proposed project.
- **Approach:**
Describe the overall strategy of the project and outline the method and degree to which said strategy is intended to promote more wide-spread adoption of building retrofits and energy-saving activities. Identify barriers to widespread adoption of building retrofits in the proposed public facilities portfolio and describe why the proposed programs and activities will overcome those barriers. The full portfolio of programs and strategies in partnership with different organizations should be clearly outlined with an explanation of how key challenges are being addressed by this approach. The plan should also discuss the process that will be used to develop and validate a method to determine cost-effectiveness of strategy and the overall project. Although the detailed partnership and capabilities of the team are to be described in later sections, this section should contain a high-level discussion of how collaboration with other organizations adds value to the effort.
- **Portfolio Definition:**
Names of the government agencies/departments and a description of the public facilities included in the government portfolio for which the efforts are being concentrated through this application, including the building/facility type, age, size and square footage, location, and key use/features (e.g., offices, data center, classrooms, warehouse, etc.). The Portfolio Definition should also state why these facilities were selected, how the boundaries are determined, and describe program participant eligibility requirements. The Portfolio Definition must be broad enough to require the retrofit of a substantial number of buildings to reach the 20% goal. States with existing public facility retrofit programs with track records will likely have a greater Portfolio Definition than that for states with no established or a limited state facility retrofit program.
- **Description of Energy Efficiency Program/Strategy Development Process:**
Provide details of the process the applicant(s) will use to develop the energy efficiency program/strategy, including the elements outlined below.
 - Program Support and Team- Evidence of executive level leadership from the government entities involved that will fully support the development and implementation of policy mechanisms and promote efforts necessary to advance the state's energy efficiency efforts in public facilities. Also include key

agencies (e.g., the state and/or local equivalent(s) of the federal Government Services Administration (GSA) with the authority to provide stewardship of public buildings and facilities), personnel and stakeholders who will be able to advance the goals and outcomes of the plan by providing valuable input to the implementation process and serving as program champions in the community.

- **Market Actor Integration** - Describe how, to what extent, and in what timeframe appropriate stakeholders for the program will be engaged in the overall effort to retrofit buildings. Examples of Market Actors include: Energy Service Companies (ESCOs), contractors, real estate professionals, financial institutions, retailers, manufacturers, program sponsors, auditors, trade organizations, educational institutions, government agencies, utilities, etc.
- **Barriers** - Provide a summary description of the proposed approach to identify, analyze, and respond to perceived barriers associated with the proposed project. As a minimum, include the initial identification of significant technical, resource, and management issues that have the potential to impede project progress and strategies to minimize impacts from those issues.

This section may also include a discussion of how team and key stakeholders should address any commonalities (such as risk aversion, willingness to be early adopters, lack of buy-in by operations staff, etc.) that tend to support or sabotage the proposed approach, and include measures to enhance or mitigate these identified team strengths and weaknesses so program sustainability can be achieved.

- **Showcase Project**- Provide a brief summary of a project, involving one or more of the facilities included in your selected public portfolio, that the state will retrofit and that can showcase how a government entity can encourage and achieve significant energy and cost savings. Showcase projects are not intended to be exhaustive case studies, or focused on the technical details of energy efficiency, but will include projects that meet the 20% or greater energy savings goal, apply all the required elements, and can provide high level stories of the development, implementation and results of real projects that create significant reduction in energy intensity.
- **Data/Benchmarking**-Describe what you plan to measure at the program and project levels, how you plan to collect and monitor it, and what format you will use to provide it to DOE so that it can be shared. Applicants must use a benchmarking tool such as the

Environmental Protection Agency's Portfolio Manager or equivalent using real energy usage data to create a baseline of energy use and show the results of building retrofits.

Under this funding announcement awardees might be required to submit data on building characteristics and energy use, to support the Department of Energy (DOE), National Laboratories, and others on analysis and evaluation of building performance.

- Sustainability and Post Period of Performance- Describe the long-term plan for program delivery during and beyond the period of performance. Also address from where and how funding resources will be obtained to continue the project beyond the period of performance. If utilizing a self-sustaining financial mechanism, describe its function. Possible finance programs or strategies that leverage private capital include:
 - Utility On-Bill Financing
 - Energy Savings Performance Contracts
 - Revolving Loan Funds
 - Credit Enhancements such as Loan Loss Reserves and Debt Service Reserves
 - Other innovative financing mechanisms
 - Financing program(s) that are designed to meet appropriate conforming standards to support sales into secondary financial markets
 - Statewide and/or regional aggregation of disaggregated retrofit markets

Also include a discussion on the post period of performance maintenance. This should include how the energy efficiency efforts made during the period of performance will be sustained by addressing potential gaps such as through training, retro- or continuous commissioning, periodic monitoring and valuation, etc.

- Schedule/Deliverables - Provide a timeline of the project (similar to a Gantt chart) broken down by each task and subtask, as described in the Statement of Project Objectives (SOPO). The timeline should include for each task, a start date, and end date. The timeline should show interdependencies between tasks and include major milestones and deliverables. Milestones should be quantitative and show progress toward project goals.

Note: During project performance, the Recipient will report the status of milestones and deliverables as part of the required quarterly Progress Report as prescribed under the Reporting Requirements Checklist. The progress

report shall include actual performance as compared to the schedule/deliverables provided by the SOPO, which includes:

- 1) The actual status and progress of the project,
- 2) Specific progress made toward achieving the project's milestones, and,
- 3) Any proposed changes in the project's schedule required to complete milestones.

- Funding and Costing Profile - Provide a table (the Project Funding Profile) that shows the total amount of funding going to each project team member. Also provide a table (the Project Costing Profile) that forecasts, by month, the expenditure of funds for each year of the project.

Bibliography And References, If Applicable:

Provide a bibliography for any references cited in the Project Narrative section. This section must include only bibliographic citations.

Statement Of Project Objectives (SOPO):

The Statement of Project Objectives must contain a clear, concise description of all activities to be completed during project performance and follow the structure discussed below. It is therefore required that it shall not contain proprietary or confidential business information.

The Statement of Project Objectives is generally less than 10 pages in total and is excluded from the 30-page limit of the Project Narrative. It forms the basis for and is incorporated within the Financial Assistance award instrument. Applicants shall prepare the Statement of Project Objectives in the following format:

TITLE OF WORK TO BE PERFORMED (Insert the title of work to be performed. Be concise and descriptive.)

A. OBJECTIVES

Include one paragraph on the overall objective(s) of the work. Also, include objective(s) for each phase of the work.

B. SCOPE OF WORK

This section should not exceed one-half page and should summarize the effort and approach to achieve the objective(s) of the work for each Phase.

C. TASKS TO BE PERFORMED

Tasks, concisely written, should be provided in a logical sequence and should be divided into the phases of the project, as appropriate. This section provides a brief summary of the planned approach to this project.

PHASE I

Task 1.0 - Program/Strategy Plan

Subtask 1.1

(Description)

Task 2.0 - (Title)

PHASE II (Optional)

Task 3.0 - (Title)

D. DELIVERABLES

The periodic and final reports shall be submitted in accordance with the attached "Federal Assistance Reporting Checklist" and the instructions accompanying the checklist.

Note: The Recipient shall provide a list of deliverables other than those identified on the "Federal Assistance Reporting Checklist" that will be delivered. These reports shall also be identified within the text of the Statement of Project Objectives. See the following examples:

1. Task 1.1 - (Report Description)
2. Task 2.2 - (Report Description)

b-2 For Area of Interest 2, Stimulating Energy Efficiency Action:

The project narrative must not exceed 30 pages and must include:

- **Merit Review Criterion Discussion:**

This section should be formatted to address each of the merit review criterion and sub-criterion listed in Part V. A. below. Provide sufficient information so that reviewers will be able to evaluate the application in accordance with these merit review criteria. **DOE WILL EVALUATE AND CONSIDER ONLY THOSE APPLICATIONS THAT ADDRESS SEPARATELY EACH OF THE MERIT REVIEW CRITERION AND SUB-CRITERION.**

- **Executive Summary:**

Provide a brief description of the project that includes a clear, concise statement of the specific objectives/aims of the proposed project, project goals, and expected results.

- **Goal Development Process:**

Provide a general outline of the collaborative stakeholder process that will be undertaken to establish a minimum 1 percent annual electricity savings goal. The process should consider the following:

- Savings Target - an annual electricity savings of at least 1% per year through ratepayer funded programs not including savings from building codes and appliance standards, or a greater target through ratepayer funded programs that include savings from building codes and appliance standards.

- Utility Role – the role utilities could play in: implementing efficiency programs, advancing codes and standards, and examining mechanisms to align their financial incentives with investment in energy efficiency.
- Efficiency Investment – opportunities for large-scale investment in energy efficiency.
- Long-term State Plans - the role of energy efficiency in the long-term goals of and planning for the state.
- Reporting - a method to report energy savings using standardized protocols for data collection, evaluation, and monitoring.
- Consumer Behavior - strategies and methods to change behavior of energy consumers resulting in long-lasting decreases in energy consumption.
- Investment /Resources - opportunities to leverage investments made in energy efficiency through the American Recovery and Reinvestment Act of 2009 and to form partnerships and leverage other resources.
- Vision 2025 Implementation Goals - the ten implementation goals in the National Action Plan for Energy Efficiency’s Vision for 2025 document, published in November 2008 (<http://www.epa.gov/cleanenergy/energy-programs/napee/resources/vision2025.html>)
- Market Actor Integration - opportunities to enhance regional coordination, if applicable. Describe how, to what extent, and in what timeframe appropriate stakeholders will be engaged in the goal development process. Examples of Market Actors include: ESCOs, contractors, real estate professionals, financial institutions, retailers, manufacturers, program sponsors, auditors, trade organizations, educational institutions, government agencies, utilities, etc.

Phase 1 Action Plan: The Phase I Action Plan should address the following:

- Activities/Benchmarks - Drawing on the National Action Plan on Energy Efficiency (<http://www.oe.energy.gov/eeactionplan.htm>), list the activities and benchmarks that will be conducted in Phase I. These activities and benchmarks may include but are not limited to: triggers or schedules for stakeholder meetings, public comment periods, significant decisions by policymakers, outreach, target calculation methods, evaluation measurement & verification strategies, etc. (See Appendix 1 for a summary of possible benchmarks for states.) Activities should include an approach to identify and respond to project risks.
- Schedule/Deliverables - Provide a timeline of the project (similar to a Gantt chart) broken down by each task and subtask, as described in the

Statement of Project Objectives (SOPO). The timeline should include for each task, a start date, and end date. The timeline should show interdependencies between tasks and include major milestones and deliverables. The timeline should indicate the expected end date for Phase I, at which a go/no-decision will be made. Milestones should be quantitative and show progress toward project goals. The final deliverables for Phase I include:

- Phase I report that describes the goal development process undertaken and the resulting goal that was established, or alternatively why a goal could not be established.
- A proposed plan for Phase II. (Phase II will consist of development of an implementation plan; establishment of required laws, policies, frameworks, and changes to program design; and opening necessary regulatory proceedings.)

