

**FINANCIAL ASSISTANCE  
FUNDING OPPORTUNITY ANNOUNCEMENT**



**U. S. Department of Energy  
National Energy Technology Laboratory  
State Energy Program (SEP) Strengthening Building Retrofit  
Markets and Stimulating Energy Efficiency Action  
DE-FOA-0000251  
Announcement Type: Initial  
CFDA Number: 81.041**

**Issue Date: 04/09/2010**

**Application Due Date: 05/24/2010 11:59:59 PM Eastern Time**

## NOTE: REGISTRATION/SUBMISSION REQUIREMENTS

### **Registration Requirements**

There are several one-time actions you must complete in order to submit an application in response to this Announcement (e.g., obtain a Dun and Bradstreet Data Universal Numbering System (DUNS) number, register with the Central Contractor Registration (CCR), and register with Grants.gov). Applicants who are not registered with CCR and Grants.gov, should allow at least 21 days to complete these requirements. It is suggested that the process be started as soon as possible.

**Applicants must obtain a DUNS number. DUNS website:**

<http://fedgov.dnb.com/webform>.

**Applicants must register with the CCR. CCR website:** <http://www.ccr.gov/>

**Applicants must register with Grants.gov. Grants.gov website:** <http://grants.gov/>

**Applicants must register with FedConnect to submit questions. FedConnect website:**

[www.fedconnect.net](http://www.fedconnect.net)

### **Questions**

Questions relating to the **system requirements or how an application form works** must be directed to Grants.gov at 1-800-518-4726 or [support@grants.gov](mailto:support@grants.gov).

Questions regarding the **content** of the announcement must be submitted through the FedConnect portal. You must register with FedConnect to respond as an interested party to submit questions, and to view 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. DOE/NNSA will try to respond to a question within 3 business days, unless a similar question and answer have already been posted on the website.

### **Application Preparation and Submission**

**Applicants must download the application package, application forms and instructions, from Grants.gov. Grants.gov website:** <http://www.grants.gov/>

(Additional instructions are provided in Section IV A of this FOA.)

### **Where to Submit**

Applications must be submitted through Grants.gov to be considered for award. **You cannot submit an application through Grants.gov unless you are registered. Please read the registration requirements carefully and start the process immediately.** Remember you have to update your CCR registration annually. If you have any questions about your registration, you should contact the Grants.gov Helpdesk at 1-800-518-4726 to verify that you are still registered in Grants.gov.

**IMPORTANT NOTICE TO POTENTIAL APPLICANTS:** When you have completed the process, you should call the Grants.gov Helpdesk at 1-800-518-4726 to verify that you have completed the final step (i.e. Grants.gov registration).

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## **PART I - FUNDING OPPORTUNITY DESCRIPTION**

### **A. FUNDING OPPORTUNITY ANNOUNCEMENT OBJECTIVES**

The Department of Energy (DOE) National Energy Technology Laboratory (NETL), on behalf of the Office of Energy Efficiency and Renewable Energy's (EERE's) State Energy Program (SEP), is seeking applications to advance policies, programs, and market strategies that accelerate job creation and reduce energy bills while achieving energy and climate security for the nation. This competitive Funding Opportunity Announcement (FOA) allows States to compete for funding designed to meet EERE nationally focused initiatives for the fundamental and permanent transformation of markets across all sectors of our economy. Specifically, this FOA focuses on two areas of interest:

**Area of Interest 1 – Strengthening Building Retrofit Markets** that will assist states in developing approaches for retrofitting buildings in the nation's residential and commercial sectors.

**Area of Interest 2 – Stimulating Energy Efficiency Action** that will assist states in generating the necessary policy and program frameworks to support investment in cost-effective energy efficiency for the long-term.

### **B. BACKGROUND ON DOE STATE ENERGY PROGRAM COMPETITIVE AWARDS**

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

The State Energy Program upholds the DOE Strategic Plan 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 Department of Energy to allow for formula and competitive grants and cooperative agreements to the States under the State Energy Program. DOE provides formula grants to States to design and carry out their own energy efficiency and renewable energy programs. In FY2010, the competitive portion of the State Energy Program is providing \$28 million to fund cooperative agreements that allow States to compete for funding designed to meet EERE nationally focused initiatives.

The focus of the 2010 competitive SEP FOA is two-fold: 1) address the nation's residential and commercial sector buildings, and 2) assist states in developing the necessary policy and program frameworks at the ground level to stimulate investment in cost-effective, long-term energy efficiency in those states that are not achieving significant energy savings to date.

DOE is seeking a major increase in market penetration of existing whole-building retrofit activities and/or the establishment of a strong retrofit market in areas with little or no activity. The residential and commercial building sectors consume over 40% of the nation's energy use and are responsible for 40% of the nation's CO2 emissions. This FOA encourages applicants to address market barriers that limit whole-building retrofits and requires a minimum target of retrofitting at least 2 percent of the buildings of a defined market annually by 2013.

DOE is seeking a major increase in energy efficiency at the state or regional level. State policies have a significant impact on state and national levels of investment in energy efficiency. Several states are cost-effectively investing

more than 2 percent of electricity sales on energy efficiency. Some states save more than 1 percent of electricity sales from energy efficiency.<sup>1</sup> The objective of these cooperative agreements is to help states or groups of states with little-to-no current savings from energy efficiency programs become leaders in reducing electricity consumption. This FOA requires an annual minimum target electricity savings of 1 percent through energy efficiency.

## C. PROGRAM AREAS OF INTEREST

### Area of Interest 1 – Strengthening Building Retrofit Markets

DOE is seeking applications for the development of programs and strategies to retrofit residential and/or commercial properties in markets with little or no retrofit activity and/or to increase the market penetration of existing whole-building retrofits. A "whole-building retrofit" is defined as being comprised of the following:

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

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

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

The energy efficiency goal of the retrofit work should be to reduce the total energy consumption of the building by a minimum of 20 percent. Work should be done according to local and state code and permitting requirements, industry-accepted standard work specifications, and best practices.

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

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

States are encouraged to utilize regional strategies; develop new or strengthen existing building retrofit market(s) by creating, enhancing, or expanding replicable programs, activities, organizational structures, and techniques that will transform the market and encourage consumer adoption of energy efficiency and clean energy; and employ sound methods for assuring energy savings. State Energy Offices (SEOs) should collaborate with appropriate organizations such as public utility commissions, power authorities, utilities, local governments, retailers, manufacturers, trade organizations, financial institutions, other States and regional entities. SEOs are also encouraged to develop strategies that will allow resource leveraging to the greatest possible extent. States should pursue comprehensive programs and strategies that address the range of barriers hindering building retrofits. Common barriers to widespread adoption of building retrofits are: consumer access to information about how a building consumes energy and how it compares to other buildings; developing a qualified workforce to diagnose building performance problems, recommend solutions to those problems, and perform the work necessary to deliver the recommended solutions; and readily available access to funding to pay for the retrofits through a variety of financial mechanisms.

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<sup>1</sup> ACEEE. 2009. The 2009 State Energy Efficiency Scorecard. <http://www.aceee.org/pubs/e097.htm>

The programs and strategies proposed should be designed to be sustainable beyond the period of funding for the agreement.

