

**FINANCIAL ASSISTANCE  
FUNDING OPPORTUNITY ANNOUNCEMENT**



**U.S. Department of Energy  
Golden Field Office**

**Weatherization Assistance Program:  
Weatherization Innovation Pilot Program**

**Funding Opportunity Announcement Number: DE-FOA-00000309**

**Announcement Type: Initial**

**CFDA Number: 81.042**

**Issue Date: April 21, 2010**

**Application Due Date: June 2, 2010, 11:59 PM Eastern Time**

**NOTE: Questions regarding the content of this announcement must be submitted through FedConnect. Applicants must be registered in FedConnect to submit or view Questions.**

## **REGISTRATION AND APPLICATION SUBMISSION REQUIREMENTS**

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

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

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

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

Download the Application Package for this announcement at <http://www.grants.gov/>. Click on the “Apply for Grants” link; then, click on the “Download a Grant Application Package” link and follow the instructions. Insert the announcement number to download the Application Package.

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

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

### **Where to Ask Questions About the Funding Opportunity Announcement Content:**

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

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

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

Central Contractor Registration (CCR) system: <https://www.bpn.gov/ccr/contactccr.aspx>  
By phone: 866-606-8220 or 334-206-7828 (8:00 a.m. to 8:00 p.m., Eastern Time)

Grants.gov: [support@grants.gov](mailto:support@grants.gov)  
By phone: 1-800-518-4726 (7:00 a.m. to 9:00 p.m., Eastern)

FedConnect: [support@FedConnect.net](mailto:support@FedConnect.net)  
By phone: 1-800-899-6665 (8:00 a.m. to 8:00 p.m., Eastern)

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## **SECTION I – FUNDING OPPORTUNITY DESCRIPTION**

### **A. Introduction**

The Department of Energy's Office of Energy Efficiency and Renewable Energy (EERE), Office of Weatherization and Intergovernmental Programs (OWIP), Weatherization Assistance Program (WAP) was appropriated \$210 million in Fiscal Year 2010 funding. This Funding Opportunity Announcement (FOA) is for \$30 million of this appropriation and is issued for a Weatherization Innovation Pilot Program for competitively selected innovative weatherization projects. This program intends to promote innovative ways to weatherize homes of low-income families.

### **B. Funding Opportunity Announcement Objectives**

The Department of Energy (DOE), Golden Field Office, on behalf of the Office of Energy Efficiency and Renewable Energy's Weatherization and Intergovernmental Program, seeks applications for this FOA. Under this competitive funding opportunity announcement, DOE will consider the following scope of activity:

The Weatherization Innovation Pilot Program (\$30 M from FY 2010) is a competitive Funding Opportunity Announcement providing grants for innovative ways to weatherize homes of low-income families. It will focus on the following objectives:

1. Including new and non-traditional providers and developing new partnerships. Partnerships may involve non-traditional and existing WAP network providers.
2. Leveraging financial resources in addition to Federal funds.
3. Improving the effectiveness of low-income weatherization through the use of new materials, technologies, behavior-change models, and/or processes. Metrics for improving effectiveness include increasing the number of homes weatherized, reducing cost per weatherized home, increasing energy cost savings per home, increasing jobs created and retained, and reducing greenhouse gas emissions.

Weatherization Innovation addresses the pressing need to significantly increase the rate and total number of low-income residential energy retrofits in a manner consistent with the President's goals of creating a green workforce and weatherizing one million homes nationally per year.

#### **Objective 1: New and Non-Traditional Providers and Partnerships**

DOE is seeking partnerships with traditional and non-traditional weatherization providers including: states and units of local government; non-profit entities such as community development organizations; for-profit entities; institutions of higher education; Indian tribe economic development entities; and, consortia of these entities. Examples of potential recipients include, but are not limited to, current WAP local weatherization service providers, utility companies, private contractors, industry groups, non-profit organizations, labor unions, community groups, and foundations.

These organizations will provide leadership in managing home energy retrofit services to low-income families by leveraging financial resources and refining the home energy retrofit process. Through these pilot programs, DOE seeks to learn from best practice home retrofit programs that

are operating around the country but are not part of the traditional WAP network that serves low-income families. While partnerships can include the existing WAP Network providers<sup>1</sup>, each pilot program will operate independently and in parallel with the current local WAP providers and should be replicable in other communities. Applicants should indicate in the Narrative section of the implementation plan how they will coordinate with the local WAP providers, as appropriate. There should be no duplication of services between the traditional WAP and these innovative pilots: a home is not eligible to receive duplicate weatherization services from both funding sources.