Note: During project performance, the Recipient will report the status of milestones and deliverables as part of the required quarterly Progress Report as prescribed under the Reporting Requirements Checklist. The progress report shall include actual performance as compared to the schedule/deliverables provided by the SOPO, which includes:

- 1) The actual status and progress of the project,
- 2) Specific progress made toward achieving the project's milestones, and,
- 3) Any proposed changes in the project's schedule required to complete milestones.

- Funding and Costing Profile – Include a list of costs for each proposed activity with justification for the importance of each activity to meeting progress benchmarks. Provide a table (the Project Funding Profile) that shows the total amount of funding going to each project team member. Also provide a table (the Project Costing Profile) that projects, by month, the expenditure of funds for each year of the project.
- Sustainability - Describe the long-term plan for program delivery beyond the period of performance. Also address from where and how future funding resources will be obtained to continue the project beyond the period of performance. If utilizing a self-sustaining financial mechanism, describe its function.
- Risk Management - Provide a summary description of the proposed approach to identify, analyze, and respond to perceived risks associated with the proposed project. Project risk events are uncertain future events that, if realized, impact the success of the project. As a minimum, include the initial identification of significant technical, resource, and management

issues that have the potential to impede project progress and strategies to minimize impacts from those issues.

- Bibliography And References, If Applicable - Provide a bibliography for any references cited in the Project Narrative section. This section must include only bibliographic citations.

Potential Project Impact: Describe the savings opportunity that would result from the proposed project. Provide as a benchmark, the state's or group of states' current electricity and total energy consumption (in site MMBtu) and investment in energy savings (in dollars). To illustrate the potential opportunity for energy savings from this project, assume a goal of 1% electricity savings to determine the energy that would be saved per year. If natural gas and transportation fuel savings are addressed by the project, these savings are added to the electricity savings to obtain the total savings. Describe the significance of this energy savings to the state or region including the effect on energy efficiency in the long-term goals of and planning for the state(s).

Partnership Structure and Capabilities: Describe the proposed team of stakeholders and organizations and how this array of partners provides the credentials, capabilities, and experience needed to successfully implement the project. This section should be formatted to include the following subsections:

- Roles of Participants/Demonstration of Commitment - Describe the roles and the work to be performed by each participant, the documented agreements between the applicant and participants (as documented by Demonstrations of Commitment letters attached in a separate file as described below) and how the various efforts will be integrated and managed to ensure that state, legislative, industry and other leaders will work together to develop legal, regulatory and statutory frameworks to support investment in energy efficiency.

Applicants are strongly encouraged to include a public utility commission (PUC) on their team at the time of the application. If the applicant's team does not include a PUC, the application shall outline how and when the PUC will become involved in the process, and what the involvement will entail.

The applicant, whether a single organization or team/ partnership/ consortium, must indicate if the project will include multiple principal investigators (PIs). This decision is solely the responsibility of the applicant. If multiple PIs will be designated, the application must identify the Contact PI/Project Coordinator and provide a "Coordination and Management Plan" that describes the organization structure of the project as it pertains to the designation of multiple PIs. This plan should, at a minimum, include:

- Process for making decisions on scientific/technical direction;
- Communication plans;
- Procedures for resolving conflicts; and
- PIs' roles and administrative, technical, and scientific responsibilities for the project.

Statement of Project Objectives (SOPO):

The Statement of Project Objectives must contain a clear, concise description of all activities to be completed during project performance and follow the structure discussed below. It is therefore required that it shall not contain proprietary or confidential business information.

The Statement of Project Objectives is generally less than 10 pages in total and **is excluded from the 30-page limit of the Project Narrative for Area of Interest 2.** It forms the basis for and is incorporated within the Financial Assistance award instrument. Applicants shall prepare the Statement of Project Objectives in the following format:

TITLE OF WORK TO BE PERFORMED (Insert the title of work to be performed. Be concise and descriptive.)

A. OBJECTIVES

Include one paragraph on the overall objective(s) of the work. Also, include objective(s) for each phase of the work.

B. SCOPE OF WORK

This section should not exceed one-half page and should summarize the effort and approach to achieve the objective(s) of the work for each Phase.

C. TASKS TO BE PERFORMED

Tasks, concisely written, should be provided in a logical sequence and should be divided into the phases of the project, as appropriate. This section provides a brief summary of the planned approach to this project.

PHASE I

Task 1.0 - Phase I Action Plan

Subtask 1.1

(Description)

Task 2.0 - (Title)

PHASE II (Optional)

Task 3.0 - (Title)

D. DELIVERABLES

The periodic and final reports shall be submitted in accordance with the attached "Federal Assistance Reporting Checklist" and the instructions accompanying the checklist.

[Note: The Recipient shall provide a list of deliverables other than those identified on the "Federal Assistance Reporting Checklist" that will be delivered. These reports shall also be identified within the text of the Statement of Project Objectives. See the following examples:

1. Task 1.1 - (Report Description)
2. Task 2.2 - (Report Description)

b-3 For Area of Interest 3, Improving or Developing A Fee-Based Self-Funded Public Facilities Energy Retrofit Program:

The project narrative must not exceed 30 pages and must include:

- **Merit Review Criterion Discussion:**
This section should be formatted to address each of the merit review criterion and sub-criterion listed in Part V. A. below. Provide sufficient information so that reviewers will be able to evaluate the application in accordance with these merit review criteria. **DOE WILL EVALUATE AND CONSIDER ONLY THOSE APPLICATIONS THAT ADDRESS SEPARATELY EACH OF THE MERIT REVIEW CRITERION AND SUB-CRITERION.**
- **Executive Summary:**
Provide a brief description of the fee-based self-funded public facilities energy retrofit program that includes a clear, concise mission statement, objectives, and goals. Define the program's role, responsibilities, services provided and fee-based structure or schedule and implementation plan.

Program/Strategy Plan

- Approach - Describe the overall strategy of the program and outline the method and degree to which said strategy is intended to develop a successful tier 1 or tier 2 fee-based self-funded public facilities energy retrofit program resulting in reduced energy/water use in state and local government buildings if applicable. Identify barriers to implementing a successful Tier 1 or Tier 2 fee-based self-funded programs and describe how the proposed strategy and activities will overcome those barriers. Also outline any best practice adoption.
- Scope - Describe the different public facilities and client agencies that would be supported under the fee-based self-funded public facilities energy retrofit program and on an annual basis the projected number of projects, including floor area and project cost, that you anticipate the program to support. Describe the plan for expanding this effort over three years, and for Tier 1 demonstrate how the program will be scaled up to encompass a statewide effort supporting municipalities.
- Program Support and Team - Evidence of executive level leadership that will provide necessary support to implement policy mechanisms if needed and promote efforts to implement or advance a fee-based self-funded approach. Also

include key agencies, personnel and stakeholders who will be able to advance the goals and outcomes of the program by providing valuable input to the implementation process, serving as program champions, technical advisors, stakeholder educators, and information disseminators. Outline the program's staffing requirements, candidates experience, and capabilities and position overview with job requirements/responsibilities and tasks.

- **Market Actor Integration** - Describe how, to what extent, and in what timeframe appropriate stakeholders for the program will be engaged in the overall effort in developing or growing a fee-based self-funded public facilities energy retrofit program. Examples of Market Actors include: Energy Service Companies (ESCOs), contractors, financial institutions, trade organizations, educational institutions, state and local government agencies, utilities, non-profits, etc.
- **Barriers** - Provide a summary description of the proposed approach to identify, analyze, and respond to perceived barriers associated with the proposed program. At a minimum, include the initial identification of significant technical, resource, and management issues that have the potential to impede program progress and strategies to minimize impacts from those issues.

Potential Program Impact

Explain the expected outcomes and/or impacts and include a clear statement outlining the value of the outcomes to accelerate public facilities retrofits and drive demand. Discuss the direct and indirect benefits to the tax payers and end-users over the next three years.

- **Public Facility Modernization** - Estimate the number of buildings and total square footage that is anticipated to be modernized through this program.
- **Savings Opportunities** - Provide a clear description of the energy/water savings opportunities that will be made available through the fee-based self-funded public facilities energy retrofit program.
- **Economic Development** - Outline the potential economic benefits this could bring to the state and communities, including the number of direct jobs and secondary benefits expected.
- **Financing Opportunities** - Estimate the amount of private capital that would be deployed over the next three years to implement the public facility retrofits.
- **Additional Benefits** - Estimate the tons of CO₂ savings at no additional cost.

Partnership Structure with Agencies

Describe the proposed team of stakeholders, organizations and partnerships. Explain how this array of stakeholders provides the capabilities, and experience needed to

successfully implement the program and assist in educating potential end-user on the value of energy efficiency and program merits.

Data/Benchmarking

Describe which ECMs and metrics are to be measured at the program and project levels, how you plan to collect data and benchmark. What system(s) you envision using to monitor benchmark and report on data. Mention any reporting, inputting, collecting or tracking protocols in place or under development. Applicants must use a benchmarking tool such as the Environmental Protection Agency's Portfolio Manager or equivalent using real energy usage data to create a baseline of energy use and show the results of building retrofits.

Under this funding announcement awardees might be required to submit data on building characteristics and energy use, to support the Department of Energy (DOE), National Laboratories, and others on analysis and evaluation of building performance.

Measurement and Verification

Describe the methodology deployed and examples of what is considered sufficient to verify guaranteed energy savings and illustrate that "savings are real" to overcome this barrier. At a minimum, describe the process and length of time for monitoring retrofits, outline M&V report requirements, the strategies to minimize/address issues, and indicate what remedies are required if the guaranteed savings are not being met. Also discuss any requirements regarding commissioning, on-going M&V standards and continual monitoring of equipment and energy savings.

Statement of Project Objectives (SOP):

The Statement of Project Objectives must contain a clear, concise description of all activities to be completed during project performance and follow the structure discussed below. It is therefore required that it shall not contain proprietary or confidential business information.

The Statement of Project Objectives is generally less than 10 pages in total and is excluded from the 30-page limit of the Project Narrative. It forms the basis for and is incorporated within the Financial Assistance award instrument. Applicants shall prepare the Statement of Project Objectives in the following format:

TITLE OF WORK TO BE PERFORMED (Insert the title of work to be performed. Be concise and descriptive.)

A. OBJECTIVES

Include one paragraph on the overall objective(s) of the work. Also, include objective(s) for each phase of the work.

B. SCOPE OF WORK

This section should not exceed one-half page and should summarize the effort and approach to achieve the objective(s) of the work for each Phase.

C. TASKS TO BE PERFORMED

Tasks, concisely written, should be provided in a logical sequence and should be divided into the phases of the project, as appropriate. This section provides a brief summary of the planned approach to this project.

PHASE I

Task 1.0 - Program/Strategy Plan

Subtask 1.1

(Description)

Task 2.0 - (Title)

PHASE II (Optional)

Task 3.0 - (Title)

D. DELIVERABLES

The periodic and final reports shall be submitted in accordance with the attached "Federal Assistance Reporting Checklist" and the instructions accompanying the checklist.