DOE is seeking plans that will result in a major increase in market penetration of existing whole-building retrofit activities and/or the establishment of a strong retrofit market in areas with little or no activity. Applicants shall develop a comprehensive approach to addressing the market barriers limiting whole-building retrofits with a **target of retrofitting at least 2 percent of the buildings of a defined market annually by 2013**. Examples of programs and/or strategies that could be included as key elements of a comprehensive approach are:

- Building performance benchmarking and disclosure
- Home Performance with ENERGY STAR
- Finance programs or strategies that leverage private capital:
  - Property Assessed Clean Energy (PACE)
  - Utility On-Bill Financing
  - Energy Savings Performance Contracts
  - Revolving Loan Funds
  - Credit Enhancements such as Loan Loss Reserves and Debt Service Reserves\*
  - Other innovative financing mechanisms
- Financing program(s) that are designed to meet appropriate conforming standards to support sales into secondary financial markets
- Statewide and/or regional\*\* aggregation of disaggregated retrofit markets
- Innovative Organizational Structures such as an Energy Efficiency Utility, Power Authority, etc.

\* Refer to SEP Program Notice: 10-08, “Guidance for State Energy Programs on Revolving Loan Funds and Loan Loss Reserves” for guidance on revolving loan fund eligibility, funds leveraging, loan loss reserves, and federal character of revolving loan funds<sup>2</sup>.

\*\* “Regional” in this context means that a number of states can partner to serve a specific area such as a singular metropolitan area. For example: Indiana, Ohio, and Kentucky could partner to serve the Cincinnati metropolitan area.

In many cases, more than one program or strategy may be necessary to address the suite of barriers hindering the transformation of the building retrofit market. Applicants will be encouraged to utilize a portfolio of programs and strategies in strengthening the market.

DOE will require the development of a sustainable, program/strategic plan(s) that outlines the key challenges to the building retrofit market in a defined market and how those challenges will be overcome through programs and activities in partnership with different organizations. Project metrics will include items such as buildings retrofitted, energy saved, individuals trained and certified, successful leveraging of funds and teaming with appropriate stakeholders, along with other relevant measures of success as outlined in PART IV – APPLICATION AND SUBMISSION INFORMATION below. Further, DOE will require that the plan include a process for developing and validating methods to quantify cost-effectiveness of retrofits and the whole program.

The following strategies do not meet DOE’s objectives for Area of Interest 1:

- Programs that make new construction energy-efficient
- Programs that target a majority of funding and/or program focus on renewable technology
- Direct install programs that subsidize a majority of the cost of measures installed and do not focus on transforming the market

## Area of Interest 2 – Energy Efficiency Action

Under this Area of Interest, DOE is seeking applications from states and groups of states to achieve an annual minimum target electricity savings of 1 percent through energy efficiency. Area of Interest 2 will provide states and

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<sup>2</sup> [http://apps1.eere.energy.gov/state\\_energy\\_program/pdfs/sep\\_program\\_guidance\\_10-08.pdf](http://apps1.eere.energy.gov/state_energy_program/pdfs/sep_program_guidance_10-08.pdf)

groups of states with funding to stimulate ground-level development of results-based policies and programs that will aggressively decrease electricity consumption and bring the state or groups of states to have similar levels of annual savings from energy efficiency as today's leading states.

The focus of these agreements is to help states or groups of states with little-to-no current savings from energy efficiency programs become leaders in reducing electricity consumption. The following is the definition of states with little-to-no current savings from energy efficiency programs:

1. States that have achieved less than 0.5 percent savings relative to electricity sales based on 2007 data (from the American Council for an Energy Efficient Economy's energy efficiency ranking of states based on savings as a percent of electricity sales, published in 2009); or
2. States that have invested less than one percent of total electricity or gas revenues on energy efficiency (from the American Council for an Energy Efficient Economy's energy efficiency ranking of states, published in 2009); or
3. A state that does not meet this definition based on 2007 data can provide convincing evidence that it is below either of the thresholds above, using data from 2008 or 2009.

It is anticipated that the cooperative agreements awarded under this Area of Interest will provide funding for up to 3 years divided into two funding phases: Phase I to develop a process to establish an energy savings goal, and Phase II to implement, by the end of calendar year 2013, the framework to achieve the established energy savings target.

As part of the application, states will be required to develop a Phase I Action Plan that includes the review and evaluation of the goals and steps outlined in the National Action Plan for Energy Efficiency "Vision for 2025" document<sup>3</sup>, and outlines a collaborative stakeholder process for the purpose of setting an annual electricity savings target. Should a state decide to address them, natural gas and transportation fuel savings should be additional to the minimum 1 percent electricity savings. The proposed policies should be created through collaboration across key stakeholders, including governors, state energy offices, public utility commissions, utilities, legislators, and others. The collaborative stakeholder process is expected to build on the foundation of the National Action Plan for Energy Efficiency<sup>4</sup>.

The result of this process may lead a state to pursue one or more of the following to implement the established electricity savings target:

1. Modification of the Electricity Market;
2. Energy Efficiency Resource Standard;
3. Integrated Resource Plan;
4. Public Benefit Fund; or
5. Other Efficiency Savings strategy.

Funding for Phase II will be provided given that states achieve the agreed upon progress benchmarks as outlined in the Phase I Action Plan, which includes successfully establishing an electricity savings target. A Phase II Implementation Plan will be required that outlines the programs and frameworks to be put in place by the end of calendar year 2013 in order to achieve the electricity savings target. It is anticipated that upon DOE review and approval of the Phase II Implementation Plan, the state(s) will receive the remaining funding. DOE will also be issuing a complimentary Funding Opportunity Announcement open to application by state regulatory commissions.

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<sup>3</sup> <http://www.epa.gov/cleanenergy/energy-programs/napee/resources/vision2025.html>

<sup>4</sup> <http://www.oe.energy.gov/eeactionplan.htm>



## PART II - AWARD INFORMATION

### A. TYPE OF AWARD INSTRUMENT

#### Cooperative Agreements

- DOE anticipates awarding cooperative agreements (See Statement of Substantial Involvement under PART VI - AWARD ADMINISTRATION INFORMATION below).

### B. ESTIMATED FUNDING

#### Amount New Awards

- Approximately \$28 Million is expected to be available for new awards under this announcement: \$23 - \$26 million for **Strengthening Building Retrofit Markets** and \$2 - \$5 million for **Stimulating Energy Efficiency Action**.

### C. MAXIMUM AND MINIMUM AWARD SIZE

Ceiling (i.e., the maximum amount for an individual award made under this announcement): None

Floor (i.e., the minimum amount for an individual award made under this announcement): None

### D. EXPECTED NUMBER OF AWARDS

#### Number of Awards per Program Area

- Under this announcement, DOE expects to make the following number of awards for each Area of Interest:  
Area of Interest 1: 10  
Area of Interest 2: 8

### E. ANTICIPATED AWARD SIZE

#### Award Size Per Program Area

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

Area of Interest 1: \$2 Million - \$5 Million per state (no single state will be awarded more than \$5 million; multistate applications will not be awarded in an amount that is greater than \$5 million multiplied by the number of states in the application; however, in a multistate application, the funds do not have to be distributed equally and the \$5 million limit for a single state does not apply).

Area of Interest 2: \$250,000 - \$700,000 (no single state will be awarded more than \$700,000; multistate applications will not be awarded in an amount that is greater than \$700,000 multiplied by the number of states in the application; however, in a multistate application, the funds do not have to be distributed equally and the \$700,000 limit for a single state does not apply).

