

**FINANCIAL ASSISTANCE  
FUNDING OPPORTUNITY ANNOUNCEMENT**



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

**State Energy Program 2013 Competitive Awards  
Funding Opportunity Announcement Number: DE-FOA-0000839  
CFDA Number: 81.119**

**Issue Date: 06/21/2013**  
**Application Due Date: 07/25/2013, 8:59 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 System for Award Management (SAM) system, at <https://www.sam.gov>. Designating an E-Business Point of Contact (EBiz POC) and obtaining a special password called an MPIN are important steps in SAM registration. These items are needed to submit applications in Grants.gov. Update your SAM 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 SAM MPIN is required.

### **Where to Download the Application Package:**

Download the Application Package for this announcement at <http://www.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.

### **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:**

To ask questions about the Funding Opportunity Announcement, use FedConnect at <https://www.fedconnect.net/>. You must be a registered user in the system and submit questions by sending messages in your FedConnect email box. Part VII of this announcement explains how to submit questions to the Department of Energy (DOE).

### **Where to Submit Questions About the Registrations or Systems:**

DUNS & Bradstreet: [govt@dnb.com](mailto:govt@dnb.com)

System for Award Management (SAM) system: <https://www.sam.gov>

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](mailto:support@grants.gov)

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

FedConnect: [support@FedConnect.net](mailto:support@FedConnect.net)

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

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## **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's nationally focused initiatives for the fundamental and permanent transformation of markets across all sectors of the economy. Specifically, this FOA focuses on four areas of interest:

**Area of Interest 1 – Advancing Industrial Energy Efficiency** will assist states with the development of programs and strategies that support the productivity and competitiveness of the States' industrial sectors by addressing specific policy, regulatory, or market barriers that deter a higher percentage of companies from achieving the economic and environmental benefits of greater investment in energy efficiency and combined heat and power (CHP).

**Area of Interest 2 – Stimulating Energy Efficiency Action** that will assist States in the development of one or more specific high-impact policy and program frameworks to support investment in cost-effective energy efficiency and significantly increase statewide energy savings.

**Area of Interest 3 – Driving Demand for Public Facility Retrofits** will assist States to drive demand for public facility retrofit programs with a focus on increasing uptake in one of the three key market sectors of interest: (1) local government facilities; (2) public housing; and (3) state facilities. The goal is to assist States in establishing specific strategies to increase uptake for energy efficiency projects coupled with the use of sustainable financing programs. While most States use energy savings performance contracting as their financing/contracting mechanism, SEP is open to other models.

**Area of Interest 4 – Clean-Energy Economic Opportunity Roadmaps** will assist States with regional clean-energy economic strategic planning. Roadmaps are intended to help economic development stakeholders to coordinate, prioritize, and risk-assess their efforts to foster sustainably competitive, private-sector capacity in clean-energy manufacturing and services. Regions are geographic areas and need not be contiguous or defined by political boundaries. States are encouraged to partner.

### **Background**

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 access to new partnerships and resources. Through the SEP, DOE provides formula and

competitive funding assistance to States. States use formula awards to address their energy priorities through programs and policies that accelerate adoption of emerging energy efficiency and renewable energy technologies. DOE provides competitive awards to support policy and project developments that are highly leveraged and sustainable.

The SEP upholds the Department of Energy (DOE) Strategic Plan<sup>1</sup> 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.

Congress authorized the DOE to allow for formula and competitive grants and/or cooperative agreements to the States under the SEP. See e.g, Energy Policy and Conservation Act, section 365(f)(codified at 42 USC 6325(f) and Energy Independence and Security Act of 2007, section 531. DOE provides formula grants to States to design and carry out their own energy efficiency and renewable energy programs. In FY2013, 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.

## **B. Program Areas of Interest**

### **Area of Interest 1 – Advancing Industrial Energy Efficiency**

Number of Projects: Up to 15

Total Potential Award Funding: Up to \$750,000

Awards range from \$50,000 to \$100,000

DOE is seeking applications for the development of programs and strategies that support the productivity and competitiveness of the States’ industrial sectors by providing support to the areas of industrial efficiency and combined heat and power (CHP). Through various events and dialogues with States, DOE has come to understand the importance States place on a competitive and robust industrial sector due to the many benefits that manufacturers provide, including economic development. DOE also understands that industrial energy efficiency and CHP can play an important role in improving industrial productivity. On the basis of these understandings, DOE recognizes that there are significant opportunities for States to engage with industrial-sector stakeholders and local policy decision-makers to examine energy efficiency and CHP technologies and best practices with the purpose of developing actionable plans to achieve significant productivity and economic benefits. The goal of this Area of Interest is to provide

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<sup>1</sup> DOE Strategic Plan

States the opportunity to assist their industrial sectors by addressing specific policy, regulatory, or market barriers that deter a higher percentage of companies from achieving the economic and environmental benefits of greater investment in energy efficiency and CHP.

Under this Area of Interest, applicants will engage state, local, and private-sector actors to identify and address key barriers and solutions. Efforts may include 1) education, outreach and information sharing to better understand and serve the industrial sector's efficiency needs; 2) convening of state, local, utility and other key actors to address existing policy and regulatory barriers to CHP and industrial efficiency; and 3) convening of state policymakers, academics, and other experts in industrial efficiency to map state resources in industrial efficiency and CHP and develop policy strategies to support growth in the sector.

For the purposes of this funding opportunity, the "industrial sector" may include other large commercial users that would not typically be considered industrial but still have successfully implemented CHP, including hospitals, hotels, universities, etc.

The goal of Area of Interest 1 is to develop replicable models and best practices on the basis of the action plans that States will create to address policy, regulatory, or market barriers that deter a higher percentage of companies implementing energy efficiency measures and CHP. DOE is looking to have the models serve as "how-to" guides for other States to use as they address similar barriers in their jurisdictions.

### Industrial Energy Efficiency and Combined Heat and Power

The U.S. industrial sector accounts for about one-third of the nation's energy use, more than any other sector. Many industrial companies could capture relatively high rates of return by investing in technologies that increase efficiencies through operational changes, technologies, or CHP. However, they face market and non-market barriers, such as state policy, competing priorities for limited internal resources, and a lack of internal incentives and technical expertise to help develop and implement such efficiency projects.

Industrial energy efficiency refers to a suite of strategies and technologies applicable in manufacturing facilities, involving processes/equipment such as boilers and steam systems; combustion; compressed air; motors, fans, and pumps; process heating; and nano-manufacturing. By streamlining industrial process steps or in some cases even by reinventing entire production pathways, industrial efficiency can dramatically reduce energy and materials usage and, ultimately, costs. Fuel and feedstock flexibility, as well as advanced materials, also contribute significantly to energy savings in this sector.

CHP, also known as cogeneration, is an efficient and clean approach to generating power and thermal energy from a single fuel source. CHP is not a technology, but an approach to applying technologies. Instead of purchasing electricity from the local utility and burning fuel in an on-site furnace or boiler to produce needed steam or hot water, an industrial or commercial user can use CHP to provide both energy services in one energy-efficient step. CHP is found across all sectors but has historically served the industrial, large-commercial, and institutional sectors very well.

The existing 82 gigawatts (GW) of U.S. CHP capacity at over 3,700 industrial and commercial facilities represents approximately 8 percent of current U.S. generating capacity and over 12 percent of total mega watt-hours (MWh) generated annually. Recognizing the benefits of CHP and its current underutilization as an energy resource in the United States, the Obama Administration is supporting a new challenge to achieve 40 GW of new, cost-effective CHP by 2020. Achieving this goal would:

- Increase total CHP capacity in the U.S. by 50 percent in less than a decade
- Save energy users \$10 billion a year compared to current energy use
- Save one quadrillion Btus (Quad) of energy — the equivalent of 1 percent of all energy use in the U.S.
- Reduce emissions by 150 million metric tons of CO<sub>2</sub> annually — equivalent to the emissions from over 25 million cars
- Result in \$40-\$80 billion in new capital investment in manufacturing and other U.S. facilities over the next decade

States are encouraged to develop programs and strategies that address challenges facing industry in the areas of energy efficiency and CHP by first evaluating and understanding the current barriers to action and then creating a solution set to address one or more specific, identifiable and impactful barriers. Solutions can include efficiency programs, policies or policy changes, utility engagement, and other approaches. The successful applicant will ultimately develop an action plan that will include specific implementation steps and resources that will be dedicated to addressing identified barriers to success.

States are encouraged to partner with local governments to help address multi-jurisdictional barriers. States are also encouraged to partner with other States to provide a regional approach and to develop strategies that will allow resource leveraging to the greatest extent possible.

### Examples of Activities

Below are some examples of activities that reflect DOE's interest in assisting States to better understand their industrial sector energy needs and coordinate existing resources and local actors to address specific, identifiable and impactful barriers facing the industrial sector in achieving greater energy efficiency and/or implementing CHP. The activities below are not prescriptive but illustrative of how an award recipient may achieve the objectives of this award in their community.

- Convene state and local policy makers, utility, industrial sector representatives, and other key actors to address existing policy, regulatory and program barriers to industrial energy efficiency and CHP, including:
  - Interconnection standards,
  - Utility rates and tariffs,
  - Valuation of sales of excess power,
  - Industrial energy efficiency programs, and



- Local building codes relative to CHP.
- Convene state policymakers, academics, industry, and other experts in industrial efficiency to map state resources in industrial efficiency and CHP, identify specific policy and market barriers to CHP in the state, and develop policy strategies to support growth in the sector. Outputs may:
  - Identify state-specific policy, regulatory, and market barriers and recommend solutions that can address those barriers; and/or
  - Evaluate market potential for CHP in various or specific industry sectors in the state and how achievement of the potential may change through implementation of specific policy strategies.

### Program Elements

The following program elements in conjunction with the merit review criteria on page 62 will be used to evaluate Area of Interest 1 recipient applications. A well-designed program in this Area of Interest should include, but not be limited to, the following elements:

- Objective: Applicants should have specific, identifiable goals and objectives of their program and provide a vision of what they hope to accomplish.
- Goal Achievement: This section should include a description of how the applicant intends to structure their work to achieve their stated goals and objectives.
- Existing Efforts: Applicants should understand the current “state of play” of any existing industrial efficiency/CHP efforts already underway in their jurisdiction. This may include outreach or research in the industrial sector to understand its needs, an assessment of current policies or regulations impeding greater implementation of industrial energy efficiency measures, mapping of resources, etc.
- Stakeholders: Applicants will engage with state, local and private sector actors that play a distinct role in accomplishing their specified goals and objectives. Statements of support from key stakeholders, executives, and corporate champions may help to shepherd the effort to its greatest potential
- Stakeholder Engagement: A well-designed program will include a clear and consistent effort to structure stakeholder engagement to achieve the goals outlined in the objective section.
- Action Plan: The applicant will ultimately develop an action plan that will include specific implementation steps and resources that will be dedicated to addressing identified barriers to success.