Note: The Recipient shall provide a list of deliverables other than those identified on the "Federal Assistance Reporting Checklist" that will be delivered. These reports shall also be identified within the text of the Statement of Project Objectives. See the following examples:

1. Task 1.1 - (Report Description)
2. Task 2.2 - (Report Description)

For all three Areas of Interest, all the components of your Project Narrative (listed above) must be within the Narrative page limit specified in each Area of Interest as it is individually specified above. Documents listed below may be included as clearly marked appendices to your Narrative and will not count towards the Project Narrative page limit. Please note that some of the required documents listed below may have their own page limits to which you must adhere.

c. **Resume File**

Provide a resume for each key person proposed, including subawardees and consultants if they meet the definition of key person. A key person is any individual who contributes in a substantive, measurable way to the execution of the project. Save all resumes in a single file named "resume.pdf" and click on "Add Optional Other Attachment" to attach. The biographical information for each resume must not exceed 2 pages when printed on 8.5" by 11" paper with 1 inch margins (top, bottom, left, and right), single spaced, with font not smaller than 11 point and should include the following information, if applicable:

Education and Training. Undergraduate, graduate and postdoctoral training; provide institution, major/area, degree and year.

Professional Experience: Beginning with the current position list, in chronological order, professional/academic positions with a brief description.

Publications. Provide a list of up to 10 publications most closely related to the proposed project. For each publication, identify the names of all authors (in the same sequence in which they appear in the publication), the article title, book or journal title, volume number, page numbers, year of publication, and website address, if available electronically.

Patents, copyrights and software systems developed may be provided in addition to, or substituted for, publications.

Synergistic Activities. List no more than 5 professional and scholarly activities related to the effort proposed.

- Of the key personnel identified in this file, indicate the Principal Investigator(s) (PI).
- For Multiple Principal Investigators:
The applicant, whether a single organization or team/partnership/consortium, must indicate if the project will include multiple PIs. The decision to use multiple PIs for a project is the sole responsibility of the applicant. If multiple PIs will be designated, the application must identify the Contact PI/Project Coordinator and provide a “Coordination and Management Plan” that describes the organization structure of the project as it pertains to the designation of multiple PIs. This plan should, at a minimum, include:
 - Process for making decisions on scientific/technical direction;
 - Publications;
 - Intellectual property issues;
 - Communication plans;
 - Procedures for resolving conflicts; and
 - PIs’ roles and administrative, technical and scientific responsibilities for the project.

The resume file does not have a page limitation.

d. Budget File

SF 424 A Excel, Budget Information – Non-Construction Programs File

You must provide a separate budget for each year of support requested and accumulative budget for the total project period. Use the SF 424 A Excel, “Budget Information – Non Construction Programs” form on the DOE Financial Assistance Forms Page at . <http://energy.gov/management/downloads/budget-information-non-construction-programs>

e. Budget Justification File

PMC 123.1 Budget Justification File

You must justify the costs proposed in each Object Class Category/Cost Classification category using the PMC 123.1 Budget Justification File.

Save the budget justification information in a single file named “BudgetJustification.pdf,” and click on “Add Optional Other Attachment” to attach.

You must justify the costs proposed in each Object Class Category/Cost Classificationcategory (e.g., identify key persons and personnel categories and the estimated costs for each person or category; provide a list of equipment and cost of each item; identify proposed subaward/consultant work and cost of each subaward/consultant; describe purpose of proposed travel, number of travelers and number of travel days; list general categories of supplies and amount for each category; and provide any other information you wish to support your budget). Provide the name of your cognizant/oversight agency, (if known) and the name and phone number of the individual responsible for negotiating your indirect rates. If cost share is required, you must have a letter from each third party contributing cost share (i.e., a party other than the organization submitting the application) stating that the third party is committed to providing a specific minimum dollar amount of cost share. In the budget justification, identify the following information for each third party contributing cost share: (1) the name of the organization; (2) the proposed dollar amount to be provided; (3) the amount as a percentage of the total project cost; and (4) the proposed type of cost share – cash, services, or property. This form can be found on the DOE Project Management Center Recipient Resources Forms Page at <https://www.eere-pmc.energy.gov/Forms.aspx>.

f. Letters of Commitment

If cost share is required, you must have a letter from each third party contributing cost share (i.e., a party other than the organization submitting the application) stating that the third party is committed to providing a specific minimum dollar amount of cost share. **All Letters of Commitment must be attached as an Appendix to the Project Narrative File.** Identify the following information for each third party contributing cost share: (1) the name of the organization; (2) the proposed dollar amount to be provided; (3) the amount as a percentage of the total project cost; and (4) the proposed type of cost share – cash, services, or property. Letters of Commitment from parties participating in the project, exclusive of vendors, who will not be contributing cost share, but will be integral to the success of the project must be included as part of this Appendix to the Narrative. Letters of Commitment will not count towards the Project Narrative page limit.

g. Subaward Budget File(s)

You must provide a separate budget (i.e., budget for each budget year and a cumulative budget) for each subawardee that is expected to perform work estimated to be more than \$100,000 or 50 percent of the total work effort (whichever is less). Use the SF 424 A Excel for Non Construction Programs or the SF 424 C Excel for

Construction Programs. These forms are found on the DOE Financial Assistance Forms Page at <http://energy.gov/management/office-management/operational-management/financial-assistance/financial-assistance-forms>. Save each Subaward budget in a separate file. Use up to 10 letters of the subawardee's name (plus 424.xls) as the file name (e.g., company424.xls or energyres424.xls). Click on "Add Optional Other Attachment" to attach each file.

A PMC 123.1, Budget Justification file for the subaward budget is also required. The budget justification must include the same justification information described in paragraph e. above.

h. Project Management Plan

This plan should identify the activities/tasks to be performed, a time schedule for the accomplishment of the activities/tasks, the spending plan associated with the activities/tasks, and the expected dates for the release of outcomes. Applicants may use their own project management system to provide this information. This plan should identify any decision points and go/no-go decision criteria. Successful applicants must use this plan to report schedule and budget variances. Save this plan in a single file named "pmp.pdf" and click on "Add Optional Other Attachments" to attach.

i. SF-LLL Disclosure of Lobbying Activities

If applicable, complete SF- LLL. Applicability: If any funds other than Federal appropriated funds have been paid or will be paid to any person for influencing or attempting to influence an officer or employee of any agency, a Member of Congress, an officer or employee of Congress, or an employee of a Member of Congress in connection with the grant/cooperative agreement, you must complete and submit Standard Form - LLL, "Disclosure Form to Report Lobbying." The form is available in the optional document box on the Adobe Application Package attached to this FOA.

Summary of Required Forms/Files

Your application must include the following documents:

Name of Document	Format	File Name
SF 424 - Application for Federal Assistance	Part of Adobe Application Package	
Project/Performance Site Location(s)	Part of Adobe Application Package	
Other Attachments Form: Attach the following files to this form:	Part of Adobe Application Package	See Instructions
Project Summary/Abstract File	PDF	Summary.pdf
Project Narrative File, including required appendices (Letters of Commitment)	PDF	Project.pdf
Resume File	PDF	Resume.pdf
SF 424A Excel – Budget Information for Non-Construction Programs File	Excel	SF424A.xls
PMC 123.1 Budget Justification File	PDF	See Instructions
Subaward Budget File(s), if applicable PMC 123.1 Budget Justification(s), if applicable	Excel for Budget PDF for Justification	See Instructions
Project Management Plan	PDF	PMP.pdf
SF-LLL Disclosure of Lobbying Activities	PDF	SF-LLL.pdf

D. Submissions from Successful Applicants

If selected for award, DOE reserves the right to request additional or clarifying information for any reason deemed necessary, including, but not limited to:

- Indirect cost information
- Other budget information
- Name and phone number of the Designated Responsible Employee for complying with national policies prohibiting discrimination (See 10 CFR 1040.5)
- Representation of Limited Rights Data and Restricted Software, if applicable

E. Submission Dates and Times

Pre-application Are Not Required

- Pre-applications are not required.

F. Application Due Date

Application Due Date, 11:59 PM

Applications must be received by April 16, 2012, not later than 11:59 PM Eastern Time. You are encouraged to transmit your application well before the deadline.

APPLICATIONS RECEIVED AFTER THE DEADLINE WILL NOT BE REVIEWED OR CONSIDERED FOR AWARD.

G. Intergovernmental Review

Program Not Subject to Executive Order 12372

- This program is not subject to Executive Order 12372 – Intergovernmental Review of Federal Programs.

H. Funding Restrictions

Cost Principles. Costs must be allowable in accordance with the applicable Federal cost principles referenced in 10 CFR Part 600. The cost principles for commercial organization are in FAR Part 31.

Pre-award Costs. Recipients may charge to an award resulting from this announcement pre-award costs that were incurred within the ninety (90) calendar day period immediately preceding the effective date of the award, if the costs are allowable in accordance with the applicable Federal cost principles referenced in 10 CFR part 600. Recipients must obtain the prior approval of the Contracting Officer for any pre-award costs that are for periods greater than this 90 day calendar period.

Pre-award costs are incurred at the applicant's risk. DOE is under no obligation to reimburse such costs if for any reason the applicant does not receive an award or if the award is made for a lesser amount than the applicant expected.

If recipients are State or Local Governments, they may not incur pre-award costs prior to award, without prior approval of the DOE Contracting Officer.

DOE does not guarantee or assume any obligation to reimburse costs where the recipient incurred the costs prior to receiving from the DOE Contracting Officer a written authorization indicating that DOE has issued either a NEPA clearance or a final NEPA determination. If the applicant carries out activities that may have an adverse affect on the environment or limit the choice of reasonable alternatives prior to receiving such written authorization from the DOE Contracting Officer, the applicant is doing so at risk of not receiving Federal funding and such costs may not be recognized as allowable cost share. Likewise, if a project is selected for negotiation of award, and the recipient moves forward with activities that are not authorized for Federal funding by the DOE Contracting Officer in advance of the NEPA determination, the recipient is doing so at risk of not receiving Federal funding and such costs may not be recognized as allowable cost share. Nothing contained in the pre-award cost reimbursement regulations or any pre-award costs approval letter from the DOE Contracting Officer override these NEPA requirements to obtain the written authorization.

Please note foreign travel is not allowed.

I. Submission and Registration Requirements

1. Where to Submit

APPLICATIONS MUST BE SUBMITTED THROUGH GRANTS.GOV, TO BE CONSIDERED FOR AWARD UNDER THIS ANNOUNCEMENT. You cannot submit an application through Grants.gov unless you are registered. Please read the registration requirements below carefully and start the process immediately. Submit electronic applications through the “Apply for Grants” function at www.Grants.gov.

If you have problems completing the registration process or submitting your application, call Grants.gov at 1-800-518-4726 (7:00 a.m. to 9:00 p.m., Eastern) or send an email to support@grants.gov. It is the responsibility of the applicant to verify successful transmission, prior to the Application due date and time.