## **F. PERIOD OF PERFORMANCE**

### **Period of Performance Per Area of Interest**

- The anticipated period of performance for projects under each Area of Interest in this announcement is:  
Area of Interest 1: 36 months  
Area of Interest 2: Up to 36 months, given that applicable benchmarks are achieved in Phase I

## **G. TYPE OF APPLICATION**

### **New Applications Only**

- DOE will accept only new applications under this announcement.

### **Multi-State Applications**

- Area of Interest 1: States may submit both a state- specific application and a multi-state application. A multi-state application will not be counted against any of the collaborating states. This means that a state could potentially be awarded both a state-specific award(s) and a multi-state award (provided each award differs in scope).
- Area of Interest 2: States may submit either a state-specific application or a multi-state application.

States could potentially receive awards from both Areas of Interest.

States participating in multi-state applications must submit separate applications but must submit a single, consolidated, identical Project Narrative File. The Project Narrative File (which contains the Statement of Project Objectives) for the multi-state applications must describe the entire project scope, define integrated activities for all the partnering states, and demonstrate the value of the multi-state partnership. See details on the application instructions in **PART IV - APPLICATION AND SUBMISSION INFORMATION** below. A multi-state application, if selected, will be awarded as individual awards with each of the participating states.

## **PART III - ELIGIBILITY INFORMATION**

### **A. ELIGIBLE APPLICANTS**

#### **Restricted Eligibility**

- In accordance with 10 CFR 600.6(b), eligibility for award 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 SHARING**

- Cost sharing is not required.

## **PART IV - APPLICATION AND SUBMISSION INFORMATION**

### **A. ADDRESS TO REQUEST APPLICATION PACKAGE**

#### **Apply at Grants.gov**

- 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.

### **B. LETTER OF INTENT AND PRE-APPLICATION**

#### **1. Letter of Intent.**

##### **Letters of Intent Not Required**

- Letters of Intent are not required.

#### **2. Pre-application**

##### **Pre-applications Not Required**

- Pre-applications are not required.

### **C. CONTENT AND FORM OF APPLICATION**

You must complete the mandatory forms and any applicable optional forms (e.g., SF-LLL- Disclosure of Lobbying Activities) in accordance with the instructions on the forms and the additional instructions below. Files that are attached to the forms must be in Adobe Portable Document Format (PDF) unless otherwise specified in this announcement.

#### **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 pop-up instructions on the form. The list of certifications and assurances referenced in Field 21 can be found on the DOE Financial Assistance Forms Page at [http://management.energy.gov/business\\_doe/business\\_forms.htm](http://management.energy.gov/business_doe/business_forms.htm) under Certifications and Assurances.

##### **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. Hover over this field for additional instructions.

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

## 2. 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.

### - **Project Narrative File - Mandatory Other Attachment**

The project narrative must not exceed 30 pages, including cover page, table of contents, charts, graphs, maps, photographs, and other pictorial presentations, when printed using standard 8.5" by 11" paper with 1 inch margins (top, bottom, left, and right) single spaced. EVALUATORS WILL REVIEW ONLY THE NUMBER OF PAGES SPECIFIED. 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 PART VIII - OTHER INFORMATION below for instructions on how to mark proprietary application information. If applying under Area of Interest 1, save the information in a single file named "Project Area 1.pdf," and click on "Add Mandatory Other Attachment" to attach. If applying under Area of Interest 2, save the information in a single file named "Project Area 2.pdf," and click on "Add Mandatory Other Attachment" to attach. **Note: States participating in multi-state applications must submit separate applications that contain the identical Project Narrative File.** In multi-state applications, a single, consolidated Project Narrative must include an integrated approach for the total project, address coordination among states, identify total project cost, and describe benefits of applying as a group.

#### For Area of Interest 1, the Project Narrative must include:

- A. **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.
- B. **Program/Strategy Plan:** This plan should be formatted to include the following subsections:
  - **Approach** - Describe the overall strategy of the project and outline the method and degree to which said strategy is intended to promote more wide-spread adoption of building retrofits and energy-saving activities. Identify common barriers to widespread adoption of building retrofits in the selected market(s) and describe why the proposed programs and activities will work better for the selected retrofit market than those tried before. Also describe regional strategies; programs and techniques that will be used to transform the market; and methods for assuring energy savings. The full portfolio of programs and strategies in partnership with different organizations should be clearly outlined with an explanation of how key challenges of the selected market are being addressed by this approach. The plan should also discuss the process that will be used to develop and validate a method to determine cost-effectiveness of retrofits and the overall project. Although the detailed partnership and capabilities of the team are to be described in section D, this section should contain a high-level discussion of how collaboration with other organizations adds value to the effort.
  - **Market Definition** - Describe the market(s) for which the efforts are being concentrated through this application, why this market(s) was selected, how the boundaries are determined, and describe program participant eligibility requirements for the market.. Markets can cross city and state boundaries. DOE encourages multiple states to partner together to strengthen the building retrofit ecosystem. The Market Definition must be broad enough to require the retrofit of a substantial number of buildings to reach the 2% annual goal. "Substantial" would mean that the minimum market would be comprised of 50,000 residential buildings such that 1,000 homes would have to be retrofitted annually. In the commercial sector, a minimum retrofit annual goal of 250 buildings would be considered substantial for a market definition comprising 12,500 commercial buildings. DOE expects that the Market Definition will be greater for existing programs with track records such that there will be significant increase in the number of homes retrofitted using these funds. For example, DOE would expect a program which has been retrofitting 5,000 homes annually to

expand that number by four to seven times using this funding opportunity.

- **Market Actor Integration** - Describe how, to what extent, and in what timeframe appropriate stakeholders for the defined market will be engaged in the overall effort to retrofit buildings. Examples of Market Actors include: Energy Service Companies (ESCOs), contractors, real estate professionals, financial institutions, retailers, manufacturers, program sponsors, auditors, trade organizations, educational institutions, government agencies, utilities, etc.
- **Risk Management** – Provide a summary description of the proposed approach to identify, analyze, and respond to perceived risks associated with the proposed project. Project risk events are uncertain future events that, if realized, impact the success of the project. As a minimum, include the initial identification of significant technical, resource, and management issues that have the potential to impede project progress and strategies to minimize impacts from those issues.
- **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.
- **Schedule/Deliverables** - Provide a timeline of the project (similar to a Gantt chart) broken down by each task and subtask, as described in the Statement of Project Objectives (SOPO). The timeline should include for each task, a start date, and end date. The timeline should show interdependencies between tasks and include major milestones and deliverables. Milestones should be quantitative and show progress toward project goals.

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

- 1) The actual status and progress of the project,
  - 2) Specific progress made toward achieving the project's milestones, and,
  - 3) Any proposed changes in the project's schedule required to complete milestones.
- **Funding and Costing Profile** - Provide a table (the Project Funding Profile) that shows the total amount of funding going to each project team member. Also provide a table (the Project Costing Profile) that projects, by month, the expenditure of funds for each year of the project.
  - **Bibliography And References, If Applicable** - Provide a bibliography for any references cited in the Project Narrative section. This section must include only bibliographic citations.