For applicants applying to Area of Interest 1, additional relevant information in this FOA

guidance includes, but is not limited to:

- Eligibility Information beginning on page 27
- Application and Submission Information beginning on page 27
- Application Review Information beginning on page 61, and in particular:
  - State Policy Information Section on page 29 & 61
  - Merit Review Criteria on page 62
- Award Administration Information beginning on page 68, and in particular:
  - Statement of Substantial Involvement on page 71

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

### **Area of Interest 2 – Stimulating Energy Efficiency Action in States**

Number of Projects: Up to 4

Total Potential Award Funding: Up to \$1,500,000

Awards range from \$250,000 to \$500,000

Under this Area of Interest, DOE seeks applications from States to increase investments in cost-effective energy efficiency through policy and program frameworks created through collaboration with key stakeholders. States are encouraged to stimulate energy efficiency action through development of high-impact policies and programs that support greater investment in energy efficiency and significantly increase statewide energy savings. The policies and programs will be developed through a collaborative process and will engage key stakeholders that may include policy-makers, utilities, business and industry groups, and other key actors. States engaging in stakeholder collaborations initiated under prior-year funding awards have made significant gains via the frameworks they have developed and implemented; therefore, DOE is continuing to support additional awards in this area.

The funding under this Area of Interest is intended to support the stakeholder process that will lead to the identification of a suite of energy efficiency policies and programs that will provide significant energy savings, the adoption or enhancement of an energy savings goal (as applicable), and the development of the implementation plan to achieve the goal. The project approach builds on the National Action Plan for Energy Efficiency<sup>2</sup> and the State and Local Energy Efficiency Action Network<sup>3</sup> as resources. Applicants are categorized into two tiers:

Tier 1: For States with little-to-no current energy savings from ratepayer funded energy efficiency programs:

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<sup>2</sup> More information on the National Action Plan for Energy Efficiency can be found at <http://www.epa.gov/cleanenergy/energy-programs/suca/resources.html>

<sup>3</sup> <http://www1.eere.energy.gov/seeaction/>

DOE seeks to help these States become leaders in reducing energy consumption. This Area of Interest will provide Tier 1 States with funding to stimulate development of a suite of results-based policies and programs that are projected to increase statewide electricity savings to at least one percent per year. Should a state wish to address them, natural gas, home heating oil, and transportation fuel savings should be additional to the minimum one percent electricity savings goal.

Selected Tier 1 States will either:

1. Establish a minimum annual statewide energy savings goal of one percent, and achieve the goal through 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 time<sup>4</sup>); or
2. Identify and implement energy efficiency programs with estimated savings totaling a minimum of one percent annual statewide energy savings.

The following is the definition of States with little-to-no current savings from energy efficiency programs:

- States that have achieved less than 0.50 percent savings relative to electricity sales based on 2010 data (from the American Council for an Energy Efficient Economy’s energy efficiency ranking of States, published in 2012<sup>5</sup>); or
- States that have invested less than one percent of total electricity and/or gas revenues on energy efficiency (from the American Council for an Energy Efficient Economy’s energy efficiency ranking of States, published in 2012<sup>6</sup>); or
- A state that does not meet either definition based on 2010 data can provide convincing evidence that it is below either of the thresholds, using data from 2010 or 2011.

Activities for Tier 1 States include, but are not limited to:

- Aligning utility incentives with energy efficiency through policies that incentivize utilities to pursue energy efficiency as a resource such as cost recovery mechanisms, performance incentives, utility integrated resource planning or other planning processes

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<sup>4</sup> 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](http://www.apscservices.info/pdf/08/08-144-U_153_1.pdf)

<sup>5</sup> Table 12, “2010 Net Incremental Electricity Savings by State,” p. 31.

<sup>6</sup> Table 8, “2011 Electricity Efficiency Program Budgets by State,” p. 26.

that treat energy efficiency as a lowest cost resource.

- 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.
- Increased Energy Efficiency Programs with Estimated Energy Savings: See the Rapid Deployment Energy Efficiency (RDEE) Toolkit for examples of state and local programs.<sup>7</sup>
- Other Energy Efficiency Savings Strategy or Strategies.

Tier 2: For States with moderate-to-significant current energy savings from ratepayer funded energy efficiency programs:

In addition, DOE seeks to help States in Tier 2, those that have met or are on track to meet existing statewide energy savings goals to innovate beyond the “low hanging fruit,” to capture deeper savings and advance baseline energy efficiency performance.

Selected Tier 2 States will either:

1. Increase annual incremental energy savings by a minimum of 1 percent
- or
2. Increase annual incremental energy savings by a significant amount over an existing level so as to place them among leading states as measured by their annual energy savings goals/targets.

Selected Tier 2 states will also identify the approaches they will use to meet these energy savings goals/targets, including one or more emerging approaches (see list below). It is understood that some of the emerging approaches may be enabling in nature and/or supportive of successful energy savings programs and, therefore, play a different but important role perhaps not fully captured in an energy savings goal/target (e.g., increasing availability of energy data). Selected states will identify the emerging approaches they plan to pursue and provide a rationale for why these emerging approaches are appropriate for advancing the state toward its energy savings goals.

Should a state wish to address them, natural gas, home heating oil, and transportation fuel savings should be additional to the state’s increase in electricity savings.

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<sup>7</sup> The RDEE Toolkit is available at [http://www.epa.gov/cleanenergy/documents/suca/rdee\\_toolkit.pdf](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>

The following is the definition of States with moderate-to-significant current savings from energy efficiency programs:

- States that have achieved 0.50 percent or more savings relative to electricity sales based on 2010 data (from the American Council for an Energy Efficient Economy's energy efficiency ranking of States, published in 2012<sup>8</sup>); or
- States that have invested more than one percent of total electricity and/or gas revenues on energy efficiency (from the American Council for an Energy Efficient Economy's energy efficiency ranking of States, published in 2012<sup>9</sup>); or
- A state that does not meet either definition based on 2010 data can provide convincing evidence that it is above either of the thresholds, using data from 2010 or 2011.

In addition to the example activities outlined for Tier 1 States, activities for Tier 2 States include, but are not limited to:

- Enabling informed customer decisions through energy data access and transparency policies which may include building energy labeling and disclosure policies and/or improved utility energy usage data access.
- Developing and implementing policy and utility-administered program frameworks for adoption of building energy codes, monitoring compliance, and code enforcement.
- Implementing provisions or authorizations for financing programs that encourage private-sector investment in energy efficiency.
- Improving data analytics and designing focused policies and programs to achieve energy savings in multifamily and/or manufactured homes, and other such historically underserved markets.
- Employing strategic energy management programs and integrated program design in commercial buildings, which incorporate building mechanical technologies, incentives based on high performance, energy disclosure requirements, and education, among others elements, to improve the performance of new and existing buildings in this sector.
- Designing provisions for including district energy systems as eligible resources that count toward existing state Energy Efficiency Resource Standards to remove a barrier to their widespread adoption and encourage their use.
- Developing solutions to address industrial opt-out provisions within existing state Energy Efficiency Resource Standards to improve energy efficiency performance within the industrial sector.

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<sup>8</sup> Table 12, "2010 Net Incremental Electricity Savings by State" p. 31.

<sup>9</sup> Table 8, "2011 Electricity Efficiency Program Budgets by State" p. 26.

- Advancing agricultural efficiency by addressing barriers to rural energy efficiency projects, such as financing, by connecting farmers to state and federal resources.
- Designing and implementing programs using behavioral science, communication and high-efficiency control technologies to scale up demand for, and adoption of, energy efficiency.
- Any other initiatives that a State deems as “emerging” or “next generation” topics needing solutions for advancing energy efficiency market transformation.

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 energy savings, adopts an annual statewide energy savings goal/increase of a minimum of one percent (if applicable), 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 energy savings by the second year of the 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.

### Program Elements

The following program elements in conjunction with the merit review criteria on pages 63-64 will be used to evaluate Area of Interest 2 recipient applications. A well-designed program in this Area of Interest should include, but not be limited to, the following elements:

1. 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;
2. The energy consumption baseline that exists in the state or will be developed for use in tracking progress toward achieving the adopted energy efficiency goal/increase. States must provide the total energy used/year (KWh/yr and therms/yr) in the sector they are addressing, including the percent of state’s total energy use;

3. The target market size of the sector(s) addressed (relevant metrics may include number of buildings, square feet, new construction/year; number and type of utilities affected; number and type of industries and industrial facilities targeted; number and type of energy efficiency providers interested in data access).
4. The potential (estimated) dollar and energy savings or energy use reduction per year in the state as a result of implementation of policy or program.
5. Existing state policies and relevant regulations.
6. The specific policy and programmatic opportunities currently available in the state for savings from energy efficiency programs (in other words, a description of how the state is currently positioned to take advantage of this funding and why a successful outcome is likely) and a list of current state and utility programs that address the target market;
7. 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.

For applicants applying to Area of Interest 2, additional relevant information in this FOA guidance includes, but is not limited to:

- Eligibility Information beginning on page 27
- Application and Submission Information beginning on page 27
- Application Review Information beginning on page 61, and in particular:
  - State Policy Information Section on page 29 & 61
  - Merit Review Criteria on page 63
- Award Administration Information beginning on page 68, and in particular:
  - Statement of Substantial Involvement on page 71

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

### **Area of Interest 3 – Driving Demand for Public Facility Retrofits**

Number of Projects: Up to 5

Total Potential Award Funding: up to \$2,500,000

Awards range from \$250,000 to \$500,000

DOE is seeking applications for programs that drive demand for State public facility retrofit projects/programs with a focus on increasing uptake in one of the three key market sectors of interest: (1) local government facilities; (2) public housing; and (3) state facilities. The goal is to assist States in establishing specific strategies to increase uptake for energy efficiency projects coupled with the use of sustainable financing programs.

Awards made under prior year FOAs are focused on developing and refining standardized contracts and procurement provisions associated with funding mechanisms, designing technical assistance approaches, and working on other elements to streamline access to and use of

financing structures for public sector retrofits. DOE has recognized that there remains a significant need to focus on effective marketing of sustainable finance mechanisms in ways that create demand for both the financing and the retrofit in a mutually supportive way to scale investment in energy efficiency in the public sector. Successful strategies for increasing demand will allow states to more fully explore self-funding mechanisms by spreading costs over more projects and reducing client resistance to high perceived technical assistance or third-party costs.

While public facility retrofit projects are commonly delivered through an energy savings performance contract (ESPC), DOE is also open to other contracting/financing models that deliver similar results, such as the following:

- Energy savings that are capable of paying the costs of the energy efficiency retrofit (i.e., projects are cash-flow positive or neutral over the project term)
- Contracting instruments are sufficiently similar so results of the State’s demand-driving strategies can be compared with the baseline, and
- Projects provide quantifiable data on energy efficiency savings and uptake which can be used to justify similar projects in other jurisdictions.

The goal of Area of Interest 3 is to develop a number of replicable models with proven results in driving demand and best practices to overcome barriers to increasing uptake for public facility retrofits. DOE is looking to have the models serve as “how-to” guides for other States to use as they work to drive demand for energy efficiency retrofits in similar market sectors.

States interested in applying under Area 3 are asked to submit proposals that outline a “business plan” designed to increase uptake for retrofits in one of the three market sectors below:

1. Local government facilities: intended to include county, city, or other municipal government facilities, and local school districts as appropriate, or as proposed.
2. Public housing: includes working with local housing agencies who administer subsidized public housing developments funded through the Housing Choice Voucher Program (commonly referred to as “Section 8”) and other public housing programs.
3. State agencies: intended to include underserved subsectors of the state building portfolio, including office buildings, universities, hospitals, community colleges, and other entities as appropriate, or as proposed.

A successful application will include a description of the current public facilities energy retrofit program and how the State will take the program to scale. It will also outline the key elements that provide the framework of the State’s current public facilities energy retrofit program, including: 1) strong leadership and legislative support; 2) standardized processes and/or contracts; 3) technical assistance and educational services; 4) data collection and benchmarking systems; 5) measurement & verification services; and 6) stakeholder engagement efforts, as well as any current outreach activities.