2. Registration Process Requirements

To submit an application in response to this FOA, Applicants must be registered with Grants.gov. Register in Grants.gov at <http://www.grants.gov/>. See the Organization Registration User Guide at <http://www.grants.gov/assets/OrgRegUserGuide.pdf>.

The Applicant User Guide is at <http://www07.grants.gov/assets/ApplicantUserGuide.pdf>. Allow at least 21 days to complete all registration requirements.

Before you can register with Grants.gov, you will need the following:

- a. Your organization’s Dun and Bradstreet Data Universal Numbering System (DUNS) (including plus 4 extension if applicable). To check whether your organization has a DUNS or if your organization requires a DUNS, search for the number or request one at <http://fedgov.dnb.com/webform/displayHomePage.do>.
- b. A federal Central Contractor Registration (CCR) account. If your organization is not currently registered with CCR, please register at www.ccr.gov before continuing with your Grants.gov registration. Designating an Electronic Business Point of Contact (EBiz POC) and obtaining a special password called an MPIN are important steps in CCR registration. These items are needed to submit applications in Grants.gov. Update your CCR registration annually.
- c. Registration in FedConnect at <https://www.fedconnect.net/>; use “Register as a Vendor” link. To create an organization account, your organization’s CCR MPIN is required; obtain the MPIN from your organization’s Electronic Business Point of Contact. Refer to the FedConnect Quick Start guide at the website

3. Electronic Authorization of Applications and Award Documents

Submission of an application and supplemental information under this announcement through electronic systems used by the Department of Energy, including Grants.gov and FedConnect, constitutes the authorized representative’s approval and electronic signature.

Submission of award documents, including modifications, through electronic systems used by the Department of Energy, including FedConnect, constitutes the authorized

representative's approval and acceptance of the terms and conditions of the award. Award acknowledgement via FedConnect constitutes the authorized representative's electronic signature.

SECTION V - APPLICATION REVIEW INFORMATION

A. Criteria

1. Initial Review Criteria

Application Award Eligibility

- Prior to a comprehensive merit evaluation, DOE will perform an initial review to determine that (1) the applicant is eligible for an award; (2) the information required by the announcement has been submitted; (3) all mandatory requirements are satisfied; and (4) the proposed project is responsive to the objectives of the funding opportunity announcement. If an application fails to meet these requirements, it may be deemed non-responsive and eliminated from full Merit Review.

2. Merit Review Criteria Required

Applications will be evaluated against the merit review criteria shown below.

Area of Interest 1 - Advancing Energy Efficiency in Public Facilities

Criterion 1: Proposed Approach

Weight: 40%

- Reasonableness, completeness and feasibility of the proposed approach to meet the objectives of the Funding Opportunity Announcement.
- Degree to which the proposed approach contains clear goals, metrics, tasks and methods, deliverables, schedule, and budget.
- Degree to which applicant's approach identifies and adequately addresses applicant's previous public facilities retrofit experiences, including challenges and barriers to broad-based, self-sustaining program implementation.
- Degree to which applicant's approach incorporates a best practices/continuous improvement feedback mechanism, and to which retrofit approach can integrate emerging, cost effective energy efficiency technologies. Degree to which applicant's approach adequately addresses: (a) effective program design; (b) evaluation, measurement and verification procedures, and (c) on-going maintenance of retrofits and savings to ensure strategy deliver projects that provide reasonable savings.
- Degree of project sustainability that will result from programs and/or policies.

Criterion 2: Potential Impact

Weight: 30%

- Degree to which the proposed program achieves a 20% or greater reduction in energy use across the stated portfolio.
- Degree of potential impact, as determined from applicant's selected portfolio of buildings/facilities and projected square footage affected in the project proposal.
- Degree to which the applicant is able to implement deep retrofits in the stated portfolio.
- Degree to which the applicant demonstrates that the proposed approach can be

replicated in or expanded to other markets, municipalities, states or regions, or at the national level.

- Degree to which the proposed programs and activities produce reasonable, specific, and quantifiable outcomes.
- Degree to which showcase project can produce significant energy and cost savings while highlighting an innovative model of success that is not already well established or widely achieved in the marketplace.

Criterion 3: Partnership Structure and Capabilities

Weight: 30%

- Appropriateness of the credentials, capabilities, and experience of the project team and key personnel.
- Degree to which the roles, responsibilities, and level of effort of each of the project team members has been identified, and to which the described management approach allows for successful management and implementation of the proposed project.
- Ability of the applicant to achieve cooperation among and between regions, states, local governments, industry, commissioners, and other relevant organizations.
- Degree of demonstrated commitment of the project team (for example, letters of commitment/support from local and state government officials, financial institutions, community colleges and/or universities, public utility commissions, energy service companies, program sponsors, non-profit organizations, private-sector entities and other critical participants).
- The extent to which funding is leveraged by other organizations and/or programs.

Area of Interest 2 - Stimulating Energy Efficiency Action in States

Criterion 1: Project Approach

Weight: 40%

- Reasonableness and feasibility of the energy efficiency policy and program opportunities currently in the state that can result in achieving a minimum goal or increase of 1% annual electricity savings through ratepayer funded energy efficiency programs statewide.
- Degree to which the National Action Plan for Energy Efficiency's Vision for 2025 was used in developing the project approach.
- Extent to which stakeholders will be collaboratively engaged in the overall effort to establish the annual energy savings goal or increase and identify the suite of energy efficiency programs necessary to achieve a specific savings goal.
- Degree to which the goal/increase development process addresses the role of utilities and public utility commissions, as appropriate.
- Degree to which challenges to success are understood and articulated, and degree to which the proposed approach mitigates or addresses challenges adequately; and Degree to which the project establishes clear roles for stakeholders, metrics and goals, tasks and methods, deliverables, schedule, and budget.

Criterion 2: Potential Impact

Weight: 20%

- Degree to which proposed programs and activities could significantly increase energy savings through efficiency in the long-term goals of and planning for the state.
- Degree to which proposed programs and activities would help the selected state become a leader (for states establishing a goal) or innovator (for states increasing an existing goal) in reducing electricity consumption.

Criterion 3: Partnership Structure and Capabilities

Weight: 40%

- Appropriateness of the credentials, capabilities, and experience of the project team and key personnel, particularly if key personnel have led similar efforts.
- Degree to which the roles, responsibilities, and level of effort of each of the project team members has been identified, and to which the described management approach allows for successful management and implementation of the proposed project.
- The extent to which the proposed stakeholder group contains stakeholders and organizations, including the participation of a public utility commission and/or utilities, that exhibit the credentials, capabilities, experience and authority needed to successfully implement the project, and ensure that state, legislative, industry and other leaders will work together to develop the necessary legal, regulatory and statutory frameworks to support development and achievement of the energy efficiency goal/increase.
- Ability of the applicant to achieve cooperation, form partnerships, and facilitate the stakeholder process successfully. Ability of the project team to understand standard protocols and manage issues as appropriate related to energy consumption data collection and baselining; energy efficiency program impact evaluation, and metrics for tracking energy savings progress against the goal.
- Demonstrated commitment (letters of commitment/support) of key stakeholders and organizations critical to project success.

Area of Interest 3 - : Improving or Developing A Fee-Based Self-Funded Public Facilities Energy Retrofit Program**Criterion 1: Program Strategy and Plan**

Weight: 30%

- Reasonableness, completeness and feasibility of the proposed approach to meet the objectives of the Funding Opportunity Announcement.
- Degree to which the proposed approach contains clear goals, metrics, tasks and methods, deliverables, schedule, and budget.
- Degree to which applicant's approach identifies and adequately addresses applicant's previous public facilities retrofit experiences, including challenges and barriers to broad-based, fee-based self-funded program implementation.
- Degree to which applicant's approach incorporates best practices and continuous improvement feedback mechanism, and to which retrofit approach can integrate emerging, cost effective efficiency technologies.
- Degree to which applicant's approach adequately addresses program elements such as: (a) comprehensive building retrofits; (b) strong leadership; (c)

standardized processes and contracting; (d) financing services; (e) technical assistance, administrative and education services; (f) data collection, benchmarking and measurement and verification and (g) education and outreach, and (h) public and private partnerships.

- Degree of project sustainability that will result from policies.

Criterion 2: Potential Impact

Weight: 25%

- Degree to which the proposed programs and activities overcome challenges for the public building retrofit market, provide for a convincing case to client agencies and decision-makers.
- Degree of potential impact, as determined from applicant's buildings and total square footage that is anticipated to be modernized through this Program.
- Degree of potential energy/water savings opportunities that will be made available through a fee-based self-funded public facilities energy retrofit program.
- Degree to which the applicant demonstrates that the proposed approach can be replicated in or expanded to other markets, municipalities, states or regions.
- Degree to which the proposed programs and activities produce reasonable, specific, and quantifiable outcomes.

Criterion 3: Capabilities and Partnership Structure

Weight: 25%

- Appropriateness of the credentials, capabilities, and experience of the project team and key personnel.
- Degree to which the roles, responsibilities, and level of effort of each of the project team members has been identified, and to which the described management approach allows for successful management and implementation of the proposed project.
- Ability of the applicant to achieve cooperation among and between local governments, industry, commissioners, stakeholder groups and other relevant organizations.
- Degree of demonstrated commitment of the project team (for example, letters of commitment/support from local and state government officials, financial institutions, community colleges and/or universities, public utility commissions, energy service companies, program sponsors, non-profit organizations, and other critical participants).

Criterion 4: Measurement & Verification

Weight: 10%

- Degree to which M&V methodology is clear and provides rigor and standardization.
- Degree to which M&V is considered sufficient to verify guaranteed energy savings and illustrate that "savings are real".
- Degree to which remedies are outlined if the guaranteed savings are not being met.

Criterion 5: Data and Benchmarking

Weight: 10%

- Degree to which program establishes a common set of metrics to be measured for program evaluation.
- Degree to which systematic processes for data collection and reporting are

identified at both the project and program and levels.

- Degree to which system(s) are in place or identified for data collection, reporting and benchmarking.

3. Other Selection Factors

Program Policy Factors

The selection official may consider the following program policy factors in the selection process:

- The desire to select a geographic mix of projects which achieves the strategic goals of EERE.
- The desire to select projects which represent a diverse portfolio of policies and strategies.
- The desire to select programs which maximize the geographic diversity (considering past awards and current applications).
- The desire to select for award a group of programs with a broad or specific geographic distribution because of the nature of the energy source, the type of programs envisioned, or limitations of past efforts.
- The degree to which the applicant is able to show commitments from partners within the state, or outside the state, the quality, length, and strength of partnerships.
- The extent that the prime applicant represents an underserved eligible entity under the FOA. For purposes of this FOA, underserved is defined as an eligible applicant that has not received DOE competitive funding in the previous three years (2009, 2010 and 2011) for projects identical or similar in nature to the project it proposed under this FOA.

B. Review and Selection Process

1. Merit Review

Applications Subject to Merit Review

Applications that pass the initial review will be subjected to a merit review in accordance with the guidance provided in the “Department of Energy Merit Review Guide for Financial Assistance”. This guide is available at:

<http://www.management.energy.gov/documents/meritrev.pdf>.

