

State Energy Program

Competitive Funding Opportunity Announcement: DE-FOA-0001073



U.S. DEPARTMENT OF
ENERGY

Energy Efficiency &
Renewable Energy

Informational Webinar For FOA Applicants
May 12th, 2014

Protocol for questions during this webinar

- Type all questions into the 'question box'. The SEP team will read the questions aloud and do their best to answer them depending on content.
- All questions asked during this presentation will be recorded and then posted and answered on FedConnect.
- In addition, all information provided during this webinar, including this presentation and the recorded webinar, will be posted on the State Energy Program Website.

Notice

- All applicants are strongly encouraged to carefully read the Funding Opportunity Announcement DE-FOA-0001073 (**“State Energy Program 2014 Competitive Awards”**) and adhere to the stated submission requirements.
- This presentation summarizes the contents of the FOA. If there are any inconsistencies between the FOA and this presentation or statements from DOE personnel, the FOA is the controlling document and applicants should rely on the FOA language and seek clarification from EERE.
- If you believe there is an inconsistency, please send comments via FedConnect at <https://www.fedconnect.net/>.

Agenda

- 1) Registration Requirements
- 2) SEP Competitive Award 2014 Overview
- 3) Anticipated Schedule
- 4) Means of Submission
- 5) Area of Interest 1
- 6) Area of Interest 2
- 7) Eligibility Requirements
- 8) Contents of Full Applications
- 9) Statement of Substantial Involvement
- 10) Cost Match
- 11) Key Points

Registration Requirements

- To apply to this FOA, Applicants must register with and submit application materials through Grants.gov. Click on the “Apply for Grants” link; then, click on the “Download a Grant Application Package” link and follow the instructions. Insert the announcement number to download the Application Package.
- Although not required to submit an Application, the following registrations must be complete to received an award under this FOA:

Registration Requirement	Website
DUNS Number	http://fedgov.dnb.com/webform
SAM	https://www.sam.gov
FedConnect	https://www.fedconnect.net
Grants.gov	http://www.grants.gov

Overview

- The SEP competitive funding opportunity provides up to \$5 million for cooperative agreements that allow States to develop high-impact, innovative approaches and solutions to transform clean energy (including energy efficiency and renewable energy) markets and achieve the economic and environmental benefits that clean energy offers. This competitive Funding Opportunity Announcement (FOA) allows States to compete for funding designed to meet EERE's nationally focused initiatives for the fundamental and permanent transformation of markets across all sectors of the economy. This FOA will include two Areas of Interest.

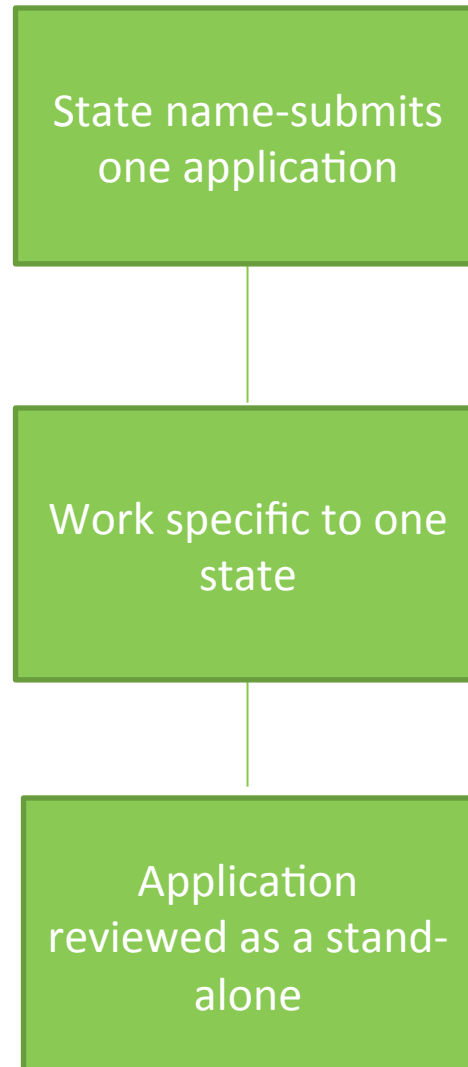
Anticipated Schedule

Anticipated Schedule:

FOA Issue Date:	April 30, 2014
FOA Informational Webinar:	May 12, 2014
Submission Deadline for Full Applications:	June 30, 2014, 5p.m. Eastern
Expected Date for EERE Selection Notifications:	September 18, 2014
Expected Timeframe for Award Negotiations:	September 24 through December 31, 2014

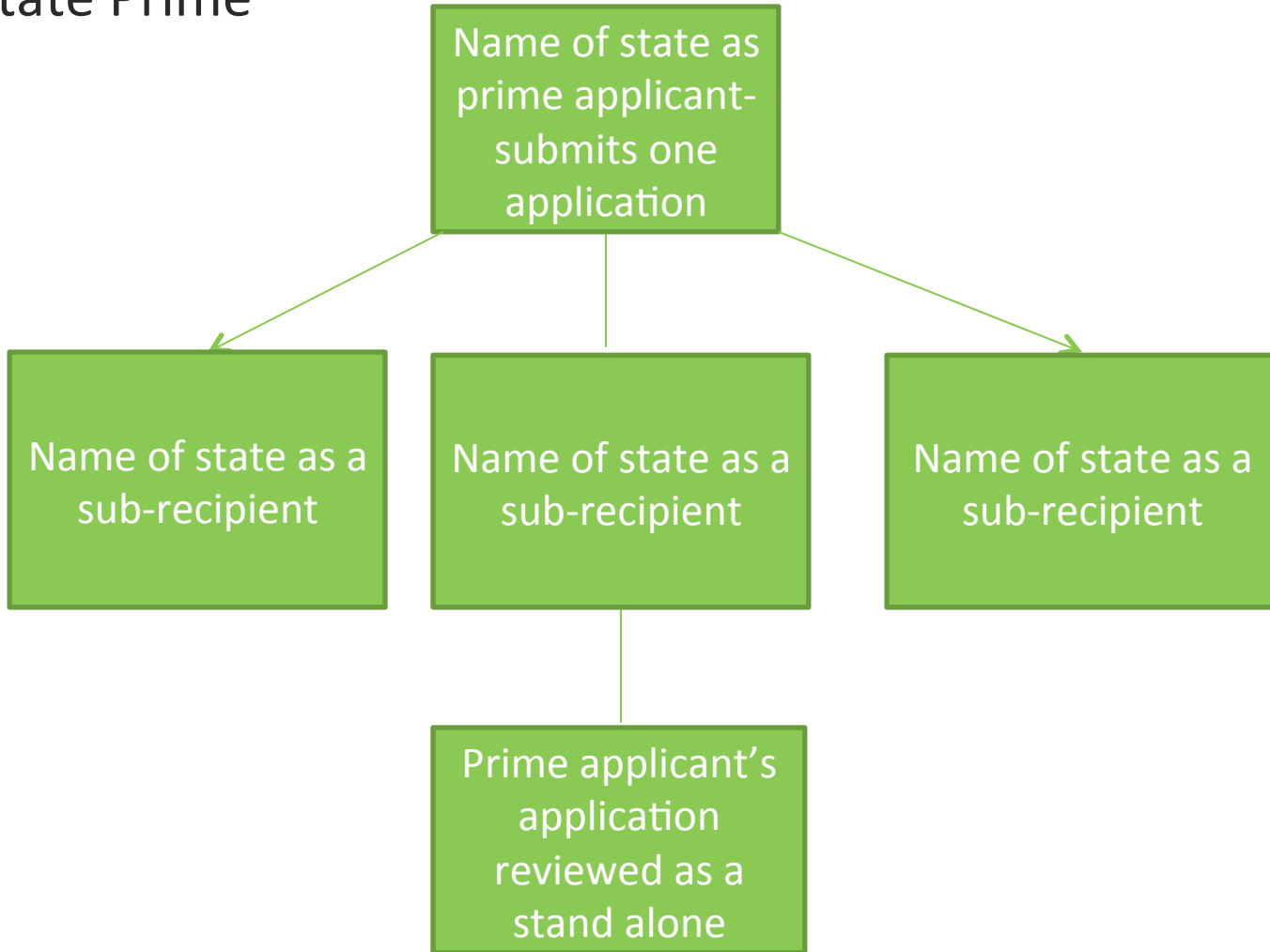
Means of Submission

State-Specific



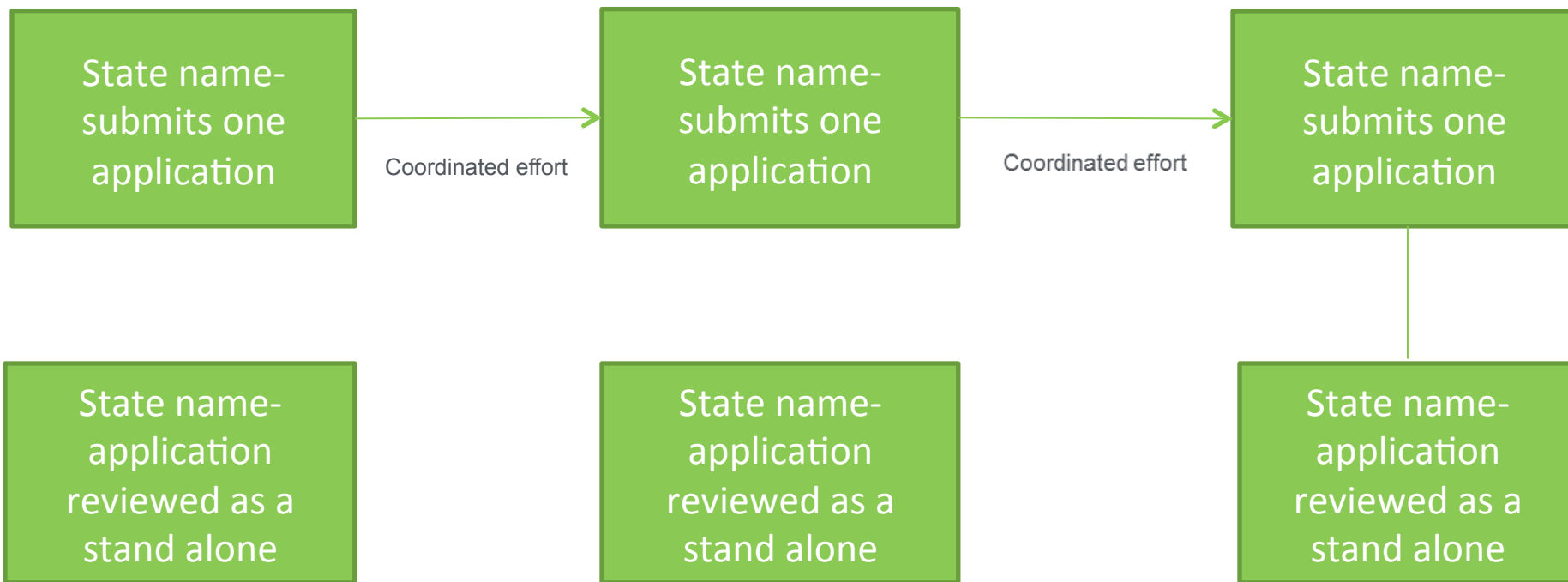
Means of Submission

Multi-State Prime



Means of Submission

Multi-State Coordinated Group



- Each state should list all partners
- Each state needs to make it clear that there is a coordinated effort
- The SEP will evaluate each proposal on its own merit even if it is a coordinated effort, so each state needs to make a strong case in its application and not rely on the other states to make their case for them.

Award Information-Area of Interest 1

State Energy Planning

- Description
 - DOE is seeking applications from States to bolster State/ regional energy planning by facilitating stakeholder and interagency discussions and related activities concerning (1) the future direction of the energy sector in the region/ State, with emphasis on the electric power sector and natural gas supply and transport, and (2) how energy efficiency and renewable energy fit into the vision for the future.

Award Information-Area of Interest 1

State Energy Planning

Area of Interest-1	
Anticipated Number of Projects:	Up to 9
Anticipated Total Amount to be Awarded:	Up to \$3,500,000
Anticipated Average Award Amount:	\$200,000 to \$300,000 for an individual State-specific application; approximately \$300,000-\$500,000 total for multi-State applications.
Types of Funding Agreements:	Cooperative Agreements
Period of Performance:	2 Years

Award Information-Area of Interest 1

State Energy Planning

Merit Review Criterion

Criterion 1: Program Strategy and Plan 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 roadmapping experiences.
- Degree to which applicant's approach incorporates best practices.