A successful application will also include a detailed explanation of the approach the State is proposing to take in its business plan under this project, including its scope, value proposition, implementation team, stakeholder and client engagement, barriers addressed, data collection system, benchmarking efforts, impact of the program and the evaluation plan.

Each State's proposal will be gauged by the degree to which demand for energy efficiency projects is projected to increase in their selected sector. Demand is defined by the number and value of projects committed to on an annual basis at the end of the three year award as compared to the starting point. This baseline will be established by the State as part of their application and, along with the size of and impact to the selected market sector, will be considered in the selection process.

*For example: A State might indicate that its historic annual average of energy efficiency projects in K-12 schools is 15 projects with an average aggregate project value of \$12 million. The State might project that it expects to increase demand by 30%, executing 20 projects for a value of \$16 million by the end of the award. Its proposal would then outline the barriers that sector faces and how its program will mitigate those barriers in order to achieve the goal.*

A well-crafted "business plan" will provide a detailed approach to overcoming sector-specific barriers while demonstrating, and quantifying, the positive impacts resulting on demand within the sector. While it is expected that many of the approaches and solutions will apply to multiple sectors, for the purpose of each individual award, States will be engaged in a single market sector in order to focus their efforts on creating uptake. DOE will evaluate the success of the programs relative to the baseline in order to provide proven, replicable models to other States.

### Program Elements

The following program elements in conjunction with the merit review criteria on pages 64-65 will be used to evaluate Area of Interest 3 recipient applications. A well-designed program in this Area of Interest will include, but not be limited to, the following elements:

1. **Specific Target Market Sector(s):** The market for the program will be limited to one of the three target markets outlined above. While these markets are broad, applicants are encouraged to focus their efforts through this program on a relatively narrow set of prospective sector(s) and provide a clear justification for why the market and sector(s) were selected.
2. **Established Baseline:** Assess baseline for the sector(s) the program will be targeting. Discuss how the program will collect data and measure progress against the baseline.
3. **Goals and Objectives:** Describe the successful vision of the program. For example, a driving demand goal for a program might be "to educate" state agencies on the benefits of energy efficiency and inspire them to perform guaranteed energy savings retrofit projects. The objectives supporting the goal should be clear, quantifiable, and achievable within

the three-year project period. The objectives may change over time as the program implements and measures progress.

4. Evaluation Plan: Describe how progress will be measured and identify the measureable indicator(s) for the objectives. Determine the process for regularly measuring progress and discuss how these assessments will drive the program's strategies.
5. Recognized Achievements: If applicable outline any internal or external recognition efforts that will be associated with the program's approach.
6. Effective Messaging: To the extent possible outline the target audiences, communications plan, and platforms that will be used in the approach to drive demand for public facility retrofits. Also discuss the messaging of the external benefits and customization to different audiences.

For applicants applying to Area of Interest 3, additional relevant information in this FOA guidance includes, but is not limited to:

- Eligibility Information beginning on page 27
- Application and Submission Information beginning on page 27
- Application Review Information beginning on page 61, and in particular:
  - State Policy Information Section on page 29 & 61
  - Merit Review Criteria on page 64&65
- Award Administration Information beginning on page 68, and in particular:
  - Statement of Substantial Involvement on page 71

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

#### **Area of Interest 4: Clean-Energy Economic Opportunity Roadmaps**

Number of Projects: Up to 4

Total Potential Award Funding: Up to \$1,200,000

Awards range from \$250,000 to \$400,000

DOE is seeking applications from States to develop regional clean-energy economic opportunity roadmaps. Regions are geographic areas and need not be contiguous or defined by political boundaries. States are encouraged to partner to develop either (1) a single roadmap for a contiguous or non-contiguous region incorporating territory from all partnering States, or (2) separate roadmaps for regions wholly located within individual partnering States but in conjunction with a program framework that emphasizes robust peer exchange throughout the award period.

With the five-fold increase in global investment that has occurred over the last several years in

the clean-energy sector, DOE is taking strategic action to focus its technology and deployment proficiencies to help grow US clean energy manufacturing competitiveness. A key element of this initiative is the development of partnerships with the nation's public and private sectors, universities, think tanks, and other stakeholders to identify and commit to pathways to encourage investment in clean-energy manufacturing. Therefore, DOE is focusing this Area of Interest on the development of roadmaps that will help economic development stakeholders to coordinate, prioritize, and risk-assess their efforts to foster sustainably competitive, private-sector capacity in clean-energy manufacturing and services (e.g., clean energy services include building efficiency services, photovoltaic installation, and other services involving the use and installation of clean energy products). Clean-energy products and services can drive innovation, promote skilled employment, and power broader economic progress. However, in an era of globalization, enduring success at the regional level necessitates rigorous analysis that honestly evaluates existing and attainable capacity against a backdrop of ever-increasing competitive pressures.

Under this Area of Interest, a successful application will clearly articulate a detailed framework for an economic development strategy focusing on clean-energy products, clean-energy services, or industrial efficiency improvements (though not in the absence of attention to clean-energy products and services) and demonstrate the expected benefits that will accrue from its further refinement and validation with resources provided through this funding opportunity. If funded, applicants will undertake a roadmapping exercise in order to evidence the viability of the proposed strategy given regional assets and broad market expectations. DOE is not requiring the utilization of any particular roadmapping methodology. However, applicants must specify, and describe in detail, an approach to be employed over a two-year award period that can:

1. baseline the region's existing assets, including clean-energy production facilities, clean energy services providers, supply chains, research and development capacity, industrial consortia, infrastructure, and workforce development resources;
2. examine clean-energy market opportunities to assess their alignment with existing, as opposed to aspirational, regional manufacturing and other resources; and
3. identify key areas of regional competitive advantage.

In assessing market opportunities, a well-crafted strategy will prioritize the clean-energy economic potential beyond the boundaries of a roadmapped region. It will also map areas of competitive advantage within broader value chains, and particular importance should be attached to critical components or enabling technologies.

For the purposes of these roadmaps, examples of "clean-energy manufacturing" include, but are not limited to:

- Solar PV cells and modules
- Wind turbines and components
- Electric vehicles and batteries
- Fuel cells
- Geothermal heat pumps

- Advanced biofuels
- Energy-efficient building and lighting technologies
- Energy-efficient manufacturing technologies
- Smart-grid technologies
- Hydro/marine turbines

Capacity to deliver clean energy services related to these products would also be suitable for roadmapping, as would capacity to implement efficient manufacturing practices with potential to improve the competitive position of both clean-energy and other products.

### Regional Roadmaps and Economic Clusters

Economic roadmaps can focus development activity and resource allocation in an area by identifying and fostering existing, emerging, or attainable economic clusters. Economic clusters are geographic concentrations of companies and their supply chains, either doing business with one another or operating in the same industry. Examples of enduring clusters are Silicon Valley for computer technology, or Boston and San Diego for biotech. Complex resources such as robust supply chains, skilled labor, energy supplies, capital, and effective government are beyond the capacity of individual firms to generate and sustain alone. The shared development and provision of these resources through a clustering approach can yield far greater efficiencies and economic value, and, consequently, greater profits, for the involved firms.<sup>10</sup> Clusters are proven drivers of overall economic growth, including the emergence of new industries, in their regions. The density of experts, feedback loops, and resources associated with clusters may catalyze the emergence of alternative technology pathways, sustaining competitive advantages across technology generations, while also spinning off new technologies.

Clean-energy clusters are already beginning to emerge across the U.S., often with the support of public-private partnerships. Here are some examples:

- E<sup>4</sup> Carolinas  
E<sup>4</sup> Carolinas is a non-profit corporation that supports the Charlotte region's growing energy cluster, which comprises more than 200 energy-related companies employing over 20,000 people. The group took over an energy initiative previously developed by the Charlotte Regional Partnership, a 16-county economic development agency. E<sup>4</sup> Carolinas takes its name from its 4-pronged focus on energy, economy, environment and efficiency. E<sup>4</sup> Carolinas concentrates on workforce development, leadership training, and professional development courses.
- Colorado Clean Energy Cluster (CCEC)

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<sup>10</sup> Mercedes Delgado, Michael E. Porter, and Scott Stern, "Clusters, convergence and economic performance," *NBER Working Paper*, no. 18250 (July 2012).

The Colorado Clean Energy Cluster (CCEC) is a non-profit economic development organization working to grow jobs in Colorado by fostering partnerships between clean-energy companies, the public sector, and higher education. It currently supports over 30 companies employing more than 3,000 people. The CCEC showcases the capabilities of private-sector businesses and research institutions through marketing and business development. An example of the model at work is the FortZED initiative, which brings together clean-energy businesses, Colorado State University, and the City of Fort Collins.

Clusters are by definition complex networks with cultural, social, and economic components, and it is extremely difficult to identify critical determinants of success. In this light, roadmapping is a valuable approach for uncovering, and then investing in, the factors that matter.

#### Roadmapping: Resources and General Guidelines

There is no consensus on how best to roadmap a region for future success in the clean economy. This funding opportunity is in fact premised on the recognition that further exploration and documentation of roadmapping models and approaches are needed.

For a detailed roadmapping tutorial, applicants may wish to the Council on Competitiveness’s “Asset Mapping Roadmap: A Guide to Assessing Regional Development Resources.”<sup>11</sup>

For a specific regional example, applicants may consider familiarizing themselves with the activities of NorTech, a technology-based economic development organization working to revitalize Northeast Ohio by accelerating the growth of innovation clusters in advanced energy, flexible electronics and water technologies. NorTech has completed a roadmapping exercise that “targets seven year results” for cluster development, leverages existing assets, and—perhaps most important, “enables measurement – by setting a baseline and growth targets for jobs, revenue, local market share, and capital investment within the region.”<sup>12</sup>

For state-level roadmapping experiences, applicants may consult example “Building Bridges to Growth: A Roadmap for Advanced Manufacturing in Massachusetts,”<sup>13</sup> or “Iowa’s Advanced Manufacturing Strategic Roadmap.”<sup>14</sup> Note that this funding opportunity is for regional roadmaps.

Regardless of specific approach, nearly all roadmapping approaches incorporate:

- Baselineing,
- Time-Horizons and Regional Development Goals, and

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<sup>11</sup> [http://www.careeronestop.org/RED/Illuminate\\_regional\\_Aug2007.pdf](http://www.careeronestop.org/RED/Illuminate_regional_Aug2007.pdf) (August 2007)

<sup>12</sup> NorTech, “Using Cluster Roadmapping to Determine Your Strategic Direction,” DOE webinar (16 May 2013), 7.

<sup>13</sup> <http://www.mass.gov/hed/docs/eohed/building-bridges-to-growth.pdf> (November 2011).

<sup>14</sup> [http://www.iowainnovationcouncil.com/documents/filelibrary/publication\\_reports/Iowaadvmfroadmap\\_F39A3B8117950.pdf](http://www.iowainnovationcouncil.com/documents/filelibrary/publication_reports/Iowaadvmfroadmap_F39A3B8117950.pdf) (September 2005).

- Action/Implementation Plans.

### *Baselining*

A critical first step to an instructive manufacturing roadmap is a rigorous baselining of current capacity. This allows participants to brainstorm a regional future that acknowledges and addresses existing structural weaknesses and finds ways to optimize stranded and/or underutilized assets. Previously underappreciated resources may reveal new potential when assessed through a rigorously designed roadmapping effort that gathers robust data and consistently applies standardized valuation criteria, while also mining the knowledge and judgments of stakeholders.