**C. Potential Project Impact:** Explain the expected outcomes and/or impacts and include a clear statement of the importance of the project in terms of the value of the outcomes to the target community of beneficiaries. This section should be formatted to include the following subsections:

- **Savings Opportunities** - Provide a clear description of the energy savings opportunities that will be made available through this building retrofit project. Discuss the potential of the proposed approach to be replicated in or expanded to other markets, municipalities, states or regions, or at the national level.
- **Metrics** - This section should provide a quantitative estimate for the items that will be tracked and measured for the effort. These estimates are used to assess the magnitude of the expected outcomes and/or impacts. At a minimum, the following estimates should be provided:

- 1) Residential and Commercial Buildings Retrofitted in each of the years between and including 2011 - 2021

- 2) Total Site Energy Saved in MMBtus and Metric Tons of Greenhouse Gas Emissions Avoided in CO<sub>2</sub> Equivalent from building retrofits occurring as a result of this funding for each of the years between and including 2011 - 2021. Use the eGRID website at <http://cfpub.epa.gov/egridweb/index.cfm> to calculate the CO<sub>2</sub> equivalent emissions of electricity savings based on the 2005 eGRID subregion database. Use the Greenhouse Gas Equivalencies Calculator and its references at <http://www.epa.gov/RDEE/energy-resources/calculator.html#results> to calculate CO<sub>2</sub> equivalent emissions reductions from natural gas, oil, and propane. Also provide kWh of electricity, therms of natural gas, and gallons of oil and propane that are saved. Accurate, innovative methods of forecasting that contribute to new, more quantifiable and verifiable techniques are welcome. Clearly state the assumptions used to justify forecasts for energy saved and CO<sub>2</sub> equivalent avoided.
    - Energy savings and CO<sub>2</sub> equivalent avoided by a self-sustaining market transformation are fully creditable, accompanied by the clearly stated assumptions used to justify the forecast.
    - Separately calculate the cumulative total site energy saved in MMBtu and metric tons of CO<sub>2</sub> equivalent avoided over the 2011-2021 period per award dollar requested. Several factors will greatly magnify this ratio:
      - The efficient administration and employment of funds to achieve maximum energy savings impact
      - The effect of financial programs that attract private capital to leverage award funds
      - The self-sustainability of financial programs that continually refresh their capital pool without additional public funds
      - Market transformations that trigger a self-sustaining demand and supply of energy efficiency retro-fits that outgrow their need for public subsidy after the initial period
  - 3) Individuals trained and certified for each year between and including 2011-2021. Applicants should use a nationally-recognized certification with a justification for choosing that certification. If an applicant chooses not to adopt a nationally-recognized certification, they should provide a justification for the alternative certification chosen.
- **Strengthening Retrofit Market** - Describe how the project will change consumer behavior resulting in increased adoption of building retrofits and long-lasting, energy-saving activities. Worker training and certification, if performing residential retrofits, should also be addressed.

**D. 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.
- **Funds Leveraged** – Describe financial programs that will be used to leverage private capital with award funds.
    - Common programs include the following, but innovative programs are welcome:
      - PACE
      - Revolving Loan Funds
      - Energy Saving Performance Contracts
      - Credit enhancements such as Loan Loss Reserves, Warehouse Reserves, and Debt Service Reserves
    - The ratio of private capital to award funds should be identified. Programs should aspire to reach a leverage target ratio of 10:1.
    - Self-sustainability requiring no further public funds should be identified and its mechanisms described. The period of time that the program would be self-sustaining under best-case, worst-case, and most likely-case scenarios should be identified, with the assumptions for the defining criteria, such as default rates, addressed.

**E. Quality Assurance (QA) / Evaluation, Measurement and Verification (EM&V):**

**Quality Assurance** – Provide a summary description of the proposed approach to ensure quality for each retrofit performed. As a minimum, describe the process for monitoring retrofits, the strategies to minimize/address issues, and criteria and/or standards that will serve as the benchmark for determining quality.

**EM&V** – Describe the approach to evaluate, measure, and verify metrics during implementation of the project to demonstrate project success. EM&V should be conducted at a level and standard that is similar to industry-accepted practices as identified in the National Action Plan for Energy Efficiency.

**F. Statement Of Project Objectives (SOPO):**

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

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

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

**A. OBJECTIVES**

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

**B. SCOPE OF WORK**

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

**C. TASKS TO BE PERFORMED**

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



to this project.

## PHASE I

Task 1.0 - Program/Strategy Plan

Subtask 1.1  
(Description)

Task 2.0 - (Title)

## PHASE II (Optional)

Task 3.0 - (Title)

### D. DELIVERABLES

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

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

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

### **For Area of Interest 2, the Project Narrative must include:**

- A. 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.
- B. Goal Development Process:** Provide a general outline of the collaborative stakeholder process that will be undertaken to establish a minimum 1 percent annual electricity savings goal. The process should consider the following:
  - Savings Target - an annual electricity savings of at least 1% per year through ratepayer funded programs not including savings from building codes and appliance standards, or a greater target through ratepayer funded programs that include savings from building codes and appliance standards.
  - Utility Role – the role utilities could play in: implementing efficiency programs, advancing codes and standards, and examining mechanisms to align their financial incentives with investment in energy efficiency.
  - Efficiency Investment – opportunities for large-scale investment in energy efficiency.
  - Long-term State Plans - the role of energy efficiency in the long-term goals of and planning for the state.
  - Reporting - a method to report energy savings using standardized protocols for data collection, evaluation, and monitoring.
  - Consumer Behavior - strategies and methods to change behavior of energy consumers resulting in

long-lasting decreases in energy consumption.

- Investment/Resources - opportunities to leverage investments made in energy efficiency through the American Recovery and Reinvestment Act of 2009 and to form partnerships and leverage other resources.
- Vision 2025 Implementation Goals - the ten implementation goals in the National Action Plan for Energy Efficiency's Vision for 2025 document, published in November 2008 (<http://www.epa.gov/cleanenergy/energy-programs/napee/resources/vision2025.html>)
- Market Actor Integration - opportunities to enhance regional coordination, if applicable. Describe how, to what extent, and in what timeframe appropriate stakeholders will be engaged in the goal development process. Examples of Market Actors include: ESCOs, contractors, real estate professionals, financial institutions, retailers, manufacturers, program sponsors, auditors, trade organizations, educational institutions, government agencies, utilities, etc.

**C. Phase 1 Action Plan:** The Phase I Action Plan should address the following:

- Activities/Benchmarks - Drawing on the National Action Plan on Energy Efficiency (<http://www.oe.energy.gov/eeactionplan.htm>), list the activities and benchmarks that will be conducted in Phase I. These activities and benchmarks may include but are not limited to: triggers or schedules for stakeholder meetings, public comment periods, significant decisions by policymakers, outreach, target calculation methods, evaluation measurement & verification strategies, etc. (See Appendix 1 for a summary of possible benchmarks for states.) Activities should include an approach to identify and respond to project risks.
- Schedule/Deliverables - Provide a timeline of the project (similar to a Gantt chart) broken down by each task and subtask, as described in the Statement of Project Objectives (SOPO). The timeline should include for each task, a start date, and end date. The timeline should show interdependencies between tasks and include major milestones and deliverables. The timeline should indicate the expected end date for Phase I, at which a go/no-decision will be made.

Milestones should be quantitative and show progress toward project goals. The final deliverables for Phase I include:

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

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

- 1) The actual status and progress of the project,
  - 2) Specific progress made toward achieving the project's milestones, and,
  - 3) Any proposed changes in the project's schedule required to complete milestones.
- Funding and Costing Profile – Include a list of costs for each proposed activity with justification for the importance of each activity to meeting progress benchmarks. Provide a table (the Project Funding Profile) that shows the total amount of funding going to each project team member. Also provide a table (the Project Costing Profile) that projects, by month, the expenditure of funds for each year of the project.