## **Objective 2: Leveraging Financial Resources<sup>2</sup>**

Along with new and non-traditional providers and partnerships (Objective 1), this FOA aims to increase non-federal financial resources going towards the weatherization of homes for low-income families. DOE is seeking proposals that highly leverage grant funding in order to significantly enhance the resources available for supporting the program, with the goal of at least 3:1 leveraging from non-federal sources per dollar awarded from this FOA. As a reference, the traditional formula grants average \$1 leveraged from non-Federal sources for every DOE dollar.<sup>3</sup>

Letters of Commitment from parties participating in the project, exclusive of vendors, who will not be contributing cost share, but will be integral to the success of the project must be included as part of the Letters of Commitment in the Appendix to the Narrative. Applicants should describe, in their project narrative, the sources of funds and why those funds are new supplements to the weatherization of low income family homes. DOE considers leveraging to include building owner contributions, partner contributions, in-kind contributions, project revenues, and state funds. Cost share is not required.

### Revenue Streams for Leveraging and Sustaining Federal Funding

In addition to the description of leveraging and partnerships above, DOE is aware of multiple approaches to develop revenue streams from efficiency improvements that could further leverage federal funding. These revenue streams would also increase program sustainability after grant monies are exhausted.

A list of ideas, which is not meant to be prescriptive nor comprehensive, but rather to illustrate the nature and range of possible approaches, includes:

- Revolving loan funds;
- Co-lending / loan participation (including first loss positions)
- Utility on-bill payment and/or financing;
- Property Assessed Clean Energy (PACE) loans;
- Energy efficiency mortgages;
- The sale of carbon and other offsets;
- The sale of white tags to meet efficiency mandates;
- The sale of carbon and other offsets;

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<sup>1</sup> A list of the existing WAP Network providers is available at [http://www.waptac.org/sp.asp?mc=what\\_contacts](http://www.waptac.org/sp.asp?mc=what_contacts)

<sup>2</sup> Leveraging of financial resources means the applicant uses non-federal funds in addition to the federal grant funding to enhance the resources available for supporting the program. Leveraging does not include use of federal funds to securitize the sale of loans into a secondary market or credit enhancement. Non-federal funds may be used for such purposes.

<sup>3</sup> National Association for State Community Services Programs (NASCSPP) PY 2008 Funding Survey. Available at <http://www.nascsp.org/data/files/weatherization/py%202008%20funding%20survey.pdf>

- The sale of efficiencies into forward capacity markets<sup>4</sup>.

If an applicant proposes to develop one or more revenue streams such as these, the applicant should specifically define their proposal in the narrative and explain how the applicant believes it can be applied to the low-income market. In no case will a low-income family be expected to pay for weatherization services. Letters of commitment from partners participating in these revenue-generating activities are strongly encouraged.

### **Objective 3: Improving Effectiveness of Low-Income Weatherization**

Weatherization Innovation pilot programs should seek to improve one or more key metrics associated with WAP. These key metrics are:

- Increased number of homes weatherized
- Reduced cost per home weatherized
- Increased energy savings per home
- Increased jobs created and retained
- Reduced greenhouse gas emissions.

The merit review criteria (See Section V.A.2) and program policy factors (Section V.A.3) will address these targets and allow a direct comparison to current WAP outcomes, which can be found on the program website.<sup>5</sup>

There are materials and technologies not eligible to be deployed under the current Weatherization Assistance Program that hold potential to improve one or more of the above metrics. The deployment of innovative or nontraditional materials and technologies should increase the effectiveness of residential weatherization for low income families as discussed above.

Such materials and technologies are eligible for deployment under this FOA, including but not limited to the following:

- Innovative approaches to high-efficiency building envelope retrofits (walls, foundations, windows, attics, ceilings);
- Innovative high-performance space conditioning (heating, cooling, ventilation, ducts);
- Innovative high-performance hot water systems (i.e. condensing, heat pump, solar);
- Integration with utility smart-grid technologies;
- Small-scale renewable energy systems, including solar photovoltaics, solar hot water, small-scale wind, or others as appropriate;
- Tools and technologies, both front-end and back-end, that can improve diagnostics, measurement, and reporting, and reduce time and costs associated with the weatherization process.

In addition, various approaches to service delivery and behavior-change models (i.e., consumer education) performed outside of WAP may have applicability for increasing the benefits yielded

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<sup>4</sup> See FERC Rule 719 (“Wholesale Competition in Regions with Organized Electric Markets,” FERC Final Rule 719, October 17, 2008, <http://www.ferc.gov/whats-new/comm-meet/2008/101608/E-1.pdf>, 8/21/09) for reference.