### *Time-Horizon and Regional Development Goals*

After baselining is complete, the next step in roadmapping is to identify tangible goals as well as a specific time-horizon, say, a period of between five to ten years. A shorter time-horizon may increase certainty but it will also circumscribe the range of outcome. And, of course, time is not the only goal-setting parameter that will compel trade-offs between the probability of realization with the magnitude of the desired benefits. Better-paying, higher-skill jobs or increased exports are common and laudable economic development goals, but regions may find other targets equally worthy.

### *Action/Implementation Plans*

The real measure of an economic roadmap is how well it serves to connect a present baseline with future goals. It is important to balance fidelity to a preferred path with flexibility to manage contingency in ways that provide actionable guidance to decision-makers in the region. Bridging the gap requires analysis to forecast broad market trends and evaluate the region's capacity to adapt to and capitalize on movements in the larger economy. Iteratively tested, the feedback loop between assets, trends, and goals should illuminate the decision points that a region will face over the time-horizon. These decision points can then inform the plan of action/implementation that should emerge from an effective roadmapping effort.

### Program Elements

The following program elements in conjunction with the merit review criteria on pages 65-66 will be used to evaluate Area of Interest 4 recipient applications. A well-designed program in this Area of Interest should include, but not be limited to, the following elements:

- Region: Identification of the region(s) that the program will address.
- Objective: A specific description of the state's incipient clean energy strategy for economic development, including the initial design of the program, how it can contribute to increased levels of clean-energy manufacturing and delivery of services, and how roadmapping will help to validate and refine the strategy.
- Approach: A discussion of the state's proposed roadmapping approach, including a specific and detailed description of the methodology to be employed that includes a

baselining of the region's existing assets, an examination of clean energy market opportunities, and areas of regional competitive advantage, as outlined earlier in this Area of Interest. It should also include a discussion of any partnership structures, data needs, and schedule or implementation plan for the program.

- **Barriers:** Identification of barriers to implementing a successful program and a description of how the proposed strategy and activities will overcome those barriers. If there is an existing model that is being considered (i.e., a program currently implemented by another organization), provide information on that program and how it will be transferred.
- **Program Support and Team:** An outline and description of the structure of the implementing agencies, partners, contractors, and personnel who will advance the goals and outcomes of the program through the implementation process, serving as program champions and technical advisors, and provide education and outreach to stakeholders and prospective clients.
- **Stakeholder/Client Engagement:** An explanation of the extent to which appropriate stakeholders and prospective clients for the program will be engaged in the overall effort and an outline of the timeframe of their involvement. Examples of stakeholders include: regional economic development organizations, contractors, financial institutions, trade organizations, educational institutions, state and local government agencies, utilities, non-profits, etc.
- **Action/Implementation Plan:** An outline of a preliminary action/implementation plan for the roadmap. Roadmapping is expected to lead to an action/implementation plan, including an estimate of the budget and resources needed for implementation. Implementation of the plan is not required within the award period.

For applicants applying to Area of Interest 4, additional relevant information in this FOA guidance includes, but is not limited to:

- Eligibility Information beginning on page 27
- Application and Submission Information beginning on page 27
- Application Review Information beginning on page 61, and in particular:
  - State Policy Information Section on page 29 & 61
  - Merit Review Criteria on page 65 & 66
- Award Administration Information beginning on page 68, and in particular:
  - Statement of Substantial Involvement on page 71

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

## SECTION II – AWARD INFORMATION

### A. Type of Award Instrument

#### Cooperative Agreements

- DOE anticipates awarding cooperative agreements under this program announcement (See Part VI.B.5 Statement of Substantial Involvement). The nature of the Federal involvement is included as an award condition.

### B. Estimated Funding – Amount for New Awards

- Approximately \$5,000,000 is expected to be available for new awards under this announcement. Funding for all awards and future budget periods are contingent upon the availability of funds appropriated by Congress for the purpose of this program and the availability of future-year budget authority.
  - Up to \$750,000 for Area of Interest 1: Advancing Industrial Energy Efficiency;
  - Up to \$1,500,000 for Area of Interest 2: Stimulating Energy Efficiency Action in States;
  - Up to \$2,500,000 for Area of Interest 3: Driving Demand for Public Facility Retrofits; and
  - Up to \$1,200,000 for Area of Interest 4: Clean-Energy Economic Opportunity Roadmaps.

### C. Maximum and Minimum Award Size

- Ceiling (i.e., the estimated maximum amount for an individual award made under this announcement): \$500,000
- Floor (i.e., the estimated minimum amount for an individual award made under this announcement): \$50,000

### D. Expected Number of Awards

#### Number of Awards Depending on Size

- DOE anticipates making 15-28 awards under this announcement depending on the size of the awards and funding availability.

#### Number of Awards per Program/ Area of Interest

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



<b>Program/Area of Interest</b>	<b>Number of Awards</b>
1. Advancing Industrial Energy Efficiency	Up to 15
2. Stimulating Energy Efficiency Action in States	Up to 4
3. Driving Demand for Public Facility Retrofits	Up to 5
4. Clean-Energy Economic Roadmaps	Up to 4

## **E. Anticipated Award Size**

### **Award Size Per Program Area**

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

<b>Program/Area of Interest</b>	<b>Size of Awards</b>
1. Advancing Industrial Energy Efficiency	\$50,000 to \$100,000
2. Stimulating Energy Efficiency Action in States	\$250,000 to \$500,000
3. Driving Demand for Public Facility Retrofits	\$250,000 to \$500,000
4. Clean-Energy Economic Roadmaps	\$250,000 to \$400,000

## **F. Period of Performance**

### **Area of Interest 1: Advancing Industrial Energy Efficiency**

- Advancing Industrial Efficiency: DOE anticipates making awards that will run for up to two (2) years over one budget period.

### **Area of Interest 2: Stimulating Energy Efficiency Action in States**

- DOE anticipates making awards that will run for up to three (3) years 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 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 DOE’s mission and goals.
- “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 DOE mission, goals or portfolio, or lack of appropriated funds. Should the project be terminated, the final annual report will be accepted by DOE to fulfill the final technical report requirement.

**Area of Interest 3: Driving Demand for Public Facility Retrofits**

- DOE anticipates making awards that will run for up to two (2) years over one budget period.

**Area of Interest 4: Clean-Energy Economic Opportunity Roadmaps**

- DOE anticipates making awards that will run for up to two (2) years over one budget period.

**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 Industrial Energy Efficiency: 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 - Driving Demand for Public Facility Retrofits: States may submit either a state-specific or a state-local partnership application.
- Area of Interest 4 – Clean-Energy Economic Opportunity Roadmaps: States may submit a state-specific application, a state-local application, or a multi-state application.

States could potentially receive awards from all four 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) 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, 2, 3, and 4 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**

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.

### **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 are not required
- 2. Pre-application** – 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. State Policy Information**

A successful application will include, **as part of the project narrative**, completion of the questions listed below in the State Policy Information Section.

**State Policy Information Section**

**I: Using Energy Efficiency as an Energy Resource**

1A. Do one or more utilities in your state evaluate demand side resources as an alternative to new supply side resources (e.g. generation, transmission, distribution) based on a transparent energy resource planning process?

No. My state's utilities do not evaluate demand side resources as an alternative to new supply side resources.

Yes. My state's utilities evaluate demand side resources as an alternative to new supply side resources based on a transparent energy resource planning process.

1B. Does your state have an energy efficiency savings target that one or more utilities are required to achieve? (If the target increases over time, select the answer that reflects the highest target in a defined future year.)

No. My state does not have an energy efficiency target.

Yes. My state has established a target from 0.5-1%.

Yes. My state has established a target from 1-2%.

Yes. My state has established a target of 2% or higher.

1C. Does your state have an energy efficiency savings target that one or more utilities are required to achieve? (If the target increases over time, select the answer that reflects the highest target in a defined future year.)

No. My state does not have an energy efficiency target.

No. My state has a required state energy efficiency savings target, but utilities in my state did not achieve the annual energy savings consistent with the target.

Yes. One or more utilities in my state achieved annual energy efficiency savings consistent with the required state energy efficiency savings target.

## **II: Moving Forward with Building Codes and Standards**

2A. Has your state adopted ASHRAE 90.1-2007 equivalent or higher for residential buildings?

- No. My state has not adopted residential building codes.
- No. My state has adopted ASHRAE 90.1-2001 or equivalent.
- No. My state has adopted at least ASHRAE 90.1-2004 or equivalent.
- Yes. My state has adopted at least ASHRAE 90.1-2007 or equivalent.
- Yes. My state has adopted ASHRAE 90.1-2010 or equivalent.
- Yes. My state has adopted a stretch code beyond ASHRAE 90.1-2010.

2B. How would you characterize energy code enforcement in your state for residential buildings?

- The state is responsible for enforcement.
- Local authorities are responsible for enforcement.
- The state is responsible for enforcement when local authorities are unwilling or unable to enforce the code.
- Code enforcement is not mandatory.

2C. Has your state adopted the 2009 IECC equivalent or higher for commercial buildings?

- No. My state has not adopted commercial (non-residential) building codes.
- No. My state has adopted 2003 IECC or equivalent.
- No. My state has adopted 2006 IECC or equivalent.
- Yes. My state has adopted 2009 IECC or equivalent.
- Yes. My state has adopted 2012 IECC or equivalent.
- Yes. My state has adopted a stretch code beyond 2012 IECC.

2D. How would you characterize energy code enforcement in your state for commercial buildings?

- The state is responsible for enforcement of codes.
- Local authorities are responsible for enforcement.
- The state is responsible for enforcement when local authorities are unwilling or unable to enforce the code.
- Code enforcement is not mandatory.

## **III: Leading by Example with cost-effective efficiency improvement in public buildings, facilities, and fleets**

3A. Does your state have a long-term energy savings goal for public buildings/facilities?

- No, my state does not have a long-term energy savings goal for public buildings/facilities.
- Yes, my state has an energy savings goal of less than 1% a year.
- Yes, my state has an energy savings goal of 1-1.9% per year.
- Yes, my state has an energy savings goal of 2% or higher per year.

3B. Do state agencies benchmark building energy consumption?

- No, my state does not benchmark building energy consumption.
- No, but my state tracks aggregate energy consumption data in public buildings.
- Yes, my state regularly benchmarks public buildings.

3C. Do state agencies have access to capital for energy efficiency investments that is not dependent on annual appropriations?

- No, my state depends on annual appropriations for energy efficiency investments.
- Yes, my state utilizes Energy Savings Performance Contracts.
- Yes, my state has set up a revolving loan fund.
- Yes, my state has an established green bank/infrastructure bank that can be used for energy efficiency investments in public buildings.
- Yes, my state has access to capital for energy efficiency investments that is not dependent on annual appropriations but does not fall into one of the categories above.

3D. Has the state energy office adopted energy efficient purchasing policies, based on ENERGY STAR products and U.S. DOE's Federal Energy Management Program criteria used for federal purchasing?

- No, my state has not adopted energy efficient product procurement policies.
- Yes, my state has adopted energy efficient product procurement policies.

3E. Does your state have policies that support plug-in electric vehicles?

- No, my state has not adopted policies that support plug-in electric vehicles.
- Yes, my state has financial incentives for PEVs and/or charging equipment (i.e. tax credits).
- Yes, my state has non-financial incentives for PEVs (i.e. HOV lane access).
- Yes, my state has addressed regulatory barriers to PEVs (such as allowing for the re-sale of electricity).