- Sustainability - Describe the long-term plan for program delivery beyond the period of performance. Also address from where and how future funding resources will be obtained to continue the project beyond the period of performance. If utilizing a self-sustaining financial mechanism, describe its function.
- Risk Management – Provide a summary description of the proposed approach to identify, analyze, and respond to perceived risks associated with the proposed project. Project risk events are uncertain future events that, if realized, impact the success of the project. As a minimum, include the initial identification of significant technical, resource, and management issues that have the potential to impede project progress and strategies to minimize impacts from those issues.
- Bibliography And References, If Applicable - Provide a bibliography for any references cited in the Project Narrative section. This section must include only bibliographic citations.

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

**E. 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.

**F. Statement Of Project Objectives (SOPO):**

The Statement of Project Objectives must contain a clear, concise description of all activities to be completed during project performance and follow the structure discussed below. It is therefore

required that it shall not contain proprietary or confidential business information.

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

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

**A. OBJECTIVES**

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

**B. SCOPE OF WORK**

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

**C. TASKS TO BE PERFORMED**

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

**PHASE I**

Task 1.0 - 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 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 one (1) page when printed using standard 8.5" by 11" paper with 1" margins (top, bottom, left and right) single spaced with font no smaller than 11 point. Save this information in a file named "Summary.pdf," and click on "Add Optional Other

Attachment" to attach.

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

You must provide a separate budget for each year of support requested and a cumulative 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://management.energy.gov/business\\_doe/business\\_forms.htm](http://management.energy.gov/business_doe/business_forms.htm).

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 G. FUNDING RESTRICTIONS below). Save the information in a single file named "SF424A.xls," and click on "Add Optional Other Attachment" to attach.

Each state submitting a multi-state application must submit a **SF 424 A Excel, Budget Information - Non-Construction Programs File, Budget Justification File, and Sub-Award Budget File** (if applicable) that identifies its individual funding needs.

- **Budget Justification File**

You must justify the costs proposed in each Object Class Category/Cost Classification category (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 you have one, and the name and phone number of the individual responsible for negotiating your indirect rates. If cost sharing is required, you must have a letter from each third party contributing cost sharing (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 sharing. In the budget justification, identify the following information for each third party contributing cost sharing: (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 cost sharing - cash, services, or property. By submitting your application, you are providing assurance that you have signed letters of commitment. Successful applicants will be required to submit these signed letters of commitments. Save the budget justification information in a single file named "Budget.pdf," and click on "Add Optional Other Attachment" to attach.

- **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 (which ever 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://management.energy.gov/business\\_doe/business\\_forms.htm](http://management.energy.gov/business_doe/business_forms.htm). Save each Subaward budget in a separate file. Use up to 10 letters of the subawardee's name (plus .xls) as the file name (e.g., ucla.xls or energyres.xls), and click on "Add Optional Other Attachment" to attach.

- **Demonstrations of Commitment File**

Demonstrations of commitment are required from the appropriate, key market actors including public utility commissions, local and state government officials, financial institutions, community colleges and/or universities, program sponsors, non-profit organizations, etc.

A "demonstration of commitment" is defined as an agreement (already executed or a memorandum of understanding that an agreement is planned) between the applicant and another organization that describes the roles and responsibilities and financial/resource commitments of each to accomplish the goals set forth in the application.

Documentation of a demonstrated commitment is required; however, DOE will allow letters of support to be submitted instead of demonstrations of commitment so that the application can be submitted to DOE to meet the application deadline; however, demonstrations of commitment will have to be submitted prior to receiving the actual award.

Letters must be signed by the person authorized to commit the expenditure of funds by the entity and be provided in a PDF format. Save this information in a single file named "DOC.pdf" and click on "Add Optional Other Attachment" to attach.

### 3. 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."

#### Summary of Required Forms/Files\*

Your application must include the following documents:

Name of Document	Format	File Name
Application for Federal Assistance – SF424	Form	N/A
Project/Performance Site Location(s)	Form	N/A
Other Attachments Form: Attach the following files to this form:	Form	N/A
Project Narrative File	PDF	Project 1.pdf or Project 2.pdf
Project Summary/Abstract File	PDF	Summary.pdf
SF 424A Excel, Budget Information for Non-Construction Programs File(s)	Excel	SF424A.xls
Budget Justification File	PDF	Budget.pdf
Subaward Budget File(s), if applicable	Excel	See Instructions
Demonstration of Commitment File	PDF	DOC.pdf
SF-LLL Disclosure of Lobbying Activities, if applicable.	Form	N/A

\* As noted under PART II – AWARD INFORMATION, States participating in multi-state applications must submit separate applications that include the items listed in the table above for that individual state with the exception of the identical, consolidated Project Narrative File. The Project Narrative File (which contains the Statement of Project Objectives) for the multi-state applications must reflect integrated activities for all the partnering states and represent the value of the multi-state partnership. Multi-state applicants must ensure that the integrated approach, coordination among states, total multi-state cost, and benefit of applying as a group are described in a single Project Narrative. All other files are to be specific to the individual state. See details on the application instructions in **PART IV - APPLICATION AND SUBMISSION INFORMATION** above. **FOR EASE OF IDENTIFICATION OF THE MULTI-STATE APPLICATION BY DOE, THE PROJECT TITLE SHOULD REFLECT THAT IT IS A COLLABORATIVE EFFORT.** A multi-state application, if selected, will be awarded as individual awards with each of the participating states.

## **D. SUBMISSIONS FROM SUCCESSFUL APPLICANTS**

If selected for award, DOE/NNSA 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
- Information related to National Environmental Policy Act (NEPA) requirements

## **E. SUBMISSION DATES AND TIMES**

### **1. Pre-application Due Date**

#### **Pre-applications Are Not Required**

- Pre-applications are not required.

### **2. Application Due Date**

#### **Applications Due Date**

- Applications should be received by 05/24/2010, not later than 11:59:59 PM Eastern Time. You are encouraged to transmit your application well before the deadline. The Grants.gov Helpdesk is available for extended periods; please check their website for the Helpdesk hours of operation. **APPLICATIONS RECEIVED AFTER THE DEADLINE WILL NOT BE REVIEWED OR CONSIDERED FOR AWARD.**

## **F. INTERGOVERNMENTAL REVIEW**

### **Program Subject to Executive Order 12372**

- This program is subject to Executive Order 12372 (Intergovernmental Review of Federal Programs) and the regulations at 10 CFR Part 1005.

One of the objectives of the Executive Order is to foster an intergovernmental partnership and a strengthened federalism. The Executive Order relies on processes developed by State and local governments for coordination and review of proposed Federal financial assistance.

Applicants should contact the appropriate State Single Point of Contact (SPOC) to find out about, and to comply with, the State's process under Executive Order 12372. The names and addresses of the SPOCs are listed on the Web site of the Office of Management and Budget at <http://www.whitehouse.gov/omb/grants/spoc.html>.

## **G. FUNDING RESTRICTIONS**

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

## **H. OTHER SUBMISSION AND REGISTRATION REQUIREMENTS**

### **1. Where to Submit**

**- APPLICATIONS MUST BE SUBMITTED THROUGH GRANTS.GOV TO BE CONSIDERED FOR AWARD.**

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 or send an email to [support@grants.gov](mailto:support@grants.gov).