2. Selection

Selection Official Consideration

The Selection Official may consider the merit review recommendation, program policy factors, and the amount of funds available.

3. Discussions and Award

Government Discussions with Applicant

The Government may enter into discussions with a selected applicant for any reason deemed necessary, including, but not limited to: (1) the budget is not appropriate or reasonable for the requirement; (2) only a portion of the application is selected for award; (3) the Government needs additional information to determine that the recipient is capable of complying with the requirements in 10 CFR Part 600; and/or (4) special terms and conditions are required. Failure to resolve satisfactorily the issues identified by the Government will preclude award to the applicant.

C. Anticipated Notice of Selection and Award Dates

Selection and Award Date

DOE anticipates notifying applicants selected for award by June 1, 2012 and making awards by August 10, 2012.

SECTION VI - AWARD ADMINISTRATION INFORMATION

A. Notice of Selection

1. Notice of Selection

Selected Applicants Notification

DOE will notify applicants selected for award. This notice of selection is not an authorization to begin performance. (See Section IV.G with respect to the allowability of pre-award costs.)

Non-selected Notification

Organizations whose applications have not been selected will be advised as promptly as possible. This notice will explain why the application was not selected.

2. Notice of Award

A Financial Assistance Award or Assistance Agreement issued by the Contracting Officer is the authorizing award document. It normally includes, either as an attachment or by reference: (1) Special Terms and Conditions; (2) Applicable program regulations, if any; (3) Application as approved by DOE; (4) DOE assistance regulations at 10 CFR part 600; (5) National Policy Assurances To Be Incorporated As Award Terms; (6) Budget Summary; and (7) Federal Assistance Reporting Checklist, which identifies the reporting requirements.

For grants and cooperative agreements made to universities, non-profits and other entities subject to OMB Circular A-110, the Award also includes the Research Terms and Conditions and the DOE Agency Specific Requirements located at:

<http://www.nsf.gov/bfa/dias/policy/rtc/index.jsp>.

B. Administrative and National Policy Requirements

1. Administrative Requirements

The administrative requirements for DOE grants and cooperative agreements are contained in Title 2 CFR (See: <http://ecfr.gpoaccess.gov>). Grants and cooperative agreements made to universities, non-profits and other entities subject to Title 2 CFR are subject to the Research Terms and Conditions located on the National Science Foundation web site at: <http://www.nsf.gov/bfa/dias/policy/rtc/index.jsp>.

DUNS and CCR Requirements

Additional administrative requirements for DOE grants and cooperative agreements are contained in 2 CFR, Part 25 (See: <http://ecfr.gpoaccess.gov>). Prime awardees must keep their data at CCR current. Subawardees at all tiers must obtain DUNS numbers and provide the DUNS to the prime awardee before the subaward can be issued.

Subaward and Executive Reporting

Additional administrative requirements necessary for DOE grants and cooperative agreements to comply with the Federal Funding and Transparency Act of 2006 (FFATA) are contained in 2 CFR, Part 170. (See: <http://ecfr.gpoaccess.gov>). Prime awardees must register with the new FSRS database and report the required data on their first tier subawardees. Prime awardees must report the executive compensation for their own executives as part of their registration profile in the CCR.

2. Special Terms and Conditions and National Policy Requirements

The DOE Special Terms and Conditions for Use in Most Grants and Cooperative Agreements are located at:

<http://energy.gov/management/downloads/special-terms-and-conditions-use-most-grants-and-cooperative-agreements>

The National Policy Assurances To Be Incorporated As Award Terms are located at

<http://energy.gov/management/downloads/national-policy-assurances-be-incorporated-award-terms>

By submitting an application in response to this FOA the Applicant certifies that:

- (1) It is **not** a corporation that has been convicted (or had an officer or agent of such corporation acting on behalf of the corporation convicted) of a felony criminal violation under any Federal law within the preceding 24 months,
- (2) It is **not** a corporation that has any unpaid Federal tax liability that has been assessed, for which all judicial and administrative remedies have been exhausted or have lapsed, and that is not being paid in a timely manner pursuant to an agreement with the authority responsible for collecting the tax liability,

- (3) If the Applicant's financial assistance application is chosen for award and the award is in excess of \$1,000,000, the applicant will, by the end of the fiscal year, upgrade the efficiency of their facilities by replacing any lighting that does not meet or exceed the energy efficiency standard for incandescent light bulbs set forth in Section 325 of the Energy Policy and Conservation Act (42 U.S.C. 6295).

3. National Environmental Policy Act Information

DOE has determined the following activities that are funded by DE-FOA-0000650 are categorically excluded from further NEPA review, absent extraordinary circumstances, cumulative impacts, or connected actions that may lead to significant impacts on the environment, or any inconsistency with "integral elements" (as contained in 10 C.F.R. Part 1021, Appendix B) as they relate to a particular project:

- Area of Interest 1:
 - Development of programs and strategies to encourage energy efficiency in public buildings (including, but not limited to, state, local, municipal buildings and offices, hospitals, schools, universities, water and waste water treatment facilities);
 - Conduct pre-retrofit audits and recommend changes that would achieved a 20% or greater reduction in energy consumption; and
 - Conduct post-retrofit audits.
- Area of Interest 2:
 - Establish an annual statewide electricity savings goal of one percent or increase existing goals by one percent. This savings would be achieved through demand side energy efficiency programs implemented by utilities or other program administrators;
 - Identify and implement energy efficiency programs.
- Area of Interest 3:
 - Assist in developing/improving/implementing fee-based, self-funded, public facilities retrofit programs (i.e. an Energy Savings Performance Contracting Program "ESPC").

The State is responsible for:

- Identifying and promptly notify DOE of extraordinary circumstances, cumulative impacts, or connected actions that may lead to significant impacts on the environment, or any inconsistency with the "integral elements" (as contained in 10 C.F.R. Part 1021, Appendix B) as they relate to a particular Project; and
- Compliance with Section 106 of the National Historic Preservation Act (NHPA), as applicable.

This FOA-wide categorical exclusion does not apply if DOE funding would be used for:

- Ground-breaking activities;
- New construction;
- Installation of energy efficient retrofits; or
- Installation of onsite renewable energy technology that generate electricity from renewable resources.

The projects are not included under the FOA-wide categorical exclusion and are subject to additional NEPA review and approval by DOE.

For projects requiring additional NEPA review. States must complete the environmental questionnaire (<https://www.eere-pmc.energy.gov/NEPA.asp>). Recipients are restricted from taking any action using Federal funds, which would have an adverse effect on the environment or limit the choice of reasonable alternatives prior to DOE providing a final NEPA determination. If the recipient moves forward with activities that are not authorized for Federal funding by the DOE Contracting Officer in advance of the NEPA determination, the recipient is doing so at risk of not receiving Federal funding and such costs may not be recognized as allowable cost share.

4. Intellectual Property Provisions

The standard DOE financial assistance intellectual property provisions applicable to the various types of recipients are located at:

<http://energy.gov/gc/standard-intellectual-property-ip-provisions-financial-assistance-awards>

5. Statement of Substantial Involvement

Either a grant or cooperative agreement may be awarded under this announcement. If the award is a cooperative agreement, the DOE Specialist and DOE Project Officer will negotiate a Statement of Substantial Involvement prior to award.

Area of Interest 1 - Advancing Energy Efficiency in Public Facilities

Under this funding announcement awardees might be required to submit data on building characteristics and energy use, to support the Department of Energy (DOE), National Laboratories, and others on analysis and evaluation of building performance.

DOE Involvement:

- Participating in meetings or conference calls with states and their partners to provide insight and guidance in developing successful retrofit strategies;
- Working with the states to facilitate partnerships amongst and between various government agencies at the state and local levels (in areas such as financing, marketing and outreach) so that Awardees can take advantage of the national reach of DOE;
- Working collaboratively with Awardees during project implementation to develop and validate methods to determine cost-effectiveness of retrofits and of their overall program approach that are replicable and appropriate to other areas of the country;
- Participating in project management planning activities to ensure DOE's program requirements and/or limitations are considered in performance of the work elements;
- Integrating the work effort to ensure that project results address critical system and programmatic goals established by DOE EERE, in coordination with the state Energy Program. Additionally, DOE will coordinate with the states to ensure that

the plans are represented in their yearly state energy plan submitted to DOE;

- Promoting and facilitating technology transfer activities, including disseminating program results through presentations, publications and communications with the building community and other energy organizations as well as ENERGY STAR® and Building America personnel; and
- Serving as scientific/technical liaison between awardees, their partners, stakeholder groups, and other program staff (eg. Local governments, public utility commissions, Weatherization Assistance Program, ENERGY STAR®, Building America, Office of Electricity Delivery and Energy Reliability) particularly in the area of matching up the recipient to technical assistance if needed.

Recipient Responsibilities:

- Performing the project activities supported by the award in accordance with the program/strategic plan, including providing the required personnel, facilities, equipment, supplies and services;
- Managing and controlling project activities in accordance with its own established processes and procedures to ensure tasks and subtasks are completed within schedule and budget constraints defined by the program/strategic goal;
- Notifying the DOE point of contact (POC) of all critical decision points and major meetings in sufficient time to allow the POC to participate in person or via the phone;
- Coordinating with DOE, holding stakeholder meetings to develop successful retrofit strategies;
- Working collaboratively with DOE during project implementation to develop and validate methods to determine cost effectiveness of retrofits and of their overall program approach that are replicable and appropriate to other areas of the country;
- Implementing an approach to identify, analyze and respond to project risk that is commensurate with the complexity of the project;
- Defining and revising approaches and plans, submitting the plans to DOE for review and incorporating DOE comments;
- Coordinating related project activities with team members and external stakeholders to ensure effective integration of all work elements;
- Submitting progress reports, providing data, tools, other documentation and addressing DOE concerns and comments; and
- Participating in technology transfer activities, including disseminating program results through presentations, publications and communications with the building community and other energy organizations as well as ENERGY STAR® and Building America personnel.

Area of Interest 2 - Stimulating Energy Efficiency Action

DOE Involvement:

- Reviewing in a timely manner progress reports and Action Plans, recommending alternate approaches, if the plans do not address critical programmatic issues or accomplish objectives, and determining whether benchmarks have been achieved to warrant continued funding;
- Participating in project management planning activities to ensure DOE's program requirements and/or limitations are considered in performance of the work elements.
- Integrating the work effort to ensure that project results address critical system and programmatic goals established by DOE EERE, in coordination with the State Energy Program. Specific integration includes that required to ensure that stakeholders are being adequately represented and that their needs/expectations are being addressed. Additionally, DOE will coordinate with State Energy Offices to ensure that the plans are represented in their yearly state energy plan submitted to DOE;
- Promoting and facilitating technology transfer activities, including disseminating program results through presentations, publications, and communications with the building community and other energy organizations as well as ENERGY STAR® and Building America personnel;
- Providing and/or helping to find technical assistance (including assistance with financing mechanisms) for issues that develop during policy and program design and implementation; and
- Serving as scientific/technical liaison between awardees, stakeholder groups, and other program staff (e.g., local governments; public utility commissions, Weatherization Assistance Program, ENERGY STAR®, Building America, Office of Electricity Delivery and Energy Reliability), particularly in the area of matching up the recipient to technical assistance if needed.