#### **IV: Improving Distributed Resources with Utility Collaboration**

4A. Do one or more of your utilities offer demand response programs or have a peak reduction goal?

- No, my state's utilities do not offer demand response programs or have peak reduction goals.
- Yes, one or more utilities have peak demand reduction goals.
- Yes, utilities offer demand response programs to some customer classes.
- Yes, utilities offer demand response programs to all customer classes.

4B. Which customer classes can participate in utility-administered demand response programs?

- Industrial.
- Commercial.
- Residential/Small Commercial.
- None.

4C. Are there standardized interconnection rules for distributed generation?

- No, there are no standardized interconnection rules for distributed generation in my state.
- Yes, up to 10 kW.
- Yes, up to 100 kW.
- Yes, up to 20 MW.
- Yes, up to a defined capacity larger than 20 MW.

4D. Do one or more utilities' standby rates appropriately recognize the costs and benefits of distributed resources and CHP?

- No.
- Yes.

#### **V: Informing the Market with Improved Data Access on Building Performance**

5A. Do utility customers have timely access to machine-readable information about their energy consumption in a standard format (e.g. Green Button)?

- No, utilities do not currently provide standard, machine-readable information about energy consumption to customers.
- Yes, residential customers have this type of access to their data.



- Yes, commercial customers have this type of access to their data.
- Yes, industrial customers have this type of access to their data.

5B. Does at least one utility have a privacy policy in place that explicitly addresses access to customer energy usage data?

- No, utilities do not have a privacy policy in place that explicitly addresses access to customer energy usage data.
- No, but data access and privacy rules are pending.
- Yes, at least one utility has a privacy policy in place that explicitly addresses access to customer energy usage data.

5C. Does your state require the disclosure of building energy consumption?

- Yes, my state requires the disclosure of building energy consumption.
- No, my state does not require the disclosure of building energy consumption.
- No, my state does not require this but is currently considering a disclosure requirement.
- No, my state does not require disclosure of building energy consumption, but certain cities have a disclosure requirement.

5D. Does one or more of your utilities allow building owners access to aggregated data from all building meters even if the individual meters are billed directly to the tenant?

- Yes, one or more utilities in my state allows building owners access to aggregated data from all building meters.
- No, utilities in my state do not allow building owners access to aggregated data from all building meters.
- No, but my state is currently considering a rule that would allow this.

## **VI: Informing the Market with Better Access to Financing**

6A. Has the state established provisions or authorizations for energy financing programs that encourage private sector investment in energy efficiency?

- No, my state has not established provisions or authorizations for energy financing programs that encourage private sector investment in energy efficiency.
- Yes, including commercial PACE.
- Yes, including on-bill repayment.

- Yes, have established a clean energy financing authority or similar financing entity.
- Yes, including an unsecured loan program.
- Yes, my state has established energy financing provisions that encourage private sector investment in energy efficiency that are not mentioned above.

**c. Project Narrative File – Mandatory Other Attachment**

The project narrative must not exceed 30 pages, including cover page, table of contents, tables, State Policy Information Section, 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.

**c-1. For Area of Interest 1, Advancing Industrial Energy Efficiency**

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

**State Policy Information Section:**

As outlined in Section IV.C.3. b (pages 29-34)

**Merit Review Criterion Discussion:**

This section should be formatted to address each of the merit review criterion and sub-criterion listed in Part V and submit any additional attachments referenced, if applicable. 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 CRITERIA AND SUB-CRITERIA.

**Executive Summary:**

Provide a brief description of the program strategy and approach. Include a discussion of the Program Elements as outlined on page 9.

**Program/Strategy Plan:**

- Objective: Applicants should outline the goals and objectives of their program and provide a vision of what they hope to accomplish to increased adoption of energy efficiency and CHP development by the industrial sector.

- **Goal Achievement:** This section should include a description of how the applicant intends to structure their work to achieve their stated goals and objectives.
- **Existing Efforts:** Applicants should provide an overview of the “state of play” of any existing industrial efficiency/CHP efforts already underway in their jurisdiction. This may include a description of outreach or research in the industrial sector to understand their needs, an assessment of current policies or regulations impeding greater implementation of industrial energy efficiency measures, mapping of resources, etc.
- **Stakeholders:** Applicants should provide a list of what stakeholders will be engaged to accomplish their specified goals and objectives. This section may also include a description of existing working groups, previous engagement or outreach efforts. Additionally, stated support from key stakeholders, executives or corporate champions that are likely to help shepherd this effort to its greatest potential should be included.
- **Stakeholder Engagement:** This section should include a description of how the applicant intends to structure stakeholder engagement to achieve the goals outlined in the objective section. For example, the applicant may include the number of times they expect to hold convenings and how these convenings will address their stated objectives.
- **Industrial Sector:** If available, the applicant should include a description of their industrial sector and potential for energy savings through greater industrial energy efficiency or CHP implementation.
- **Action Plan:** The applicant will ultimately develop an action plan that will include specific implementation steps and resources that will be dedicated to addressing identified barriers to success.

**Potential Program Impact:**

Outline expected outcomes and/or impacts and include a clear statement describing the value of the outlined strategy. Address the sustainability of this program after the end of the performance period.

**Capabilities and Partnership Structure:**

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.

**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 1-3 pages in total, but is not included in the 30 page limit for 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)

**Project Timeline:**

For the overall project, a suggested timeline table format is provided below, but applicants may choose to develop their own.

TASKS	Deliverable(s); Milestones; Performance Metrics; Decision-Points	Quarterly Schedule											
		Q1	Q2	Q3	Q4	Q5	Q6	Q7	Q8	Q9	Q10	Q11	Q12
<b>PHASE 1:</b>													
Task 1.0:													
1.1	<i>Deliverables:</i>												
1.2	<i>Milestones and Performance Metrics:</i>												
1.3	<i>Major Gate Reviews/Decision Points:</i>												
Task 2.0:													
2.1	<i>Deliverables:</i>												
2.2	<i>Milestones and Performance Metrics:</i>												
2.3	<i>Major Gate Reviews/Decision Points:</i>												
Task 3.0:													
3.1	<i>Deliverables:</i>												
3.2	<i>Milestones and Performance Metrics:</i>												
3.3	<i>Major Gate Reviews/Decision Points:</i>												
<b>PHASE 2:</b>													
Task 1.0:													
1.1	<i>Deliverables:</i>												
1.2	<i>Milestones and Performance Metrics:</i>												
1.3	<i>Major Gate Reviews/Decision Points:</i>												
Task 2.0:													
2.1	<i>Deliverables:</i>												
2.2	<i>Milestones and Performance Metrics:</i>												
2.3	<i>Major Gate Reviews/Decision Points:</i>												
Task 3.0:													
3.1	<i>Deliverables:</i>												
3.2	<i>Milestones and Performance Metrics:</i>												
3.3	<i>Major Gate Reviews/Decision Points:</i>												

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

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

**State Policy Information Section:**

As outlined in Section IV.C.3. b (pages 29-34)

**Merit Review Criterion Discussion:**

This section should be formatted to address the merit review criterion and sub-criterion listed in Part V and submit any additional attachments referenced, if applicable. 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 CRITERIA AND SUB-CRITERIA.

**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.

**Energy Efficiency Policy and Program Development Process:**

Provide a general outline of the collaborative stakeholder process that will be undertaken to develop one or more specific high-impact policies and programs that support statewide investment in energy efficiency. The process should consider the following:

- Savings Target/Goal – an annual electricity savings of at least 1% per year for Tier 1 applicants, or, for Tier 2 applicants, increasing their annual electricity savings target per the specified guidance.
- Energy Consumption Baseline – the baseline that exists or will be developed in order to track progress towards achieving the savings target.
- 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.
- 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 policy and/or program 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 on National Action Plan on Energy Efficiency.) 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 time 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 policy/program development process undertaken, 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. At 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 (on 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% savings from electricity and natural gas to determine the energy that would be saved per year. If transportation fuel savings are addressed by the project, these savings are added to the electricity and natural gas 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 (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 1-3 pages in total, but is not included in the 30 page limit for 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 - 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)

### **Project Timeline:**

For the overall project, a suggested timeline table format is provided below, but applicants may choose to develop their own.

TASKS	Deliverable(s); Milestones; Performance Metrics; Decision-Points	Quarterly Schedule											
		Q1	Q2	Q3	Q4	Q5	Q6	Q7	Q8	Q9	Q10	Q11	Q12
<b>PHASE 1:</b>													
Task 1.0:		Q1	Q2	Q3	Q4	Q5	Q6	Q7	Q8	Q9	Q10	Q11	Q12
1.1	<i>Deliverables: Milestones and Performance Metrics: Major Gate Reviews/Decision Points:</i>												
1.2													
1.3													
Task 2.0:		Q1	Q2	Q3	Q4	Q5	Q6	Q7	Q8	Q9	Q10	Q11	Q12
2.1	<i>Deliverables: Milestones and Performance Metrics: Major Gate Reviews/Decision Points:</i>												
2.2													
2.3													
Task 3.0:		Q1	Q2	Q3	Q4	Q5	Q6	Q7	Q8	Q9	Q10	Q11	Q12
3.1	<i>Deliverables: Milestones and Performance Metrics: Major Gate Reviews/Decision Points:</i>												
3.2													
3.3													
<b>PHASE 2:</b>													
Task 1.0:		Q1	Q2	Q3	Q4	Q5	Q6	Q7	Q8	Q9	Q10	Q11	Q12
1.1	<i>Deliverables: Milestones and Performance Metrics: Major Gate Reviews/Decision Points:</i>												
1.2													
1.3													
Task 2.0:		Q1	Q2	Q3	Q4	Q5	Q6	Q7	Q8	Q9	Q10	Q11	Q12
2.1	<i>Deliverables: Milestones and Performance Metrics: Major Gate Reviews/Decision Points:</i>												
2.2													
2.3													
Task 3.0:		Q1	Q2	Q3	Q4	Q5	Q6	Q7	Q8	Q9	Q10	Q11	Q12
3.1	<i>Deliverables: Milestones and Performance Metrics: Major Gate Reviews/Decision Points:</i>												
3.2													
3.3													

**Table A:**

Area of Interest 2 Applicants should also complete Table A below:

State (Tier 1 or 2)	Target Market	Baseline Energy Use	Impact & Potential Savings	Stakeholders and Partners	Potential Leverage and/or Financing	Existing Programs and Policies
	Target market size of the sector addressed (relevant metrics may include number of buildings, square footage, new construction/ year for the buildings sector; number and type of utilities affected; number and type of industries and industrial facilities targeted); type and number of energy efficiency providers interested in data access.	Total energy used/year (KWh/yr and therms/yr) in sector affected. Include percent of State total.	Potential (estimated) dollar and energy savings or energy use reduction per year in the State as a result of implementation of policy or program.	List the stakeholders with whom the State will partner with as part of project implementation.	List funding sources and values (\$) anticipated to be used for project implementation.	Existing programs, state legislation, policies, executive orders, and relevant regulations.

Table A

### **c-3 For Area of Interest 3, Driving Demand for Public Facility Retrofits**

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

#### **State Policy Information Section:**

As outlined in Section IV.C.3. b (pages 29-34)

#### **Merit Review Criterion Discussion:**

This section should be formatted to address the merit review criterion and sub-criterion listed in Part V and submit any additional attachments referenced, if applicable. 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 CRITERIA AND SUB-CRITERIA.