Award Information-Area of Interest 1

State Energy Planning

Merit Review Criterion-Continued

Criterion 2: Potential Impact Weight: [30%]

- Degree to which the applicant demonstrates that the proposed approach will lead to continuing dialogue among state energy offices, state and local environmental agencies, public utility commissioners and utilities to address energy, environmental and economic issues.
- Degree to which the applicant will use analytical tools (modeling, etc.) to inform the development of the roadmap.
- Degree to which the proposed programs and activities will lead to the development of a plan that is likely to achieve increased levels of energy efficiency and renewable energy in the State/region, increases economic development opportunities associated with promoting energy efficiency and renewable energy, enhances the resiliency and reliability of energy supplies and the electric grid, complies with current and future environmental regulations, and addresses other economic pressures that will have an impact on the energy sector.
- Degree to which the proposal will focus on regional or multi-State (as opposed to State specific) challenges and develop regional solutions and outlines a coherent proposal for such an approach.
- Degree to which the proposal focuses on creating mechanisms for accurately and rigorously measuring, tracking, and reporting energy savings and emissions reductions.

Award Information-Area of Interest 1

State Energy Planning

Merit Review Criterion-Continued

Criterion 3: Capabilities and Partnership Structure 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 state and local environmental agencies and public utility commissioners; utilities; and nonprofits.
- Degree of demonstrated commitment of the project team (for example, letters of commitment/support from local and state government officials (especially state and local environment agencies and public utility commissions), utilities, educational institutions, non-profit organizations, and other critical participants).

Award Information-Area of Interest 2

Innovative Opportunities for Energy Efficiency and Renewable Energy Practices

- Description

-The purpose of this Area of Interest is to assist States in advancing residential, commercial and/or industrial markets for energy efficiency and renewable energy through a set of policy and regulatory actions within a portfolio of six possible transformative areas. From a self-assessment of the current “state of play” in these six areas, states will determine which one(s) provide the best potential for making significant progress in overcoming barriers and achieving implementation of policies, legislation, regulatory changes and other catalyzing actions to increase adoption of energy efficiency and renewable energy technologies in their jurisdictions.

Award Information-Area of Interest 2

Innovative Opportunities for Energy Efficiency and Renewable Energy Practices

6 Topics of Emphasis:

1. Statewide energy efficiency and renewable energy targets/goals -including Energy Efficiency Resource Standards, Renewable Portfolio Standards, and/or energy efficiency targets as part of an integrated resource plan, part of an RPS, or portfolio of programs that will provide defined savings. (Category 1, Question 4)
2. Policies and programs for distributed energy resources and those administered by utilities and/or third parties. (Category 1, Questions 5, 6)
3. Frameworks for evaluation, measurement and verification of energy and emission reductions. (Category 1, Question 7)
4. Sources/models for financing retrofits for public facilities. (Category 3, Question 2)
5. Supporting partnerships with local governments and others to incentivize and/or remove barriers to energy efficiency and renewable energy investments. (Category 3, Question 3)
6. Building energy performance information for decision-making, including benchmarking and disclosure, aggregation of whole building usage data and data access. (Category 4, Questions 1, 2, 3)

Award Information-Area of Interest 2

Innovative Opportunities for Energy Efficiency and Renewable Energy Practices

Area of Interest-2	
Anticipated Number of Projects:	Up to 12
Anticipated Total Amount to be Awarded:	Up to \$2,500,000
Anticipated Average Award Amount:	\$75,000 to \$300,000 for an individual State-specific application; approximately \$300,000-\$500,000 total for multi-State applications.
Types of Funding Agreements:	Cooperative Agreements
Period of Performance:	2 to 3 Years

Award Information-Area of Interest 2

Innovative Opportunities for Energy Efficiency and Renewable Energy Practices

Merit Review Criterion

Criterion 1: Program Strategy and Plan 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.
- In the case of a proposal addressing more than one question, the degree to which the proposal presents an integrated approach to addressing these questions.
- Degree to which applicant's approach identifies and adequately addresses applicant's previous experiences that have impeded progress in the selected policy/program area(s).
- Degree to which applicant's approach incorporates best practices and continuous improvement feedback mechanisms.
- Degree of project sustainability that will result from policies.
- While not required, DOE will give additional weight to applications that include an Implementation Model Plan (see Appendix D for guidelines on developing an Implementation Model Plan).
- *For proposals regarding Category 3, Question 2 (Financing Retrofits for Public Facilities) ONLY:*
 - o Extent to which hard-to-reach sectors are addressed.