### **2. Registration Process**

#### **One Time Registration Process**

- You must COMPLETE the one-time registration process (all steps) before you can submit your first application through Grants.gov (See [www.grants.gov/GetStarted](http://www.grants.gov/GetStarted)). We recommend that you start this process at least three weeks before the application due date. It may take 21 days or more to complete the entire process. Use the Grants.gov Organizational Registration Checklists at <http://www.grants.gov/assets/OrganizationRegCheck.pdf> to guide you through the process. IMPORTANT: During the CCR registration process, you will be asked to designate an E-Business Point of Contact (EBIZ POC). The EBIZ POC must obtain a special password called "Marketing Partner Identification Number" (MPIN). When you have completed the process, you should call the Grants.gov Helpdesk at 1-800-518-4726 to verify that you have completed the final step (i.e., Grants.gov registration).

### **3. Application Receipt Notices**

After an application is submitted, the Authorized Organization Representative (AOR) will receive a series of four e-mails. It is extremely important that the AOR watch for and save each of the emails. It may take up to two (2) business days from application submission to receipt of email Number 2. The titles of the four e-mails are:

Number 1 - Grants.gov Submission Receipt Number

Number 2 - Grants.gov Submission Validation Receipt for Application Number

Number 3 - Grants.gov Grantor Agency Retrieval Receipt for Application Number

Number 4 - Grants.gov Agency Tracking Number Assignment for Application Number



## PART V - APPLICATION REVIEW INFORMATION

### A. CRITERIA

#### 1. Initial Review Criteria

##### Application Award Eligibility

- Prior to a comprehensive merit evaluation, DOE will perform an initial review to determine that (1) the applicant is eligible for an award; (2) the information required by the funding opportunity announcement has been submitted; and (3) the proposed project is responsive to the objectives of the funding opportunity announcement. Applications that fail to pass the initial review will not be forwarded for merit review and will be eliminated from further consideration.

#### 2. Merit Review Criteria

##### Area of Interest 1 – Strengthening Building Retrofit Markets

###### Criterion 1: Project Strategy

Weight: [35%]

- Reasonableness, completeness and feasibility of the planned strategy/approach to meet the objectives of the Funding Opportunity Announcement and result in wide-spread adoption of building retrofits and energy-saving activities.
- Degree to which approach utilizes regional strategies; is innovative and confidence-building to increase the building retrofit market in the selected market area; and changes consumer behavior to increase adoption of building retrofits and long-lasting, energy-saving activities.
- Degree to which the project strategy contains clear goals, methods, metrics, deliverables, schedule, and budget.
- Degree to which applicant's risk management approach identifies and adequately addresses perceived risks associated with the proposed project.
- Extent to which stakeholders will be engaged in and facilitate the overall effort to increase retrofit adoption and enhance market penetration.
- Extent to which the strategy/approach adequately addresses future funding resources and plans to ensure project sustainability beyond the agreement period.
- Degree to which approach addresses the development and validation of cost-effectiveness measures.

###### Criterion 2: Potential Project Impact

Weight: [25%]

- Extent to which the program and/or strategy significantly increases energy saved as a result of whole-building retrofits.

- Extent to which the program and/or strategy significantly avoids greenhouse gas emissions as a result of whole-building retrofits.
- Degree to which approach develops new or strengthens existing building retrofit market(s) by creating, enhancing, or expanding replicable programs, activities, organizational structures, and techniques which will transform the market and encourage consumer adoption of energy efficiency and clean energy;
- Degree to which residential and/or commercial retrofit activities in markets with little or no retrofit activity are increased and/or market penetration of existing whole-building retrofits is improved.

**Criterion 3: Partnership Structure and Capabilities**

**Weight: [25%]**

- Degree to which the roles, responsibilities, and level of effort of each of the project team members are clearly described.
- The extent to which the proposed team contains an array of stakeholders and organizations, including the participation of a PUC, that exhibit the credentials, capabilities, and experience to successfully implement the project, and ensure that state, legislative, industry and other leaders will work together to develop legal, regulatory and statutory frameworks to support investment in energy efficiency.
- Degree of demonstrated commitment of the project team.
- Extent to which competitive SEP funds are leveraged with resources of other organizations, companies, and institutions.

**Criterion 4: Evaluation, Measurement & Verification**

**Weight: [15%]**

- Degree to which approach addresses a quality assurance strategy for evaluating and monitoring retrofit activities and assuring quality standards are met.
- Degree to which approach addresses an evaluation, measurement and verification strategy for accurately quantifying energy savings and tons CO<sub>2</sub> equivalent avoided, ensuring program/strategy quality, and assessing project success.

**Area of Interest 2 – Energy Efficiency Action**

**Criterion 1: Goal Development Process**

**Weight: [35%]**

- Extent to which stakeholders will be collaboratively engaged in overall effort to establish the annual energy savings goal.
- Degree to which the goal development process addresses the role of utilities, consumer behavior, energy efficiency investment, long-term plans for the state(s), and implementation goals in the National Action Plan for Energy Efficiency’s Vision for 2025 (see Appendix 1).
- Degree to which the energy savings data collection and reporting method examines the use of standard protocols that will be sufficient for obtaining accurate data, performing evaluations, and monitoring.

- Degree to which the goal development process examines opportunities to leverage investments through the American Recovery and Reinvestment Act of 2009, develop partnerships, and tap into other resources to achieve the energy savings goal.

**Criterion 2: Phase I Action Plan**

**Weight: [25%]**

- Reasonableness, completeness, feasibility, and justification of the proposed benchmarks and activities provided in the Phase I action plan.
- Degree to which the National Action Plan on Energy Efficiency was used as a basis for developing the Phase I Action Plan.
- Degree to which the action plan contains clear goals, methods, metrics, deliverables, schedule, and budget.
- Extent to which the action plan adequately addresses future funding resources and plans to ensure project sustainability beyond the agreement period
- Degree to which the risk management approach identifies and adequately addresses perceived risks associated with the proposed project.

**Criterion 3: Potential Project Impact**

**Weight: [15%]**

- Degree to which proposed programs and activities could affect energy efficiency and the long-term goals of and planning for the state.

**Criterion 4: Partnership Structure and Capabilities**

**Weight: [25%]**

- Degree to which the roles, responsibilities, and level of effort of each of the project team members are clearly described.
- The extent to which the proposed team contains an array of stakeholders and organizations, including the participation of a PUC, that exhibit the credentials, capabilities, and experience needed to successfully implement the project, and ensure that state, legislative, industry and other leaders will work together to develop legal, regulatory and statutory frameworks to support investment in energy efficiency.
- Degree of demonstrated commitment of the project team.

**3. Other Selection Factors**

**Program Policy Factors**

- The selection official may consider the following program policy factors in the selection process:
  1. The desire to select a mix of projects which achieves the strategic goals of EERE;
  2. The desire to select projects which represent a diverse programmatic portfolio of projects and methodologies;

3. The desire to select projects which maximize the geographic diversity of the current program portfolio;
4. The desire to select for award a group of projects with a broad or specific geographic distribution because of the nature of the energy source, the type of projects envisioned, or limitations of past efforts; or
5. The desire to select projects that provide opportunities for experienced states or organizations to partner and assist less experienced groups, organizations, or states.

## **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 under Financial Assistance, Regulations and Guidance at <http://www.management.energy.gov/documents/meritrev.pdf>.

### **2. Selection**

#### **Selection Official Consideration**

- The Selection Official will 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 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 July 2010 and making awards by the end of September 2010.