<sup>5</sup> See the program information page with program publications, DOE reports, and DOE Fact Sheets. See [http://apps1.eere.energy.gov/weatherization/wx\\_inforesource.cfm](http://apps1.eere.energy.gov/weatherization/wx_inforesource.cfm) and [http://www1.eere.energy.gov/office\\_eere/pdfs/weatherization\\_fs.pdf](http://www1.eere.energy.gov/office_eere/pdfs/weatherization_fs.pdf)

by the program. Some examples, which are not meant to be prescriptive or comprehensive but rather to illustrate the nature and range of ideas DOE is seeking, include:

- Energy usage benchmarking with feedback, either in-home or online, to the users;
- Community-Based Social Marketing (CBSM) and other behavioral change approaches;
- Engaging volunteers in service delivery (note: applicants proposing an approach with volunteers must be prepared to have proper liability insurance for volunteers and dwellings);
- Developing innovative buying cooperatives and bulk buying strategies to lower costs of materials;
- Neighborhood or community approaches, with this funding providing for the retrofit of homes for low-income citizens in those neighborhoods or communities.

### **Additional Information**

#### Measuring Results and Providing Feedback to DOE:

Successful applicants must include reliable methods and means of monitoring and verifying energy savings. In addition, DOE will be conducting a formal independent evaluation of the projects; all grantees under this FOA will be expected to provide information for this assessment. For selected applicants, the final terms and conditions may include specifics that will better facilitate the evaluation of each pilot program, based on what has been proposed. DOE will prefer applicants that plan to use on-site measurements and/or utility bill data to verify energy savings, and statistically-significant experiments where applicable.

DOE is expecting to identify best practices that may be incorporated into future funding opportunities, and therefore may collect additional feedback from grantees to understand the steps and processes undertaken in the pilot project and how results can be integrated into current and future programs (also known as a process evaluation).

#### Monitoring and Oversight of Work Completed:

The FOA applicant must include their plan for monitoring and evaluating work completed under this grant, including on-site inspections or other means, to ensure the effective provision of weatherization assistance for the dwelling units of the low-income persons. DOE may also perform on-site and/or paper monitoring on a selection of the applicant's weatherized units.

#### Training and Technical Assistance:

The FOA applicant must include, the funding necessary for any training and technical assistance as part of the project budget, as appropriate.

#### Population to be served:

The FOA will be limited to proposed programs that are focused on the same income eligible population as that served by WAP (200 percent of poverty income level or below, or eligible under the state's rules for LIHEAP).

### Project Impact Table:

The applicant must include as part of the application package a Project Impact table that describes the quantitative impact of their project (see example in Appendix D). Applicants must provide projections of quarterly aggregated values during the project period, and annual values for post project period years 1-3, showing: number of low-income homes weatherized; average Federal dollar investment per home for weatherization services; average leveraged funds and in-kind resources per weatherized home; and, jobs created and retained. In addition, estimated annual energy savings per home<sup>6</sup>, both electric and gas/oil, annual energy bill reductions per home, and annual greenhouse gas emissions per home must be included. The assumptions used to make these projections should be clearly stated on the template as directed. In addition, the Project Impact Table will detail the applicant's sources of non-federal funds that otherwise would not have been provided to support the weatherization of low income homes and why those funds are new supplements to weatherization of low-income homes.

### **Examples of Projects DOE Anticipates Funding**

- The weatherization of homes for low-income families. This shall include:
  1. A pre-retrofit energy audit and evaluation, as outlined in 10 CFR 440.21 (e)-(f)<sup>7</sup>. A recognized site-specific audit tool should be used (see footnote 8), with defaults set appropriately to ensure a proper analysis.
  2. The work that will resolve the issues identified in the audit and improve the energy efficiency of the unit while ensuring the health and safety of the occupants. All work is to be completed to manufacturer specifications for installations, standards applicable for measures in the geographic area, industry-accepted work specifications, and best practices.
  3. A post-retrofit evaluation and test-out diagnostics of the unit and its major systems and components, which will ensure work was done correctly and had the intended effect while ensuring the health and safety of the occupants
- Non-traditional providers and new partnerships (Objective 1)
- Leveraging of federal funds, with a target of \$3 from non-federal sources for every \$1 from this grant. (Objective 2)
- Innovative approaches and technologies to improve metrics (increase number of homes weatherized, reduce cost, increase energy savings, create jobs) (Objective 3)

### **Examples of Projects DOE Anticipates Will Not be Funded**

- Programs for the design and construction of new energy-efficient buildings;
- Technology demonstration programs without market transformation;

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<sup>6</sup> Applicants are invited but not required to use a DOE-approved residential audit or priority list in order to make these estimates. The Weatherization Assistant audit package (National Energy Audit Tool and Manufactured Home Energy Audit ) for single family and manufactured homes can be downloaded for free for this purpose at [http://www.waptac.org/sp.asp?mc=techauds\\_audits](http://www.waptac.org/sp.asp?mc=techauds_audits). A listing of other approved audits and priority lists in use by the states can be found at <http://www.waptac.org/si.asp?id=735>.