Recipient Responsibilities:

- Performing the project activities supported by the award in accordance with the Phase I Action Plan, including providing the required personnel, facilities, equipment, supplies and services;
- Managing and controlling project activities in accordance with its own established processes and procedures to ensure tasks and subtasks are completed within schedule and budget constraints defined by the Phase I Action Plan;
- Notifying DOE point of contact (POC) of all critical decision points and major meetings in sufficient time to allow the POC to participate in person or via phone;
- Implementing an approach to identify, analyze, and respond to project risks that is commensurate with the complexity of the project;

- Defining and revising approaches and plans, submitting the plans to DOE for review, and incorporating DOE comments;
- Coordinating related project activities with team members and external stakeholders to ensure effective integration of all work elements;
- Attending periodic program review meetings and reporting project status;
- Submitting progress reports and addressing DOE concerns/comments; and
- Participating in technology transfer activities, including disseminating program results through presentations, publications, and communications with the building community and other energy organizations as well as ENERGY STAR® and Building America personnel.

Area of Interest 3 - Improving or Developing A Fee-Based Self-Funded Public Facilities Energy Retrofit Program

Under this funding announcement awardees might be required to submit data on building characteristics and energy use, to support the Department of Energy (DOE), National Laboratories, and others on analysis and evaluation of building performance.

DOE Involvement:

- Participating in meetings or conference calls with states and their partners to provide insight and guidance in developing successful retrofit strategies;
- Working with the states to facilitate partnerships amongst and between various government agencies at the state and local levels (in areas such as financing, marketing and outreach) so that Awardees can take advantage of the national reach of DOE;
- Working with awardees in the development of consistent best practices and implementation of those best practices in states fee-based, self-funded energy retrofit programs. Collaborate with other states in developing standard contract templates, standard terms, measurement and verification protocols, etc.
- Working collaboratively with awardees during project implementation to develop and validate methods to determine cost-effectiveness of retrofits and of their overall program approach that are replicable and appropriate to other areas of the country;
- Participating in project management planning activities to ensure DOE's program requirements and/or limitations are considered in performance of the work elements;
- Integrating the work effort to ensure that project results address critical system and programmatic goals established by DOE EERE, in coordination with the state Energy Program. Additionally, DOE will coordinate with the states to ensure that the plans are represented in their yearly state energy plan submitted to DOE;
- Promoting and facilitating technology transfer activities, including disseminating program results through presentations, publications and communications with the

building community and other energy organizations as well as ENERGY STAR® and Building America personnel; and

- Serving as scientific/technical liaison between awardees, their partners, stakeholder groups, and other program staff (eg. Local governments, public utility commissions, Weatherization Assistance Program, ENERGY STAR®, Building America, Office of Electricity Delivery and Energy Reliability) particularly in the area of matching up the recipient to technical assistance if needed.

Recipient Responsibilities:

- Performing the project activities supported by the award in accordance with the program/strategic plan, including providing the required personnel, facilities, equipment, supplies and services;
- Managing and controlling project activities in accordance with its own established processes and procedures to ensure tasks and subtasks are completed within schedule and budget constraints defined by the program/strategic goal;
- Notifying the DOE point of contact (POC) of all critical decision points and major meetings in sufficient time to allow the POC to participate in person or via the phone;
- Coordinating with DOE, holding stakeholder meetings to develop successful retrofit strategies;
- Working collaboratively with DOE during project implementation to develop and validate methods to determine cost effectiveness of retrofits and of their overall program approach that are replicable and appropriate to other areas of the country;
- Implementing an approach to identify, analyze and respond to project risk that is commensurate with the complexity of the project;
- Defining and revising approaches and plans, submitting the plans to DOE for review and incorporating DOE comments;
- Coordinating related project activities with team members and external stakeholders to ensure effective integration of all work elements;
- Submitting progress reports, providing data, tools, other documentation and addressing DOE concerns and comments; and
- Participating in technology transfer activities, including disseminating program results through presentations, publications and communications with the building community and other energy organizations as well as ENERGY STAR® and Building America personnel.

C. Reporting

Reporting requirements are identified on the Federal Assistance Reporting Checklist, DOE F 4600.2, attached to the award agreement.

SECTION VII - QUESTIONS/AGENCY CONTACTS

A. Questions

Questions regarding the content of the announcement must be submitted through the FedConnect system. You must register with FedConnect to respond as an interested party to submit questions, and to review responses to questions. It is recommended that you register as soon after release of the FOA as possible to have the benefit of all responses. More information is available at https://www.fedconnect.net/Fedconnect/PublicPages/FedConnect_Ready_Set_Go.pdf. DOE will try to respond to a question within 3 business days, unless a similar question and answer have already been posted on the website.

Questions and comments concerning this FOA shall be submitted not later than [] calendar days prior to the application due date. Questions submitted after that date may not allow the Government sufficient time to respond.

Questions relating to the registration process, system requirements, how an application form works, or the submittal process must be directed to Grants.gov at 1-800-518-4726 or support@grants.gov. The Grants.gov Helpdesk is available 7:00 a.m. to 9:00 p.m. Eastern Time. DOE cannot answer these questions.

SECTION VIII - OTHER INFORMATION

A. Amendments

Notices of any amendments to this announcement will be posted on Grants.gov. When you download the application at Grants.gov, you can register to receive notifications of changes through Grants.gov.

Notices of any amendments to this announcement will also be available in the FedConnect system. You can receive an email when an amendment or an announcement message is posted by registering with FedConnect as an interested party for this FOA. It is recommended that you register as soon after the release of the FOA as possible to ensure you receive timely notice of any amendments or other announcements. More information is available at <http://www.fedconnect.net> and https://www.fedconnect.net/Fedconnect/PublicPages/FedConnect_Ready_Set_Go.pdf

B. Government Right to Reject or Negotiate

DOE reserves the right, without qualification, to reject any or all applications received in response to this announcement and to select any application, in whole or in part, as a basis for negotiation and/or award.

C. Commitment of Public Funds

The Contracting Officer is the only individual who can make awards or commit the Government to the expenditure of public funds. A commitment by other than the Contracting Officer, either explicit or implied, is invalid.

D. Proprietary Application Information

DOE will use data and other information contained in applications strictly for evaluation purposes. Applicants should not include confidential, proprietary, or privileged information in their applications unless such information is necessary to convey an understanding of the proposed project.

Applications containing confidential, proprietary, or privileged information must be marked as described below. Failure to comply with these marking requirements may result in the disclosure of the unmarked information under the Freedom of Information Act or otherwise. The U.S. Government is not liable for the disclosure or use of unmarked information, and may use or disclose such information for any purpose.

The cover sheet of the application must be marked as follows and identify the specific pages containing confidential, proprietary, or privileged information:

Notice of Restriction on Disclosure and Use of Data:

Pages [*list applicable pages*] of this document may contain confidential, proprietary, or privileged information that is exempt from public disclosure. Such information shall be used or disclosed only for evaluation purposes or in accordance with a financial assistance or loan agreement between the submitter and the Government. The Government may use or disclose any information that is not appropriately marked or otherwise restricted, regardless of source.

The header and footer of every page that contains confidential, proprietary, or privileged information must be marked as follows: “Contains Confidential, Proprietary, or Privileged Information Exempt from Public Disclosure.”

In addition, every line and paragraph containing proprietary, privileged, or trade secret information must be clearly marked with double brackets or highlighting.

E. Evaluation and Administration by Non-Federal Personnel

In conducting the merit review evaluation, the Government may seek the advice of qualified non-Federal personnel as reviewers. The Government may also use non-Federal personnel to conduct routine, nondiscretionary administrative activities. The applicant, by submitting its application, consents to the use of non-Federal reviewers/administrators. Non-Federal reviewers must sign conflict of interest and non-disclosure agreements prior to reviewing an application. Non-Federal personnel conducting administrative activities must sign a non-disclosure agreement.

F. Intellectual Property Developed under this Program

Patent Rights. The government will have certain statutory rights in an invention that is conceived or first actually reduced to practice under a DOE award. 42 U.S.C. 5908 provides that title to such inventions vests in the United States, except where 35 U.S.C. 202 provides otherwise for nonprofit organizations or small business firms. However, the Secretary of Energy may waive all or any part of the rights of the United States subject to certain conditions. (See “Notice of Right to Request Patent Waiver” in paragraph G below.)

Rights in Technical Data. Normally, the government has unlimited rights in technical data created under a DOE agreement. Delivery or third party licensing of proprietary software or data developed solely at private expense will not normally be required except as specifically negotiated in a particular agreement to satisfy DOE’s own needs or to insure the commercialization of technology developed under a DOE agreement.

G. Notice Regarding Eligible/Ineligible Activities

Eligible activities under this program include those which describe and promote the understanding of scientific and technical aspects of specific energy technologies, but not those which encourage or support political activities such as the collection and dissemination of information related to potential, planned or pending legislation.

H. Notice of Right to Conduct a Review of Financial Capability

DOE reserves the right to conduct an independent third party review of financial capability for applicants that are selected for negotiation of award (including personal credit information of principal(s) of a small business if there is insufficient information to determine financial capability of the organization).

I. Notice of Potential Disclosure under Freedom of Information Act

Applicants should be advised that identifying information regarding all applicants, including applicant names and/or points of contact, may be subject to public disclosure under the Freedom of Information Act, whether or not such applicants are selected for negotiation of award.

REFERENCE MATERIAL

Appendix A – Definitions

“Amendment” means a revision to a Funding Opportunity Announcement

"Applicant" means the legal entity or individual signing the Application. This entity or individual may be one organization or a single entity representing a group of organizations (such as a Consortium) that has chosen to submit a single Application in response to a Funding Opportunity Announcement.

"Application" means the documentation submitted in response to a Funding Opportunity Announcement.

“Authorized Organization Representative (AOR)” is the person with assigned privileges who is authorized to submit grant applications through Grants.gov on behalf of an organization. The privileges are assigned by the organization’s E-Business Point of Contact designated in the CCR.

"Award" means the written documentation executed by a DOE Contracting Officer, after an Applicant is selected, which contains the negotiated terms and conditions for providing Financial Assistance to the Applicant. A Financial Assistance Award may be either a Grant or a Cooperative Agreement.

"Budget" means the cost expenditure plan submitted in the Application, including both the DOE contribution and the Applicant Cost Share.

“Central Contractor Registration (CCR)” is the primary database which collects, validates, stores and disseminates data in support of agency missions. Funding Opportunity Announcements which require application submission through FedConnect or Grants.gov require that the organization first be registered in the CCR at <https://www.bpn.gov/CCR/default.aspx>.

"Consortium (plural consortia)" means the group of organizations or individuals that have chosen to submit a single Application in response to a Funding Opportunity Announcement.