## **PART VI - AWARD ADMINISTRATION INFORMATION**

### **A. AWARD NOTICES**

#### **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.

#### **2. Notice of Award**

##### **Notice of Award**

An 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/NNSA.; (4) DOE assistance regulations at 10 CFR 600; (5) National Policy Assurances To Be Incorporated As Award Terms; (6) Budget Summary; and (7) Federal Assistance Reporting Checklist, which identifies the reporting requirements.

For grants and cooperative agreements made to universities, non-profits and other entities subject to OMB Circular A-110 the Award also includes the Research Terms and Conditions located at <http://www.nsf.gov/bfa/dias/policy/rtc/index.jsp>.

### **B. ADMINISTRATIVE AND NATIONAL POLICY REQUIREMENTS**

#### **1. Administrative Requirements**

The administrative requirements for DOE grants and cooperative agreements are contained in 10 CFR 600 (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>.

#### **2. Special Terms and Conditions and National Policy Requirements**

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://management.energy.gov/business\\_doe/business\\_forms.htm](http://management.energy.gov/business_doe/business_forms.htm).

The National Policy Assurances To Be Incorporated As Award Terms are located at <http://www.nsf.gov/bfa/dias/policy/rtc/appc.pdf>.

Intellectual Property Provisions. The standard DOE financial assistance intellectual property provisions applicable to the various types of recipients are located at [http://www.gc.doe.gov/financial\\_assistance\\_awards.htm](http://www.gc.doe.gov/financial_assistance_awards.htm).

## Statement of Substantial Involvement (Area of Interest 1 only)

- DOE Responsibilities:
  - Co-chairing stakeholder meetings with the State Energy Offices or their representative(s) to provide insight and guidance in developing successful retrofit strategies;
  - Working with the SEOs to facilitate agreements amongst and between states/regions and for-profit and non-profit organizations (in multiple areas such as financing, training, certification, marketing, and outreach) so that Awardees can take advantage of the national reach of DOE;
  - Working collaboratively with Awardees during project implementation to develop and validate methods to determine cost-effectiveness of retrofits and of their overall program approach that are replicable and appropriate to other areas of the country;
  - Participating in project management planning activities to ensure DOE's program requirements and/or limitations are considered in performance of the work elements;
  - Integrating the work effort to ensure that project results address critical system and programmatic goals established by DOE EERE, in coordination with the State Energy Program. 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; 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 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 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;
  - Co-chairing with DOE, 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 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;
- 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.

**Statement of Substantial Involvement (Area of Interest 2 only)**

- DOE Responsibilities:

- 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.

### **C. REPORTING**

Reporting requirements are identified on the Federal Assistance Reporting Checklist, DOE F 4600.2, attached to the award agreement. For a sample Checklist, see Appendix 2 to this announcement.



## **PART VII - QUESTIONS/AGENCY CONTACTS**

### **A. QUESTIONS**

Questions regarding the content of the announcement must be submitted through the FedConnect portal. You must register with FedConnect to respond as an interested party to submit questions, and to view 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. DOE/NNSA 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 five (5) 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. DOE/NNSA cannot answer these questions.

### **B. AGENCY CONTACT**

Name:	Sue Miltenberger
E-mail:	susan.miltenberger@netl.doe.gov
FAX:	304-285-4683
Telephone:	304-285-4083

## **PART VIII - OTHER INFORMATION**

### **A. MODIFICATIONS**

Notices of any modifications to this announcement will be posted on Grants.gov and the FedConnect portal. You can receive an email when a modification 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 release of the FOA as possible to ensure you receive timely notice of any modifications or other announcements.

### **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 [*Insert 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.

**APPENDICES/REFERENCE MATERIAL**

**APPENDIX 1: Possible Action Plan Benchmarks**

<b>Progress in Meeting Implementation Goals</b>		
<b>Date</b>	<b>Implementation Goals and Key Benchmarks</b>	
	<i>Goal One: Establishing Cost-Effective Energy Efficiency as a High-Priority Resource</i>	
	1	Process in place, such as a state and/or regional collaborative, to pursue energy efficiency as a high-priority resource.
	2	Policy established to recognize energy efficiency as high-priority resource.
	3	Potential identified for cost-effective, achievable energy efficiency over the long term.
	4	Energy efficiency savings goals or expected energy savings targets established consistent with cost-effective potential.
	5	Energy efficiency savings goals and targets integrated into state energy resource plan, with provisions for regular updates.
	6	Energy efficiency savings goals and targets integrated into a regional energy resource plan.
	<i>Goal Two: Developing Processes to Align Utility and Other Program Administrator Incentives Such That Efficiency and Supply Resources Are on a Level Playing Field</i>	
	7	Utility and other program administrator disincentives are removed.
	8	Utility and other program administrator incentives for energy efficiency savings reviewed and established as necessary.
	9	Timely cost recovery in place.
	<i>Goal Three: Establishing Cost-Effectiveness Tests</i>	
	10	Cost-effectiveness tests adopted which reflect the long-term resource value of energy efficiency.
	<i>Goal Four: Establishing Evaluation, Measurement, and Verification Mechanisms</i>	
	11	Robust, transparent EM&V procedures established.
	<i>Goal Five: Establishing Effective Energy Efficiency Delivery Mechanisms</i>	
	12	Administrator(s) for energy efficiency programs clearly established.
	13	Stable (multi-year) and sufficient funding in place consistent with energy efficiency goals.
	14	Programs established to deliver energy efficiency to key customer classes and meet energy efficiency goals and targets.
	15	Strong public education programs on energy efficiency in place.
	16	Energy efficiency program administrator engaged in developing and sharing program best practices at the regional and/or national level.
	<i>Goal Six: Developing State Policies to Ensure Robust Energy Efficiency Practices</i>	
	17	State policies require routine review and updating of building codes.
	18	Building codes effectively enforced.
	19	State appliance standards in place.
	20	Strong state and local government lead-by example programs in place.
<b>Progress in Meeting Implementation Goals</b>		
<b>Date</b>	<b>Implementation Goals and Key Steps</b>	
	<i>Goal Seven: Aligning Customer Pricing and Incentives to Encourage Investment in Energy Efficiency</i>	
	21	Rates examined and modified considering impact on customer incentives to pursue

		energy efficiency.
	22	Mechanisms in place to reduce consumer disincentives for energy efficiency (e.g., including financing mechanisms).
<i>Goal Eight: Establishing State of the Art Billing Systems</i>		
	23	Consistent information to customers on energy use, costs of energy use, and options for reducing costs.
<i>Goal Nine: Implementing State of the Art Efficiency Information Sharing and Delivery Systems</i>		
	24	Investments in advanced metering, smart grid infrastructure, data analysis, and two-way communication to enhance energy efficiency.
	25	Coordinated energy efficiency and demand response programs established by customer class to target energy efficiency for enhanced value to customers.
	26	Residential programs established to use trained and certified professionals as part of energy efficiency program delivery
<i>Goal Ten: Implementing Advanced Technologies</i>		
	27	Policies in place to remove barriers to combined heat and power.
	28	Timelines developed for the integration of advanced technologies.