#### **Executive Summary:**

- Provide a brief description of the approach for driving demand for public facility retrofits to the identified market sector that includes a clear, concise mission statement, objectives, and goals. Define the partnership structure, services provided, and schedule or implementation plan for the program.

#### **Program/Strategy Plan:**

- Approach: Describe the overall strategy of the program and outline how it will result in uptake of public facility retrofits. Identify barriers to implementing a successful program and describe how the proposed strategy and activities will overcome those barriers. If there is an existing model that is being considered (i.e., a program currently implemented by another organization), provide information on that program and how it will be transferred.
- Scope: Identify the sector(s) that the program will address and outline the market potential for energy efficiency retrofits, and clearly state the objective of the award.
- Program Support and Team: Outline the implementing agencies, partners, contractors, and personnel who will advance the goals and outcomes of the program through the implementation process, serving as program champions and technical advisors, and provide education and outreach to stakeholders and prospective clients. This section should include:
  - Evidence of executive-level leadership that will provide necessary support needed to promote efforts to drive demand in public facility retrofits.

- Identification of any relevant legislation, executive orders, PSC/PUC orders that impact energy efficiency retrofits.
  - Identification of current programs or initiatives which are complementary to the execution of energy efficiency retrofits.
  - Outline of the program's organizational structure, staffing requirements, candidates' experience and capabilities, and position overview with job requirements, responsibilities, and tasks.
- **Stakeholder/Client Engagement:** Describe to what extent, and in what timeframe, appropriate stakeholders and prospective clients for the program will be engaged in the overall effort in developing uptake in public facility retrofits. Examples of stakeholders include: energy service companies (ESCOs), contractors, financial institutions, trade organizations, educational institutions, state and local government agencies, utilities, non-profits, etc.
  - **Barriers:** Identify specific barriers to public facility retrofits in the selected market sector(s) inhibiting uptake. Identify significant technical, resource, and management issues that have the potential to impede program progress and outline strategies to minimize impacts from those issues.

**Potential Program Impact:**

- Outline expected outcomes and/or impacts and include a clear statement describing the value of the outcomes to drive demand for public facility retrofits. Address the sustainability of this program after the end of the performance period and outline how the value proposition of increased demand will be made to internal and external stakeholders. Describe how demand for energy efficiency retrofits will be maintained or increased from the target level in the future. Discuss the direct and indirect benefits to taxpayers and end-users over the next three years.
- In as much detail as possible, applicants will provide background and impact information for the selected market sector. This will both facilitate the selection process and provide context as programs get underway. Please be as accurate as possible, and include any relevant assumptions, sources, and descriptions of estimates or other background information.
  - **Market potential:** Include the number of facilities, the square footage, the annual energy consumption, and the project potential of the sector, (if available).
    - *For example: If the selected market sector is school districts, the Applicant should submit that there are 97 school districts in the state, that the estimated square footage of K-12 schools is 82 million square feet, that they consume approximately 7*

*million MMBtu of energy per year. If possible to calculate, the Applicant should indicate the estimated value of “cost-effective” energy efficiency retrofits to be made in the sector.*

- **Current baseline:** Estimate the current baseline for energy efficiency retrofits in the selected sector on an annual basis, including number of projects, value of projects, number of buildings, and projected energy savings. This number should be the average of several years of previous activity and will establish the baseline on which program activity will build.
  - *For example: The Applicant might indicate that over the last three years, there has been an average of 10 projects undertaken in local school districts, that these projects represent about 6 million ft<sup>2</sup>, that their total value was \$12 million, and that they were guaranteed to save 2.5 million kWh/year and 80,000 MMBtu/year.*
- **Award impact:** Identify the goal for energy efficiency retrofits to be achieved through the award expressed as the incremental change over the baseline at the end of the three-year award period.
  - *For example: The Applicant might indicate that as a result of their program, they expect to double the number of projects undertaken in that sector by 2 on an annual basis, that this will represent an additional 1.6 million ft<sup>2</sup>, that the value would be approximately \$2.4 million, and that they would save an additional 500,000 kWh/year and 16,000 MMBtu/year.*
- 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 capital that would be deployed over the next three years to carry forward these public facility retrofits. From the total capital cost for the project(s), please break out the amount which would be third-party financed.
- Carbon avoidance – Estimate the tons of CO<sub>2</sub> savings resulting from public facility retrofits.

**Capabilities and Partnership Structure:**

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-users on the value of energy efficiency and Program merits.

### **Data Collection:**

In order to demonstrate uptake in demand for public facility retrofits, Applicants should plan to provide project-specific information to DOE for the selected sector and describe how this information will be collected and communicated. In addition, applicants should describe what systems are used, or will be developed and/or promoted, for benchmarking building performance and energy management in the future. Address the method by which data, including the metrics in the list below, will be collected and how that information will be used by the state. Describe the system(s) for monitoring, benchmarking and reporting on data, either in place or under development. Applicants must plan to use a benchmarking tool such as the Environmental Protection Agency's Energy Star Portfolio Manager or equivalent using real energy usage data to create a building level energy use baseline and to account for the results of building retrofits.

As the project progresses and in order to demonstrate the uptake in demand for energy efficiency retrofits, Awardees will be required to submit project-level information for their selected sector for the following data points:

- Project information
  - Address
  - City
  - State
  - Service provider
  - Total project cost (w/out financing)
  - Total Project Cost (w/ Financing)
- Market sector
  - Number of buildings
  - Types of buildings in project
- Building owner
- Project size (square footage)
- Annual energy savings
  - Electricity (kWh)
  - Electricity % reduction
  - Natural Gas (MMBtu)
  - NG % reduction
  - Water (gallons)
  - Water % reduction
  - Fuel Oil (gallons)
  - Fuel oil % reduction
- Annual energy & maintenance cost savings
  - Total cost % reduction

- Financing
  - Interest rate
  - Mechanism
  - Term (years)
  - Simple payback
- CO<sub>2</sub> emission reduction (tons)
- Construction duration (months)
- Month and year completed
- Number of jobs created
- List of ECMs & contribution to total savings

**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 1-3 pages in total, but is not included in the 30 page limit for 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)

**Project Timeline:**

For the overall project, a suggested timeline table format is provided below, but applicants may choose to develop their own.

TASKS	Deliverable(s); Milestones; Performance Metrics; Decision-Points	Quarterly Schedule											
		Q1	Q2	Q3	Q4	Q5	Q6	Q7	Q8	Q9	Q10	Q11	Q12
<b>PHASE 1:</b>													
Task 1.0:		Q1	Q2	Q3	Q4	Q5	Q6	Q7	Q8	Q9	Q10	Q11	Q12
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Task 2.0:		Q1	Q2	Q3	Q4	Q5	Q6	Q7	Q8	Q9	Q10	Q11	Q12
2.1	<i>Deliverables:</i>												
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3.1	<i>Deliverables:</i>												
3.2	<i>Milestones and Performance Metrics:</i>												
3.3	<i>Major Gate Reviews/Decision Points:</i>												

**Table B:**

Area of Interest 3 Applicants should also complete Table B below:

State	Target Market	Baseline Energy Use	Impact & Potential Savings	Stakeholders and Partners	Potential Leverage and/or Financing	Existing Programs and Policies
	Target market size of the sector addressed (relevant metrics may include number of buildings, square footage, aggregate energy consumption).	Total energy used/year (KWh/yr and therms/yr) in sector affected. Include percent of State total.	Anticipated number and square footage of projects. Estimated dollar and energy savings (absolute value & %) as a result of program implementation.	List the stakeholders with whom the State will partner with as part of project implementation.	List funding sources and values (\$) anticipated to be used for project implementation.	List current public and/or private programs that address target market. And existing state legislation, policies, executive orders, and relevant regulations.

Table B

**c-4 For Area of Interest 4, Clean-Energy Economic Opportunity Roadmaps**

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

**State Policy Information Section:**

As outlined in Section IV.C.3. b (pages 29-34)

**Merit Review Criterion Discussion:**

This section should be formatted to address the merit review criterion and sub-criterion listed in Part V. 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 CRITERIA AND SUB-CRITERIA.

**Executive Summary:**

Provide a brief description of the roadmapping approach and objective, including discussion of the methodology to be employed, any partnership structures, data needs, and schedule or implementation plan for the program.

**Program/Strategy Plan:**

- Objective: Describe the overall strategy of the program and outline how it can contribute to increased levels of clean-energy manufacturing and

service delivery. Identify incipient clean-energy strategy for economic development and how roadmapping will help to validate, refine, or, as appropriate, disprove the strategy.

- Approach: Provide a description of the roadmapping approach, including discussion of the methodology to be employed, any partnership structures, data needs, and schedule or implementation plan for the program.
  - Region: Identify the region(s) that the program will address.
  - Program Support and Team: Outline the implementing agencies, partners, contractors, and personnel who will advance the goals and outcomes of the program through the implementation process, serving as program champions and technical advisors, and provide education and outreach to stakeholders and prospective clients. This section should include:
    - Evidence of executive-level leadership that will provide necessary support needed to promote efforts to road-map the region for increased clean energy manufacturing and services.
    - Identification of any relevant legislation, executive orders, or other mandates that impact this effort.
    - Identification of current programs or initiatives which are complementary to the execution of this effort.
    - Outline of the program's organizational structure, staffing requirements, candidates' experience and capabilities, and position overview with job requirements, responsibilities, and tasks.
  - Stakeholder/Client Engagement: Describe to what extent, and in what timeframe, appropriate stakeholders and prospective clients for the program will be engaged in the overall effort. Examples of stakeholders include: regional economic development organizations, contractors, financial institutions, trade organizations, educational institutions, state and local government agencies, utilities, non-profits, etc.
  - Barriers: Identify barriers to implementing a successful program and describe how the proposed strategy and activities will overcome those barriers. If there is an existing model that is being considered (i.e., a program currently implemented by another organization), provide information on that program and how it will be transferred.

**Potential Program Impact (Action/Implementation Plan):**

Outline expected outcomes and/or impacts and include a clear statement describing the value of the roadmap. Address the sustainability of this

program after the end of the performance period (i.e., the ability to implement the action plan developed through the roadmapping).

**Capabilities and Partnership Structure:**

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.

**Data Collection:**

Applicants should plan to provide project-specific information and describe how this information will be collected and communicated.

**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 1-3 pages in total, but is not included in the 30 page limit for 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:

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B. SCOPE OF WORK

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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**

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For the overall project, a suggested timeline table format is provided below, but applicants may choose to develop their own.

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3.1	<i>Deliverables:</i>												
3.2	<i>Milestones and Performance Metrics:</i>												
3.3	<i>Major Gate Reviews/Decision Points:</i>												

**d. 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

**e. 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>

You may request funds under any of the Object Class Categories as long as the item and amount are necessary to perform the proposed work, meet all the criteria for allowability under the applicable Federal cost principles, and are not prohibited by the funding restrictions in this announcement (see Section IV, H). Save the information in a single file named “SF424A.xls,” and click on “Add Optional Other Attachment” to attach.