"Contracting Officer" means the DOE official authorized to execute Awards on behalf of DOE and who is responsible for the business management and non-program aspects of the Financial Assistance process.

"Cooperative Agreement" means a Financial Assistance instrument used by DOE to transfer money or property when the principal purpose of the transaction is to accomplish a public purpose of support or stimulation authorized by Federal statute, and Substantial Involvement (see definition below) is anticipated between DOE and the Applicant during the performance of the contemplated activity.

"Cost Sharing" means the respective share of Total Project Costs to be contributed by the Applicant and by DOE. The percentage of Applicant Cost Share is to be applied to the Total

Project Cost (i.e., the sum of Applicant plus DOE Cost Shares) rather than to the DOE contribution alone.

“Data Universal Numbering System (DUNS) Number” is a unique nine-character identification number issued by Dun and Bradstreet (D&B). Organizations must have a DUNS number prior to registering in the CCR. Call 1-866-705-5711 to receive one free of charge. <http://fedgov.dnb.com/webform/displayHomePage.do>

“E-Business Point of Contact (POC)” is the individual who is designated as the Electronic Business Point of Contact in the CCR registration. This person is the sole authority of the organization with the capability of designating or revoking an individual’s ability to conduct CCR transactions.

“E-Find” is a Grants.gov webpage where you can search for Federal Funding Opportunities in FedGrants. <http://www.grants.gov/search/searchHome.do>

“EERE Exchange” is the Department of Energy, Energy Efficiency and Renewable Energy’s web system for posting Federal Funding Opportunity Announcements and receiving applications. <https://eere-exchange.energy.gov/FileContent.aspx?FileID=e10b8886-1826-447d-b1bf-8d9f0bf06f8e>

"Financial Assistance" means the transfer of money or property to an Applicant or Participant to accomplish a public purpose of support authorized by Federal statute through Grants or Cooperative Agreements and sub-awards. For DOE, it does not include direct loans, loan guarantees, price guarantees, purchase agreements, Cooperative Research and Development Agreements (CRADAs), or any other type of financial incentive instrument.

“FedConnect” is where federal agencies post opportunities and make awards via the web. Any Applicant can view public postings without registering. However, registered users have numerous added benefits including the ability to electronically submit Applications / Responses to the government directly through this site. <https://www.fedconnect.net/FedConnect/>

“Federally Funded Research and Development Center (FFRDC)” means a research laboratory as defined by Federal Acquisition Regulation 35.017.

“Funding Opportunity Announcement (FOA)” is a publicly available document by which a Federal agency makes known its intentions to award discretionary grants or cooperative agreements, usually as a result of competition for funds. Funding opportunity announcements may be known as program announcements, notices of funding availability, solicitations, or other names depending on the agency and type of program.

"Grant" means a Financial Assistance instrument used by DOE to transfer money or property when the principal purpose of the transaction is to accomplish a public purpose of support or stimulation authorized by Federal statute, and no Substantial Involvement is anticipated between DOE and the Applicant during the performance of the contemplated activity.

“**Grants.gov**” is the “storefront” web portal which allows organizations to electronically find grant opportunities from all Federal grant-making agencies. Grants.gov is THE single access point for over 900 grant programs offered by the 26 Federal grant-making agencies.

<http://www.grants.gov>

“**Indian Tribe**” means any Indian tribe, band, nation, or other organized group or community, including Alaska Native village or regional or village corporation, as defined in or established pursuant to the Alaska Native Claims Settlement Act (85 Stat. 688)[43 U.S.C. § 1601 et seq.], which are recognized as eligible for the special programs and services provided by the United States to Indians because of their status as Indians.

"**Key Personnel**" mean the individuals who will have significant roles in planning and implementing the proposed Project on the part of the Applicant and Participants, including FFRDCs.

“**Marketing Partner Identification Number (MPIN)**” is a very important password designated by your organization when registering in CCR. The E-Business Point of Contact will need the MPIN to assign privileges to the individual(s) authorized to perform CCR transactions on behalf of your organization. The MPIN must have 9 digits containing at least one alpha character (must be in capital letters) and one number (no spaces or special characters permitted).

"**Participant**" for purposes of this Funding Opportunity Announcement only, means any entity, except the Applicant substantially involved in a Consortium, or other business arrangement (including all parties to the Application at any tier), responding to the Funding Opportunity Announcement.

“**Principal Investigator**” refers to the technical point of contact/Project Manager for a specific project award.

"**Project**" means the set of activities described in an Application, State plan, or other document that is approved by DOE for Financial Assistance (whether such Financial Assistance represents all or only a portion of the support necessary to carry out those activities).

“**Proposal**” is the term used to describe the documentation submitted in response to a Funding Opportunity Announcement. Also see Application.

“**Recipient**” means the organization, individual, or other entity that receives a Financial Assistance Award from DOE, is financially accountable for the use of any DOE funds or property provided for the performance of the Project, and is legally responsible for carrying out the terms and condition of the award.

"**Selection**" means the determination by the DOE Selection Official that negotiations take place for certain Projects with the intent of awarding a Financial Assistance instrument.

"**Selection Official**" means the DOE official designated to select Applications for negotiation toward Award under a subject Funding Opportunity Announcement.

"Substantial Involvement" means involvement on the part of the Government. DOE's involvement may include shared responsibility for the performance of the Project; providing technical assistance or guidance which the Applicant is to follow; and the right to intervene in the conduct or performance of the Project. Such involvement will be negotiated with each Applicant prior to signing any agreement.

"Technology Investment Agreement (TIA)" is a type of assistance instrument used to support or stimulate research projects involving for-profit firms, especially commercial firms that do business primarily in the commercial marketplace. TIAs are different from grants and cooperative agreements in that the award terms may vary from the Government-wide standard terms (See DOE TIA regulations at 10 CFR Part 603). The primary purposes for including a TIA in the type of available award instruments are to encourage non-traditional Government contractors to participate in an R&D program and to facilitate new relationships and business practices. A TIA can be particularly useful for awards to consortia (See 10 CFR 603.225(b) and 603.515, Qualification of a consortium).

"Total Project Cost" means all the funds to complete the effort proposed by the Applicant, including DOE funds (including direct funding of any FFRDC) plus all other funds that will be committed by the Applicant as Cost Sharing.

"Tribal Energy Resource Development Organization or Group" means an "organization" of two or more entities, at least one of which is an Indian Tribe (see "Indian Tribe" above) that has the written consent of the governing bodies of all Indian Tribes participating in the organization to apply for a grant or loan, or other assistance under 25 U.S.C. § 3503.

Appendix B – Personally Identifiable Information

In responding to this Announcement, Applicants must ensure that Protected Personally Identifiable Information (PII) is not included in the following documents: Project Abstract, Project Narrative, Biographical Sketches, Budget or Budget Justification. These documents will be used by the Merit Review Committee in the review process to evaluate each application. PII is defined by the Office of Management and Budget (OMB) and DOE as:

Any information about an individual maintained by an agency, including but not limited to, education, financial transactions, medical history, and criminal or employment history and information that can be used to distinguish or trace an individual's identity, such as their name, social security number, date and place of birth, mother's maiden name, biometric records, etc., including any other personal information that is linked or linkable to an individual.

This definition of PII can be further defined as: (1) Public PII and (2) Protected PII.

- a. **Public PII:** PII found in public sources such as telephone books, public websites, business cards, university listing, etc. Public PII includes first and last name, address, work telephone number, email address, home telephone number, and general education credentials.
- b. **Protected PII:** PII that requires enhanced protection. This information includes data that if compromised could cause harm to an individual such as identity theft.

Listed below are examples of Protected PII that Applicants must not include in the files listed above to be evaluated by the Merit Review Committee.

- Social Security Numbers in any form
- Place of Birth associated with an individual
- Date of Birth associated with an individual
- Mother's maiden name associated with an individual
- Biometric record associated with an individual
- Fingerprint
- Iris scan
- DNA
- Medical history information associated with an individual
- Medical conditions, including history of disease
- Metric information, e.g. weight, height, blood pressure
- Criminal history associated with an individual
- Employment history and other employment information associated with an individual
- Ratings
- Disciplinary actions
- Performance elements and standards (or work expectations) are PII when they are so intertwined with performance appraisals that their disclosure would reveal an individual's performance appraisal

- Financial information associated with an individual
- Credit card numbers
- Bank account numbers
- Security clearance history or related information (not including actual clearances held)

Listed below are examples of Public PII that Applicants may include in the files listed above to be evaluated by the Merit Review Committee:

- Phone numbers (work, home, cell)
- Street addresses (work and personal)
- Email addresses (work and personal)
- Digital pictures
- Medical information included in a health or safety report
- Employment information that is not PII even when associated with a name
- Resumes, unless they include a Social Security Number
- Present and past position titles and occupational series
- Present and past grades
- Present and past annual salary rates (including performance awards or bonuses, incentive awards, merit pay amount, Meritorious or Distinguished Executive Ranks, and allowances and differentials)
- Present and past duty stations and organization of assignment (includes room and phone numbers, organization designations, work email address, or other identifying information regarding buildings, room numbers, or places of employment)
- Position descriptions, identification of job elements, and those performance standards (but not actual performance appraisals) that the release of which would not interfere with law enforcement programs or severely inhibit agency effectiveness
- Security clearances held
- Written biographies (e.g. to be used in a program describing a speaker)
- Academic credentials
- Schools attended
- Major or area of study
- Personal information stored by individuals about themselves on their assigned workstation or laptop unless it contains a Social Security Number

Appendix C – Budget Justification

Using the “Object Class Categories” in the SF-424A Budget form and the PMC123.1 Budget Justification form, justify the costs in each category for each budget period of the project.

The SF424A Budget form and the PMC 123.1 Budget Justification form must include both Federal (DOE), and Non-Federal (cost share) funds, thereby reflecting TOTAL PROJECT COSTS proposed. Below is further detail that may help applicants in completing these forms.

For each sub-recipient with total project costs of \$100,000 or more, a separate SF-424A budget and budget justification form must be submitted. For sub-recipients with estimated costs less than \$100,000, provide what Statement of Project Objectives task(s) are being performed, the purpose/need for the effort, and a basis of the estimated costs that is considered sufficient for DOE evaluation.

All costs incurred by the Applicant’s sub-recipients, vendors, contractors, consultants and Federal Research and Development Centers (FFRDCs), should be entered only in section f. Contractual. All other sections are for the costs of the Applicant only.

Personnel

List costs solely for employees of the Applicant. Identify positions to be supported. Key personnel should be identified by title. All other personnel should be identified either by title or a group category. State the amounts of time (e.g., hours or % of time) to be expended, the composite base pay rate, total direct personnel compensation and identify the rate basis (e.g., actual salary, labor distribution report, technical estimate, state civil service rates, etc.). Identify the number of employees (on a Full Time Equivalent) that will be employed in each position or group category. Note the prevailing wage requirements in the ARRA (P.L. 111-5). See example below.