Award Information-Area of Interest 2

Innovative Opportunities for Energy Efficiency and Renewable Energy Practices

Merit Review Criterion-Continued

Criterion 1: Program Strategy and Plan Weight: [40%]

- *For proposals regarding Category 3, Question 3 (Working with Local Governments and Others) ONLY:*
 - o Extent to which hard-to-reach sectors and applications are addressed;
 - o Extent to which the proposals will seek to leverage financing sources to implement projects; and
 - o Degree of innovation in the proposal's approach. Examples of innovative approaches include:
 - Methodologies to overcome first-cost bias, e.g., life cycle cost analysis;
 - Use of unconventional financing mechanisms (e.g., but not limited to QECBs, PPPs);
 - Inclusion of local government projects in State financing mechanisms;
 - Assistance to local governments in preparation of bankable project proposals to internal and/or external financing sources;
 - Integration of local government water and energy planning/programs;
 - Training and integration of local government line departments in addressing energy efficiency; and
 - Development of local government climate mitigation plans.
- *For proposals regarding Category 4, Questions 1, 2 and 3 (Building Energy Performance Benchmarking and Disclosure, Whole Building Data and Data Access) ONLY:*
 - o Extent to which proposal capitalizes on existing momentum in both specific local communities within the State's (or States') jurisdiction as well as Statewide (or Statewide in the applicant States).

Award Information-Area of Interest 2

Innovative Opportunities for Energy Efficiency and Renewable Energy Practices

Merit Review Criterion-Continued

Criterion 2: Potential Impact Weight: [30%]

- Degree to which success in moving from “No” to “Yes” in the selected policy/program area(s) will significantly increase energy savings through energy efficiency and/or increase renewable energy as a percent of total electricity generation and use in the State(s).
- Degree to which success in moving from “No” to “Yes” in the selected policy/program area(s), or success in expanding efforts in the selected policy/program area(s), will move state (or States) toward leadership in reducing electricity consumption, e.g., as measured by the ACEEE Scorecard.
- Degree to which the applicant demonstrates that the proposed approach can be replicated in or expanded to other markets, States or regions.
- *For proposals regarding Category 3, Question 2 (Financing Retrofits for Public Facilities) ONLY:*
 - o The percent of market segment reached by the proposed policy/program.
- *For proposals regarding Category 4, Questions 1, 2 and 3 (Building Energy Performance Benchmarking and Disclosure, Whole Building Data and Data Access) ONLY:*
 - o The percent of market segment reached by the proposed policy/program.

Award Information-Area of Interest 2

Innovative Opportunities for Energy Efficiency and Renewable Energy Practices

Merit Review Criterion-Continued

Criterion 3: Capabilities and Partnership Structure 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 state and local environmental agencies and public utility commissioners; utilities; and nonprofits.
- Degree of demonstrated commitment of the project team (for example, letters of commitment/support from local and state government officials (especially state and local environment agencies and public utility commissions), utilities, educational institutions, non-profit organizations, and other critical participants).

Eligibility Requirements

- Eligible applicants for this FOA include:

- DOMESTIC ENTITIES

State entities are eligible to apply for funding as a Prime Recipient. In accordance with 10 CFR 600.6(b) and Energy Policy and Conservation Act, section 365(f) codified at 42 USC 6325(f) and Energy Independence and Security Act of 2007, section 531, eligibility for award for Areas of Interest 1 and 2 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.