**f. 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>.

**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. 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.**

**i. 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.

**j. 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 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:

Section IV Reference	Name of Document	Format	File Name
C.1. pg 28	SF 424 - Application for Federal Assistance	Part of Adobe Application Package	
C.2. pg 28	Project/Performance Site Location(s)	Part of Adobe Application Package	
C.3. pg 28	Other Attachments Form: Attach the following files to this form:	Part of Adobe Application Package	See Instructions
C.3a pg 28	Project Summary/Abstract File	PDF	Summary.pdf
C.3c pgs 29-53	Project Narrative File, including required appendices	PDF	Project.pdf
C.3d pg 53	Resume File	PDF	Resume.pdf
C.3e pg 55	SF 424A Excel – Budget Information for Non-Construction Programs File	Excel Excel	SF424A.xls SF424C.xls
C.3f pg 55	PMC 123.1 Budget Justification File	PDF	See Instructions
C.3g pg 56	Subaward Budget File(s), if applicable PMC 123.1 Budget Justification(s), if applicable	Excel for Budget PDF for Justification	See Instructions
C.3h pg 56	Letters of Commitment (see Project Narrative above)	Included with project narrative	See instructions
C.3j pg 56	Project Management Plan (see comment on C.3.j)	Included with project narrative	PMP.pdf
C.3k pg 56	SF-LLL Disclosure of Lobbying Activities	PDF	SF-LLL.pdf

#### D. Additional Information for 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
- NEPA: Environmental Questionnaire, if applicable (See pages 70-71)

#### E. Submission Dates and Times

- Pre-applications are not required.

## F. Application Due Date

- Applications must be received by July 25, 2013, not later than 8:59 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

Funding for all awards and future budget periods are contingent upon the availability of funds appropriated by Congress for the purpose of this program and the availability of future-year budget authority.

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 effect 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](http://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](mailto: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 System for Award Management (SAM) account. If your organization is not currently registered with SAM, please register at <https://www.sam.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 SAM registration. These items are needed to submit applications in Grants.gov. Update your SAM 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 SAM 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**

Applicants working to prepare a successful application package are advised to review and all provisions outlined in items A through C in this section, and to respond fully to the policy information questions and merit review criteria.

### **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. State Policy Information Section**

To be successful, an application for any/all of the four Areas of Interest in this FOA will completely address the questions outlined in the policy information section. A foundational understanding between the SEP and applicants for these competitive awards is a valuable mechanism for identifying and promoting innovative clean energy practices across the entire nation. Applicants for these awards are at the forefront of policy development and implementation. Their insights and achievements define current and emerging “best practices,” and even their course-corrections and reassessments provide critical information that can improve the efficacy of policy making. A successful application package will include as part of the project narrative, the submission of a complete set of responses to the questions in this section (pages 29-34).

### 3. Merit Review Criteria

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

#### Area of Interest 1 - Advancing Industrial Efficiency

##### 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 industrial efficiency and CHP policy experience.
- Degree to which applicant's approach incorporates best practices and continuous improvement feedback mechanisms.
- Degree of project sustainability that will result from policies and/or how project outcomes will be acted upon after the end of the project period.

##### Criterion 2: Potential Impact

Weight: [30%]

- 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 can produce a reasonable plan for increased level of energy efficiency and CHP implemented.

##### 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 States, 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).

## **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 energy efficiency programs statewide for Tier 1 applicants, or, for Tier 2 applicants, increasing their annual electricity savings target per the specified guidance.
- 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 - Driving Demand for Public Facility Retrofits**

#### **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 experiences, including challenges and barriers to driving demand for public facility retrofit programs.
- Degree to which applicant's approach incorporates best practices and continuous improvement feedback mechanisms.
- Degree to which applicant's approach adequately addresses barriers which may currently be inhibiting demand.
- 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, and provide a convincing case to client agencies and decision-makers.
- Degree of potential impact that results from driving demand strategies, as determined from applicant's buildings and total square footage anticipated to be modernized through this Program.
- Degree of potential energy/water savings opportunities that results from driving demand driving strategies.
- 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 States, 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: Data Collection**

Weight: [20%]

- Degree to which program establishes a common set of metrics to be measured for program evaluation, i.e., metrics that will allow a valid basis for quantifying the impact of the various driving demand strategies, approaches, and expected outcomes that are proposed.
- Degree to which systematic processes for data collection and reporting are identified at both the project and program and level.
- Degree to which system(s) are in place or identified for data collection, reporting and benchmarking of building energy consumption.
- Degree to which program identifies a reasonable basis for establishing baseline energy consumption for projects in target market.
- Degree to which program integrates outcomes from public facility retrofits with energy management data.

**Area of Interest 4 - Clean-Energy Economic Opportunity Roadmaps**

**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 and continuous improvement feedback mechanisms.
- Degree of project sustainability that will result from policies.

**Criterion 2: Potential Impact**

Weight: [30%]

- 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 can produce a reasonable plan for increased level of clean energy manufacturing and services

**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 States, 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).

**4. 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 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 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 (2010, 2011 and 2012) 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>.

**It is very important that those documents, Project Abstract and Project Narrative file, that will be used during the Merit Review Process do not contain any Personally Identifiable Information as described in Appendix B.**

### **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 the end of October 2013 and making awards by the end of November 2013.

## 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.H 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) Intellectual Property Provisions; (7) Statement of Project Objectives; (8) Federal Assistance Reporting Checklist, which identifies the reporting requirements; and (9) Budget Summary.

For 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 Other Requirements

Requirements outlined in Section VI, B include general administrative requirement for grants and cooperative agreements, National Policy Assurances, application representations and certifications, National Environmental Policy Act information, intellectual property provisions and statements of substantial involvement pertaining to each of the Areas of Interest under this FOA.

#### 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 SAM 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 the System for Award Management (SAM) current at <https://www.sam.gov>. SAM is the government-wide system that replaced the SAM. If you had an active registration in the CCR, you have an active registration in SAM. 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 System for Award Management (SAM).

## **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>

## **Applicant Representations and Certifications**

### **Corporate Felony Conviction and Federal Tax Liability Representations (March 2012)**

By submitting an application in response to this FOA the Applicant represents 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) **No** officer or agent of the corporation have been convicted of a felony criminal violation for an offence arising out of actions for or on behalf of the corporation

under Federal law in the past 24 months,

- (3) 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.
- (4) 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).

For purposes of these representations the following definitions apply:

A Corporation includes any entity that has filed articles of incorporation in any of the 50 states, the District of Columbia, or the various territories of the United States [but not foreign corporations]. It includes both for-profit and non-profit organizations.

### **3. National Environmental Policy Act Information**

DOE has determined the following activities that are funded by DE-FOA-0000839 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:
  - Assist states with the development of programs and strategies that support the productivity and competitiveness of the States' industrial sectors by providing support to the areas of industrial efficiency and combined heat and power.
- Area of Interest 2:
  - Stimulate energy efficiency action through development of one or more specific high-impact policies and programs that support greater investment in energy efficiency and significantly increase statewide energy savings. Savings would be achieved through energy efficiency programs implemented by utilities or other program administrators;
  - Identify and implement energy efficiency programs.
- Area of Interest 3:
  - Drive demand for public facility retrofit programs with a focus on increasing uptake in one of the three key market sectors of interest: (1) local government facilities; (2) public housing; and (3) state facilities.

- Area of Interest 4:
  - Assist in developing regional clean-energy economic roadmaps that will help regional economic development stakeholders identify promising pathways to sustainable economic growth.

The State is responsible for:

- Identifying and promptly notifying 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.

**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:**

##### **Areas of Interest 1, 2, 3, 4**

DOE has the right to intervene in the conduct or performance of project activities for programmatic reasons. Intervention includes the interruption or modification of the conduct or performance of project activities. DOE shall be substantially involved in the

Project and this involvement shall include DOE input to the Recipient regarding the management, direction, and performance of the Project in the areas outlined below:

### **Area of Interest 1 - Advancing Industrial Energy Efficiency**

DOE involvement will include, but not be limited to, co-chairing stakeholder meetings with Awardees to provide insight and guidance; facilitating agreements amongst participating organizations; developing and validating overall program approaches that are replicable and appropriate to other areas of the country; participating in project management planning activities; integrating the work effort to ensure that project results address critical system and programmatic goals established by DOE EERE, in coordination with the Awardee; and promoting and facilitating best practice sharing.

#### 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 other clean energy manufacturing programs. Collaborate with other States in developing standard contract templates, terms, methodologies, etc.
- 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.

#### 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, and holding stakeholder meetings to develop successful strategies;
  - 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; and
  - Submitting progress reports, providing data, tools, other documentation and addressing DOE concerns and comments.

### **Area of Interest 2 - Stimulating Energy Efficiency Action**

DOE involvement will include, but not be limited to, co-chairing stakeholder meetings with Awardees to provide insight and guidance; facilitating agreements amongst participating organizations; developing and validating overall program approaches that are replicable and appropriate to other areas of the country; participating in project management planning activities; integrating the work effort to ensure that project results address critical system and programmatic goals established by DOE EERE, in coordination with the Awardee; and promoting and facilitating best practice sharing

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.
- Developing a detailed Implementation Model which delineates a replicable pathway for the deployment of an energy efficiency strategy, program, or policy. The implementation model identifies a solution to a key barrier to energy efficiency deployment and provides a step-by-step detailed approach that was used to create a replicable and sustainable solution, including the development of or changes to policies, processes, outreach efforts, and tools/resources.

#### **Area of Interest 3 - Driving Demand for Public Facility Retrofits**

DOE involvement will include, but not be limited to, co-chairing stakeholder meetings with Awardees to provide insight and guidance; facilitating agreements amongst participating organizations; developing and validating overall program approaches that are replicable and

appropriate to other areas of the country; participating in project management planning activities; integrating the work effort to ensure that project results address critical system and programmatic goals established by DOE EERE, in coordination with the Awardee; and promoting and facilitating best practice sharing.

*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 (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 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 4 - Clean-Energy Economic Opportunity Roadmaps**

DOE involvement will include, but not be limited to, co-chairing stakeholder meetings with

Awardees to provide insight and guidance; facilitating agreements amongst participating organizations; developing and validating overall program approaches that are replicable and appropriate to other areas of the country; participating in project management planning activities; integrating the work effort to ensure that project results address critical system and programmatic goals established by DOE EERE, in coordination with the Awardee; and promoting and facilitating best practice sharing.

#### DOE Involvement:

- Participating in meetings or conference calls with States and their partners to provide insight and guidance in developing successful roadmapping 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 other clean energy manufacturing programs. Collaborate with other States in developing standard contract templates, terms, methodologies, etc.
- Participating in project management planning activities to ensure DOE's program requirements and/or limitations are considered in performance of the work elements; and
- 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.

#### 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, and holding stakeholder meetings to develop successful road-mapping strategies;
- 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; and
- Submitting progress reports, providing data, tools, other documentation and addressing DOE concerns and comments.

### 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](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 3 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](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**

Patentable ideas, trade secrets, proprietary or confidential commercial or financial information, disclosure of which may harm the applicant, should be included in an application only when such information is necessary to convey an understanding of the proposed project. The use and disclosure of such data may be restricted, provided the applicant includes the following legend on the first page of the project narrative and specifies the pages of the application which are to be restricted:

“The data contained in pages \_\_\_\_\_ of this application have been submitted in confidence and contain trade secrets or proprietary information, and such data shall be used or disclosed only for evaluation purposes, provided that if this applicant receives an award as a result of or in connection with the submission of this application, DOE shall have the right to use or disclose the data herein to the extent provided in the award. This restriction does not limit the government’s right to use or disclose data obtained without restriction from any source, including the applicant.”