Task # and Title	Position Title	Budget Period 1			Budget Period 2			Budget Period 3			Project Total Hours	Project Total Dollars	Rate Basis
		Time (Hours)	Pay Rate (\$/Hr)	Total Budget Period 1	Time (Hours)	Pay Rate (\$/Hr)	Total Budget Period 2	Time (Hours)	Pay Rate (\$/Hr)	Total Budget Period 3			
Task 1 – Task Name	Sr. Engineer (1)	2000	\$85.00	\$170,000	200	\$50.00	\$10,000	200	\$50.00	\$10,000	2400	\$190,000	Actual Salary
Task 2 – Task Name	Process Engineers (3)	6200	\$35.00	\$217,000	400	\$35.00	\$14,000	600	\$35.00	\$21,000	7200	\$252,000	Actual Salary
Task 3 – Task Name	Technician (1)	1800	\$20.00	\$36,000	0	\$0.00	\$0	0	\$0.00	\$0	1800	\$36,000	Actual Salary

Fringe

A federally approved fringe benefit rate agreement, or a proposed rate supported and agreed upon by DOE for estimating purposes is required if reimbursement for fringe benefits is requested. If a fringe benefit rate has been negotiated with, or approved by, a federal government agency, a copy of the latest rate agreement must be included with this application. If there is not a current, federally approved rate agreement negotiated and available, provide a copy of the proposal with the application. If selected, the rate agreement will be finalized during award negotiations. Calculate the fringe rate and enter the total amount in Section B, line 6.b.

(“Fringe Benefits”) of form SF-424A.

IMPORTANT: Provide all fringe rates, along with a complete explanation and the full calculations used to derive the total fringe costs. If the total fringe costs are a cumulative amount of more than one calculation or rate application, the explanation and calculations should identify all rates used, along with the base they were applied to (and how the base was derived), and a total for each (along with grand total). The rates and how they are applied should not be averaged to get one fringe rate. **NOTE:** The fringe rate should be applied to both the Federal Share and Recipient Cost Share.

Travel

See example of travel detail below. Identify total Foreign and Domestic Travel as separate items. Purpose of travel are items such as professional conferences, DOE sponsored meetings, project management meetings, etc. Identify number of travelers, estimated cost per traveler, and duration of trip. The Basis for Estimating Costs could be items such as past trips, current quotations, Federal Travel Regulations, etc. All listed travel must be necessary for performance of the Statement of Project Objectives. **NOTE:** All projects should include travel for 1-2 travelers to a DOE project review during each year of the project. Each review will take approximately 2-3 days.

Purpose of travel	No. of Travelers	Depart From	Destination	No. of Days	Cost per Traveler	Cost per Trip	Basis for Estimating Costs
Budget Period 1							
Domestic Travel							
Visit to reactor mfr. to set up vendor agreement	2	Denver CO	Dallas TX	2	\$650	\$1,300	Internet prices
Domestic Travel subtotal						\$1,300	
International Travel							
Visit to technology provider to discuss IP agreement	2	Denver CO	Berlin Germany	5	\$4,000	\$8,000	Previous experience
International Travel subtotal						\$8,000	
Budget Period 1 Total						\$9,300	
(Repeat as necessary for each Budget Period)							

Equipment

Equipment is generally defined as an item with an acquisition cost greater than \$5,000 and a useful life expectancy of more than one year. All proposed equipment should be identified, providing a basis of cost such as vendor quotes, catalog prices, prior invoices, etc., and briefly justifying its need as it applies to the Statement of Project Objectives. If it is existing equipment, and the value of its contribution to the project budget is being shown as cost share, provide logical support for the estimated value shown. If it is new equipment which will retain a useful life upon completion of the project, provide logical support for the estimated value shown. For equipment over \$50,000 in price, also include a copy of the associated vendor quote or catalog price list. See example below.

Equipment Item	Qty	Unit Cost	Total Cost	Basis of Cost	Justification of need
Budget Period 1					
EXAMPLE ONLY!!! Thermal shock chamber	2	\$20,000	\$40,000	Vendor Quote	Reliability testing of PV modules- Task 4.3

Budget Period 1 Total			\$40,000		
(Repeat as necessary for each Budget Period)					

Supplies

Supplies are generally defined as an item with an acquisition cost of \$5,000 or less and a useful life expectancy of less than one year. Supplies are generally consumed during the project performance. Further definitions can be found in 10 CFR 600.

Proposed supplies should be identified, providing a basis of cost such as vendor quotes, catalog prices, prior invoices, etc., and briefly justifying the need for the Supplies as they apply to the Statement of Project Objectives. Note that Supply items must be direct costs to the project at this budget category, and not duplicative of supply costs included in the indirect pool that is the basis of the indirect rate applied for this project.

General Category of Supplies	Qty	Unit Cost	Total Cost	Basis of Cost	Justification of need
Budget Period 1					
EXAMPLE ONLY!!! Wireless DAS components	10	\$360.00	\$3,600	Catalog price	For Alpha prototype - Task 2.4
Budget Period 1 Total			\$3,600		
(repeat as necessary for each Budget Period)					

Contractual

The applicant must provide and justify all costs related to sub-recipients, vendors, contractors, consultants and FFRDC partners. See example below.

Sub-recipients (partners, sub-awardees):

For each sub-recipient with total project costs of \$100,000 or more, a separate SF-424A budget and budget justification form must be submitted. For sub-recipients with estimated costs less than \$100,000, provide what Statement of Project Objectives task(s) are being performed, the purpose/need for the effort, and a basis of the estimated costs that is considered sufficient for DOE evaluation.

Vendors (includes contractors and consultants):

Identify all vendors, contractors and consultants supplying commercial supplies or services used to support the project. The support to justify vendor costs (in any amount) should provide the purpose for the products or services and a basis of the estimated costs that is considered sufficient for DOE evaluation.

Federal Research and Development Centers (FFRDCs):

For FFRDC partners, the applicant should provide a Field Work Proposal (if not already provided with the original application), along with the FFRDC labor mix and hours, by category and FFRDC major purchases greater than \$25,000, including Quantity, Unit Cost, Basis of Cost, and Justification.

Sub-Recipient Name/Organization	Purpose/Tasks in SOPO	Budget Period 1 Costs	Budget Period 2 Costs	Budget Period 3 Costs	Project Total
EXAMPLE ONLY!!! XYZ Corp.	Partner to develop optimal fresnel lens for Gen 2 product - Task 2.4	\$48,000	\$32,000	\$16,000	\$96,000
	Sub-total	\$48,000	\$32,000	\$16,000	\$96,000
Vendor Name/Organization	Product or Service, Purpose/Need and Basis of Cost (Provide additional support at bottom of page as needed)	Budget Period 1 Costs	Budget Period 2 Costs	Budget Period 3 Costs	Project Total

EXAMPLE ONLY!!! ABC Corp.	Vendor for developing custom robotics to perform lens inspection, alignment, and placement (Task 4). Required for expanding CPV module mfg. capacity. Cost is from competitive quotes.	\$32,900	\$86,500		\$119,400
	Sub-total	\$32,900	\$86,500	\$0	\$119,400
FFRDC Name/Organization	Purpose	Budget Period 1 Costs	Budget Period 2 Costs	Budget Period 3 Costs	Project Total
					\$0
	Sub-total	\$0	\$0	\$0	\$0
Total Contractual		\$80,900	\$118,500	\$16,000	\$215,400

Construction

Construction, for the purpose of budgeting, is defined as all types of work done on a particular facility, including erecting, altering, or remodeling. Construction conducted by the award recipient should be justified in this category. Any construction work that is performed by a vendor or subrecipient to the award recipient should be entered under “Contractual.”

Identify all proposed construction, providing a basis of cost such as engineering estimates, prior construction, etc., and briefly justify its need as it applies to the Statement of Project Objectives. For major endeavors, a copy of the engineering estimate or quote should also be provided. See example below.

Overall description of construction activities:			
Example Only!!! - Build wind turbine platform			
General Description	Cost	Basis of Cost	Justification of need
Budget Period 1			
Three days of excavation for platform site EXAMPLE ONLY!!!	\$28,000	Engineering estimate	Site must be prepared for construction of platform.
Budget Period 1 Total	\$28,000		
(Repeat as necessary for each Budget Period)			

Other Direct Costs

Other direct costs are direct cost items required for the project which do not fit clearly into other categories, and are not included in the indirect pool for which the indirect rate is being applied to this project. Basis of cost are items such as vendor quotes, prior purchases of similar or like items, published price list, etc.

General description	Cost	Basis of Cost	Justification of need
Budget Period 1			
EXAMPLE ONLY!!! Grad student tuition	\$16,000	Established UCD costs	Support of graduate students working on project
Budget Period 1 Total	\$16,000		
(Repeat as necessary for each Budget Period)			

Indirect Costs

A federally approved indirect rate agreement, or rate proposed supported and agreed upon by DOE for estimating purposes is required if reimbursement of indirect benefits is requested. If there is a federally approved indirect rate agreement, a copy must be provided with this application and if selected, must be provided electronically to the Contracting Officer for this project. If there is no current, federally approved indirect rate agreement or if the federally approved indirect rate agreement has been changed or updated, a rate proposal must be included with the application. If selected, the rate agreement will be finalized during award negotiations. Calculate the indirect rate dollars and enter the total in the Section B., line 6.j. (Indirect Charges) of form SF 424A.

IMPORTANT: Provide a complete explanation and the full calculations used to derive the total indirect costs. If the total indirect costs are a cumulative amount of more than one calculation or rate application, the explanation and calculations should identify all rates used, along with the base they were applied to (and how the base was derived), and a total for each (along with grand total). The rates and how they are applied should not be averaged to get one indirect cost percentage. **NOTE:** The indirect rate should be applied to both the Federal Share and Recipient Cost Share.

Cost Match

A detailed presentation of the cash or cash value of all cost match proposed for the project must be provided. Identify the source and amount of each item of cost match proposed by the Applicant and each sub-recipient. Letters of commitment must be submitted for all third party cost match (other than award recipient).

Note that "cost-match" is not limited to cash investment. Other items that may be assigned value in a budget as incurred as part of the project budget and necessary to performance of the project, may be considered as cost match, such as: contribution of services or property; donated, purchased or existing equipment; buildings or land; donated, purchased or existing supplies; and/or unrecovered personnel, fringe benefits and indirect costs, etc. For each cost match contribution identified as other than cash, identify the item and describe how the value of the cost share contribution was calculated.

Funds from other Federal sources MAY NOT be counted as cost match. This prohibition includes FFRDC sub-recipients. Non-Federal sources include private, state or local Government, or any source not originally derived from Federal funds.

Fee or profit will not be paid to the award recipients or subrecipients of financial assistance awards. Additionally, foregone fee or profit by the applicant shall not be considered cost sharing under any resulting award. Reimbursement of actual costs will only include those costs that are allowable and allocable to the project as determined in accordance with the applicable cost principles prescribed in 10 CFR 600.127, 10 CFR 600.222 or 10 CFR 600.317. Also see 10 CFR 600.318 relative to profit or fee. See example below.