## APPENDIX 2: Reporting Checklist

DOE F 4600.2  
(5/09)  
All Other Editions Are Obsolete

### U.S. Department of Energy FEDERAL ASSISTANCE REPORTING CHECKLIST AND INSTRUCTIONS

1. Identification Number: FOA DE-FOA-EE0000251	2. Program/Project Title: State Energy Program (SEP) Strengthening Building Retrofit Markets and Stimulating Energy Efficiency Action Funding Opportunity Announcement												
3. Recipient: State of													
4. Reporting Requirements: <b>A. MANAGEMENT REPORTING</b> <input checked="" type="checkbox"/> Progress Report <input type="checkbox"/> Special Status Report	Frequency	No. of Copies	Addressees										
<b>B. SCIENTIFIC/TECHNICAL REPORTING</b> (Reports/Products must be submitted with appropriate DOE F 241. The 241 forms are available at <a href="http://www.osti.gov/elink">www.osti.gov/elink</a> )  <table style="width: 100%; border: none;"> <tr> <td style="text-align: center;">Report/Product</td> <td style="text-align: center;">Form</td> </tr> <tr> <td><input type="checkbox"/> Final Scientific/Technical Report</td> <td>DOE F 241.3</td> </tr> <tr> <td><input type="checkbox"/> Conference papers/proceedings*</td> <td>DOE F 241.3</td> </tr> <tr> <td><input type="checkbox"/> Software/Manual</td> <td>DOE F 241.4</td> </tr> <tr> <td><input type="checkbox"/> Other (see Special Instructions)</td> <td>DOE F 241.3</td> </tr> </table> * <i>Scientific and technical conferences only</i>	Report/Product	Form	<input type="checkbox"/> Final Scientific/Technical Report	DOE F 241.3	<input type="checkbox"/> Conference papers/proceedings*	DOE F 241.3	<input type="checkbox"/> Software/Manual	DOE F 241.4	<input type="checkbox"/> Other (see Special Instructions)	DOE F 241.3	Q, F	Electronic Version	<a href="http://www.page.energy.gov/">http://www.page.energy.gov/</a>
Report/Product	Form												
<input type="checkbox"/> Final Scientific/Technical Report	DOE F 241.3												
<input type="checkbox"/> Conference papers/proceedings*	DOE F 241.3												
<input type="checkbox"/> Software/Manual	DOE F 241.4												
<input type="checkbox"/> Other (see Special Instructions)	DOE F 241.3												
<b>C. FINANCIAL REPORTING</b> <input checked="" type="checkbox"/> SF-425, Federal Financial Report	Q, F	Electronic Version	<a href="http://www.page.energy.gov/">http://www.page.energy.gov/</a>										
<b>D. CLOSEOUT REPORTING</b> <input type="checkbox"/> Patent Certification <input checked="" type="checkbox"/> Property Certification <input type="checkbox"/> Other (see Special Instructions)	F	Electronic Version	See Note 1										
<b>E. OTHER REPORTING</b> <input checked="" type="checkbox"/> Annual Indirect Cost Proposal <input type="checkbox"/> Annual Inventory Report of Federally Owned Property, if any <input checked="" type="checkbox"/> Other	A  A*	Electronic Version	<a href="https://www.eere-pmc.energy.gov/SubmitReports.aspx">https://www.eere-pmc.energy.gov/SubmitReports.aspx</a>										
<b>F. AMERICAN RECOVERY AND REINVESTMENT ACT REPORTING</b> <input type="checkbox"/> Reporting and Registration Requirements													
FREQUENCY CODES AND DUE DATES: A - Within 5 calendar days after events or as specified. F - Final; 90 calendar days after expiration or termination of the award. Y - Yearly; 90 days after the end of the reporting period. S - Semiannually; within 30 days after end of reporting period. Q - Quarterly; within 30 days after end of the reporting period.													
5. Special Instructions: Forms are available at <a href="https://www.eere-pmc.energy.gov/forms.aspx">https://www.eere-pmc.energy.gov/forms.aspx</a> .  1. The Recipient must provide the Property Certification, including the required inventories of non-exempt property, located at: <a href="http://grants.pr.doe.gov">http://grants.pr.doe.gov</a> . A signed copy of the Property Certification shall be submitted in PDF format to the NETL Property Administrator at the following address: <a href="mailto:Property.Administrator@netl.doe.gov">Property.Administrator@netl.doe.gov</a> . *Under Area of Interest 2, the Recipient shall provide the following Phase I deliverables: a report that describes the process undertaken, the goal established and whether or not that goal was reached. If the goal was not reached, the report should describe why. The Recipient shall also provide a Phase II Implementation Plan.													

## Federal Assistance Reporting Instructions (5/09)

### A. MANAGEMENT REPORTING

#### Progress Report

The Progress Report must provide a concise narrative assessment of the status of work and include the following information and any other information identified under Special Instructions on the Federal Assistance Reporting Checklist:

1. The DOE award number and name of the recipient.
2. The project title and name of the project director/principal investigator.
3. Date of report and period covered by the report.
4. A comparison of the actual accomplishments with the goals and objectives established for the period and reasons why the established goals were not met.
5. A discussion of what was accomplished under these goals during this reporting period, including major activities, significant results, major findings or conclusions, key outcomes or other achievements. This section should not contain any proprietary data or other information not subject to public release. If such information is important to reporting progress, do not include the information, but include a note in the report advising the reader to contact the Principal Investigator or the Project Director for further information.
6. Cost Status. Show approved budget by budget period and actual costs incurred. If cost sharing is required break out by DOE share, recipient share, and total costs.
7. Schedule Status. List milestones, anticipated completion dates and actual completion dates. If you submitted a project management plan with your application, you must use this plan to report schedule and budget variance. You may use your own project management system to provide this information.
8. Any changes in approach or aims and reasons for change. Remember significant changes to the objectives and scope require prior approval by the contracting officer.
9. Actual or anticipated problems or delays and actions taken or planned to resolve them.
10. Any absence or changes of key personnel or changes in consortium/teaming arrangement.
11. A description of any product produced or technology transfer activities accomplished during this reporting period, such as:
  - A. Publications (list journal name, volume, issue); conference papers; or other public releases of results. Attach or send copies of public releases to the DOE Program Manager identified in Block 15 of the Assistance Agreement

Cover Page.

- B. Web site or other Internet sites that reflect the results of this project.
- C. Networks or collaborations fostered.
- D. Technologies/Techniques.
- E. Inventions/Patent Applications
- F. Other products, such as data or databases, physical collections, audio or video, software or netware, models, educational aid or curricula, instruments or equipment.

### **C. FINANCIAL REPORTING**

Recipients must complete the SF-425 as identified on the Reporting Checklist in accordance with the report instructions. A fillable version of the form is available at [http://www.whitehouse.gov/omb/grants/grants\\_forms.aspx](http://www.whitehouse.gov/omb/grants/grants_forms.aspx).

### **D. CLOSEOUT REPORTS**

#### **Property Certification**

The recipient must provide the Property Certification, including the required inventories of non-exempt property, located at <http://www.management.energy.gov/documents/PropertyCertFINAL.doc>

### **E. OTHER REPORTING**

#### **Annual Indirect Cost Proposal and Reconciliation**

Requirement. In accordance with the applicable cost principles, the recipient must submit an annual indirect cost proposal, reconciled to its financial statements, within six months after the close of the fiscal year, unless the award is based on a predetermined or fixed indirect rate(s), or a fixed amount for indirect or facilities and administration (F&A) costs.

Cognizant Agency. The recipient must submit its annual indirect cost proposal directly to the cognizant agency for negotiating and approving indirect costs. If the DOE awarding office is the cognizant agency, submit the annual indirect cost proposal to the website address on the Reporting Requirements Checklist.