To protect such data, each line or paragraph on the pages containing such data must be specifically identified and marked with a legend similar to the following:

“The following contains proprietary information that (name of applicant) requests not be released to persons outside the Government, except for purposes of review and evaluation.”

## **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.

**J. Lobbying Restrictions**

By accepting funds under this award, you agree that none of the funds obligated on the award shall be expended, directly or indirectly, to influence congressional action on any legislation or appropriation matters pending before Congress, other than to communicate to Members of Congress as described in 18 U.S.C. 1913. This restriction is in addition to those prescribed elsewhere in statute and regulation.

## 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 award 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 SAM.

**"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 will be a Cooperative Agreement.

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

**"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 SAM. 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 SAM registration. This person is the sole authority of the organization with the capability of designating or revoking an individual’s ability to conduct SAM 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 SAM. The E-Business Point of Contact will need the MPIN to assign privileges to the individual(s) authorized to perform SAM 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.

**“System for Award Management (SAM)”** 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 SAM at <https://www.sam.gov>.

**"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 – Cost Share Information

### Cost Sharing or Cost Matching

The terms “cost sharing” and “cost matching” are often used synonymously. Even the DOE Financial Assistance Regulations, 10 CFR Part 600, use both of the terms in the titles specific to regulations applicable to cost sharing. DOE almost always uses the term “cost sharing,” as it conveys the concept that **non-federal share is calculated as a percentage of the Total Project Cost**. An exception is the State Energy Program Regulation, 10 CFR Part 420.12, State Matching Contribution. Here “cost matching” for the non-federal share is calculated as a percentage of the federal funds only, rather than the Total Project Cost.

### How Cost Sharing Is Calculated

As stated above, cost sharing is calculated as a percentage of the Total Project Cost. Following is an example of how to calculate cost sharing amounts for a project with \$1,000,000 in federal funds with a minimum 20% non-federal cost sharing requirement:

Formula: Federal share (\$) divided by Federal share (%) = Total Project Cost

Example: \$1,000,000 divided by 80% = \$1,250,000

Formula: Total Project Cost (\$) minus Federal share (\$) = Non-federal share (\$)

Example: \$1,250,000 minus \$1,000,000 = \$250,000

Formula: Non-federal share (\$) divided by Total Project Cost (\$) = Non-federal share (%)

Example: \$250,000 divided by \$1,250,000 = 20%

See the sample cost share calculation for a blended cost share percentage below. **Keep in mind that FFRDC funding is DOE funding.**

### What Qualifies For Cost Sharing

While it is not possible to explain what specifically qualifies for cost sharing in one or even a couple of sentences, in general, if a cost is allowable under the cost principles applicable to the organization incurring the cost and is eligible for reimbursement under a DOE grant or cooperative agreement, then it is allowable as cost share. Conversely, if the cost is not allowable under the cost principles and not eligible for reimbursement, then it is not allowable as cost share. In addition, costs may not be counted as cost share if they are paid by the Federal Government under another award unless authorized by Federal statute to be used for cost sharing.

The rules associated with what is allowable as cost share are specific to the type of organization that is receiving funds under the grant or cooperative agreement, though are generally the same for all types of entities. The specific rules applicable to:



- Institutions of Higher Education, Hospitals, and Other Nonprofit Organizations are found at 10 CFR600.123;
- State and Local Governments are found at 10 CFR600.224;
- For-profit Organizations are found at 10 CFR600.313.

In addition to the regulations referenced above, other factors may also come into play such as timing of donations and length of the project period. For example, the value of ten years of donated maintenance on a project that has a project period of five years would not be fully allowable as cost share. Only the value for the five years of donated maintenance that corresponds to the project period is allowable and may be counted as cost share.

Additionally, DOE generally does not allow pre-award costs for either cost share or reimbursement when these costs precede the signing of the appropriation bill that funds the award. In the case of a competitive award, DOE generally does not allow pre-award costs prior to the signing of the Selection Statement by the DOE Selection Official.

Following is a link to the DOE Financial Assistance Regulations. You can click on the specific section for each Code of Federal Regulations reference mentioned above.

DOE Financial Assistance Regulations:

<http://ecfr.gpoaccess.gov/cgi/t/text/text-idx?c=ecfr&sid=98a996164312e8dcf0df9c22912852b0&rgn=div5&view=text&node=10:4.0.1.3.9&idno=10>

As stated above, the rules associated with what is allowable cost share are generally the same for all types of organizations. Following are the rules found to be common, but again, the specifics are contained in the regulations and cost principles specific to the type of entity:

(A) *Acceptable contributions*. All contributions, including cash contributions and third party in-kind contributions, must be accepted as part of the recipient's cost sharing if such contributions meet all of the following criteria:

- (1) They are verifiable from the recipient's records.
- (2) They are not included as contributions for any other federally-assisted project or program.
- (3) They are necessary and reasonable for proper and efficient accomplishment of project or program objectives.
- (4) They are allowable under the cost principles applicable to the type of entity incurring the cost as follows:

(a) *For-profit organizations*. Allowability of costs incurred by for-profit organizations and those nonprofit organizations listed in Form C to OMB

Circular A-122 is determined in accordance with the for-profit costs principles in 48 CFR Part 31 in the Federal Acquisition Regulation, except that patent prosecution costs are not allowable unless specifically authorized in the award document.

(b) *Other types of organizations.* Allowability of costs incurred by other types of organizations that may be subrecipients under a prime award is determined as follows:

(i) *Institutions of higher education.* Allowability is determined in accordance with OMB Circular No. A-21 -- Cost Principles for Educational Institutions

(ii) *Other nonprofit organizations.* Allowability is determined in accordance with OMB Circular A-122, Cost Principles for Non-Profit Organizations

(iii) *Hospitals.* Allowability is determined in accordance with the provisions of 45 CFR Part 74, Appendix E, Principles for Determining Costs Applicable to Research and Development Under Grants and Contracts with Hospitals

(iv) *Governmental organizations.* Allowability for State, local, or federally recognized Indian tribal government is determined in accordance with OMB Circular No. A-87, Cost Principles for State, Local, and Indian Tribal Governments

(5) They are not paid by the Federal Government under another award unless authorized by Federal statute to be used for cost sharing or matching.

(6) They are provided for in the approved budget.

(B) *Valuing and documenting contributions*

(1) *Valuing recipient's property or services of recipient's employees.* Values are established in accordance with the applicable cost principles, which mean that amounts chargeable to the project are determined on the basis of costs incurred. For real property or equipment used on the project, the cost principles authorize depreciation or use charges. The full value of the item may be applied when the item will be consumed in the performance of the award or fully depreciated by the end of the award. In cases where the full value of a donated capital asset is to be applied as cost sharing or matching, that full value must be the lesser or the following:

- (a) The certified value of the remaining life of the property recorded in the recipient's accounting records at the time of donation; or
- (b) The current fair market value. If there is sufficient justification, the Contracting Officer may approve the use of the current fair market value of the donated property, even if it exceeds the certified value at the time of

donation to the project. The Contracting Officer may accept the use of any reasonable basis for determining the fair market value of the property.

- (2) *Valuing services of others' employees.* If an employer other than the recipient furnishes the services of an employee, those services are valued at the employee's regular rate of pay, provided these services are for the same skill level for which the employee is normally paid.
- (3) *Valuing volunteer services.* Volunteer services furnished by professional and technical personnel, consultants, and other skilled and unskilled labor may be counted as cost sharing or matching if the service is an integral and necessary part of an approved project or program. Rates for volunteer services must be consistent with those paid for similar work in the recipient's organization. In those markets in which the required skills are not found in the recipient organization, rates must be consistent with those paid for similar work in the labor market in which the recipient competes for the kind of services involved. In either case, paid fringe benefits that are reasonable, allowable, and allocable may be included in the valuation.
- (4) *Valuing property donated by third parties.*
  - (a) Donated supplies may include such items as office supplies or laboratory supplies. Value assessed to donated supplies included in the cost sharing or matching share must be reasonable and must not exceed the fair market value of the property at the time of the donation.
  - (b) Normally only depreciation or use charges for equipment and buildings may be applied. However, the fair rental charges for land and the full value of equipment or other capital assets may be allowed, when they will be consumed in the performance of the award or fully depreciated by the end of the award, provided that the Contracting Officer has approved the charges. When use charges are applied, values must be determined in accordance with the usual accounting policies of the recipient, with the following qualifications:
    - (i) The value of donated space must not exceed the fair rental value of comparable space as established by an independent appraisal of comparable space and facilities in a privately-owned building in the same locality.
    - (ii) The value of loaned equipment must not exceed its fair rental value.
- (5) *Documentation.* The following requirements pertain to the recipient's supporting records for in-kind contributions from third parties:
  - (a) Volunteer services must be documented and, to the extent feasible, supported by the same methods used by the recipient for its own employees.

(b) The basis for determining the valuation for personal services and property must be documented.

**SAMPLE COST SHARE CALCULATION  
FOR BLENDED COST SHARE PERCENTAGE**

*The following example shows the math for calculating required cost share for a project with \$2,000,000 in Federal funds with four tasks requiring different Non-federal cost share percentages:*

<u>Task</u>	<u>Proposed Federal Share</u>	<u>Required Federal Share %</u>	<u>Non-federal Cost Share %</u>
Task 1 (R&D)	\$1,000,000	80%	20%
Task 2 (R&D)	500,000	80%	20%
Task 3 (Demonstration)	400,000	50%	50%
Task 4 (Outreach)	<u>100,000</u>	100%	0%
	\$2,000,000		

Federal share (\$) divided by Federal share (%) = Task Cost

*Each task must be calculated individually as follows:*

Task 1

\$1,000,000 divided by 80% = \$1,250,000 (Task 1 Cost)

Task 1 Cost minus federal share = Non-federal share

\$1,250,000 - \$1,000,000 = **\$250,000 (Non-federal share)**

Task 2

\$500,000 divided 80% = \$625,000 (Task 2 Cost)

Task 2 Cost minus federal share = Non-federal share

\$625,000 - \$500,000 = **\$125,000 (Non-federal share)**

Task 3

\$400,000 / 50% = \$800,000 (Task 3 Cost)

Task 3 Cost minus federal share = Non-federal share

\$800,000 - \$400,000 = **\$400,000 (Non-federal share)**

Task 4

Federal share = \$100,000

Non-federal cost share is not mandated for outreach = **\$0 (Non-federal share)**

The calculation may then be completed as follows:

<u>Task</u>	<u>Proposed Federal Share</u>	<u>Federal Share %</u>	<u>Required Non-federal Cost Share \$</u>	<u>Required Non-federal Cost Share %</u>	<u>Total Project Cost</u>
Task 1	\$1,000,000	80%	\$250,000	20%	\$1,250,000
Task 2	500,000	80%	125,000	20%	625,000
Task 3	400,000	50%	400,000	50%	800,000
Task 4	<u>100,000</u>	100%	<u>0</u>	0%	<u>100,000</u>
	\$2,000,000		\$775,000		\$2,775,000

Blended Cost Share %

Non-federal share (\$775,000) divided by Total Project Cost (\$2,775,000) = 27.9% (Non-federal)

Federal share (\$2,000,000) divided by Total Project Cost (\$2,775,000) = 72.1% (Federal)

**Appendix D – 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 basis) 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
<b>Budget Period 1</b>							
<b>Domestic Travel</b>							
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	
<b>International Travel</b>							
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	
<b>Budget Period 1 Total</b>						<b>\$9,300</b>	
<b>(Repeat as necessary for each Budget Period)</b>							

**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.