Content of Full Applications

- Applicants must submit applications by 5:00 EDT on 6.30.14
- Must be submitted in Adobe PDF format unless otherwise stated.
- Must be written in English
- All pages must be formatted to fit on 8.5 x 11 inch paper with margins not less than one inch on every side. Use Times New Roman typeface, a black font color, and a font size of 12 point or larger (except in figures or tables, which may be 10 point font). A symbol font may be used to insert Greek letters or special characters, but the font size requirement 36 still applies. References must be included as footnotes or endnotes in a font size of 10 or larger. Footnotes and endnotes are counted toward the maximum page requirement.
- Each must not exceed the specified maximum page limit, including cover page, charts, graphs, maps, and photographs when printed using the formatting requirements set forth above and single spaced. If Applicants exceed the maximum page lengths indicated below, EERE will review only the authorized number of pages and disregard any additional pages.

Content of Full Applications-Continued

- SF-424 Application for Federal Assistance- Part of Adobe Application Package (no page limit)
- Project/Performance Site Location(s)- Part of Adobe Application Package
- Other Attachments Form:- (Part of the Adobe Application Package)
 - State Energy Assessment (Microsoft Word Format)
 - Technical Volume-not more than 30 pages excluding energy assessment (See Chart in Section IV.D.2) (EXCEPTION: The Workplan component of the Technical Volume should be submitted in Microsoft Word Format). Consider the weighting of the evaluation criteria when preparing this.
 - Letters of Commitment (Include with Technical Volume)
 - SF-424A Excel – Budget Information for Non-Construction Programs
 - Budget Justification (PMC 123.1) (no page limit, Microsoft Excel format)
 - Summary for Public Release (1 page max)
 - Summary Slide (1 page limit, Microsoft PowerPoint format)
 - Resume File
 - Subaward Budget Justification if applicable (PMC 123.1) (no page limit, Microsoft Excel format)
 - SF-LLL Disclosure of Lobbying Activities
 - Implementation Model Plan

Statement of Substantial Involvement

- Substantial involvement includes, but is not limited to the following:
 - EERE shares responsibility with the Prime Recipient for the management, control, direction, and performance of work under this award;
 - EERE reviews and approves in a timely manner project plans, including project management, testing and technology transfer plans, and recommending alternate approaches, if the plans do not address critical programmatic issues;
 - EERE participates in project management planning activities, including risk analysis, to ensure EERE technology office requirements or limitations are considered in performance of the work elements;
 - EERE may intervene in the conduct or performance of work under this award for programmatic reasons. Intervention includes the interruption or modification of the conduct or performance of project activities;

Statement of Substantial Involvement-Continued

- EERE promotes and facilitates technology transfer activities, including disseminating technology office results through presentations and publications;
- EERE participates in major project decision-making processes; and
- More information on Substantial Involvement can be found in Section VI.C.8 of the FOA.

Cost Match Requirements

- 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, the Recipient agrees to be liable for its 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.
- To assist Applicants in calculating proper cost match amounts, EERE has included a cost match information sheet Appendix B to this Funding Opportunity Announcement.

See Appendix B

Allowable Cost Match

- Cash Contributions
 - May be provided by the Prime Recipient, Subrecipients, or a Third Party.
- In-Kind Contributions
 - Can include, but are not limited to: personnel costs, indirect costs, facilities and administrative costs, rental value of buildings or equipment, and the value of a service, other resource, or third-party in-kind contribution.
- Project teams may use funding or property received from state or local governments to meet the cost match requirement, so long as the funding was not provided to the state or local government by the Federal Government.

Key Points

We recommend that you-

- Double check your entries in FedConnect
 - Submissions could be deemed non-compliant due to an incorrect entry
- Make sure you hit the submit button
- Follow formatting criteria and page lengths stated in the FOA
- Use the tables provided in the FOA to help construct a compliant application
- Include cost match commitment letters with the applications
- Remember that project team roles and responsibilities should be clearly spelled out
- Clearly define barriers being addressed
- Have cost match in place at the time of application submission
- Consider merit review criteria when preparing your application
- Be specific
- DOE is not seeking the use of Federal funds and/or cost match which capitalize revolving loan funds or financing mechanisms that extend past the period of performance
- Submit 48 hours before the due date
 - Avoid last-minute rush with FedConnect

Questions

Thank you for participating in the webinar. Please type any questions you have now into the question box.

All subsequent questions regarding the content of this FOA should be sent via FedConnect at <https://www.fedconnect.net/>.