<sup>7</sup> Available at <http://www.waptac.org/sp.asp?id=1812#standards>

- Programs which focus exclusively or largely on renewable energy technologies for buildings (although DOE will consider cost-effective renewable integration with weatherization);
- Programs that are in planning stages and are not ready for implementation;
- Programs that plan to use non-renewable fuel switching to replace furnaces or appliances. As with WAP, DOE will not promote the general practice of non-renewable fuel switching when replacing furnaces or appliances, except under extreme conditions on a case-by-case basis.

### **Minimum Standards for Weatherizing Homes under this FOA**

This FOA is for a competitive grant program separate and distinct from the Weatherization Assistance Program formula grant. Therefore, 10 CFR Part 440 (the WAP regulation<sup>8</sup>) does not specifically apply, but DOE expects the same quality of work as is completed under WAP. These regulations will be used as guidance for weatherization activities conducted under this FOA.

DOE expects grantees under this program to comply with the following minimum standards and guidelines, in order to ensure appropriate use of Federal funding:

- To follow Section 10 CFR 440.16: Minimum Program Requirements;
- To follow Section 10 CFR 440.18: Allowable Expenditures;
- The savings-to-investment ratio (SIR) must exceed 1.0, so that funds expended promote cost-effective energy savings, as outlined in 10 CFR 440.21(d). If a measure does not meet the SIR, an alternative rationale for how this measure benefits the family and/or low-income community must be provided;
- Applicant must specify an audit protocol that ensures the health, safety, and welfare of the family and quantifies the energy savings potential for the proposed improvements (Outlined in 10 CFR 440.21(e)-(f));
- To follow Section 10 CFR 440.22: Eligible dwelling units;
- Applicants will be expected to keep records and report on progress as outlined in Sections 10 CFR 440.24 and 25;
- For materials and technologies that are listed in Appendix A<sup>9</sup>, the standards for those materials and technologies should be met or exceeded. If a new material or technology is proposed, an applicant must demonstrate that it meets savings to investment ratio of 1.0 or greater and benefits the health, safety, and welfare of the customer. If the SIR is not met, alternative rationale for how this measure benefits the family and/or low-income community must be provided;
- Applicants must specify whether the weatherization activities have the potential to increase the indoor concentrations of potentially harmful substances (e.g., radon);

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<sup>8</sup> Section 10 CFR 440 is available online at <http://www.waptac.org/sp.asp?id=1812>. For funding under this FOA, when reviewing 10 CFR 440 as a guideline, please keep in mind that terms “State,” “Grantee,” and “Sub-Grantee” apply to the formula WAP and generally should be interchanged with the term “applicant” in this case.

<sup>9</sup> Appendix A is the Standards for Weatherization Materials, and is available at <http://www.waptac.org/si.asp?id=486>.

- Applicants must specify that appropriate materials and processes will be used for work on any properties that are listed in or eligible for listing in the National Register of Historic Places;
- Grantees will have to comply with EPA’s “Lead Renovation, Repair, and Painting Program” (LRRPP) Final Rule as outlined in Weatherization Program Notice 09-6<sup>10</sup>;
- Grantees must have proper liability insurance for dwellings and workers.

DOE will work with applicants and grantees to identify exceptions and addenda to these minimum standards on a case-by-case basis.

**The following proposed activities will be deemed non-responsive during the initial compliance review and eliminated from full Merit Review:**

- Programs for the design and construction of new energy-efficient buildings;
- Programs that do not deliver weatherization services to low-income family residential housing units.

## **SECTION II – AWARD INFORMATION**

### **A. Type of Award Instrument**

DOE anticipates awarding grants under this funding opportunity announcement.

### **B. Estimated Funding**

Approximately \$30 million is expected to be available for new awards under this announcement.

### **C. Anticipated Maximum and Minimum Award Size**

- Ceiling (i.e., the anticipated maximum amount for an individual award made under this announcement): \$3 million
- Floor (i.e., the anticipated minimum amount for an individual award made under this announcement): none

### **D. Expected Number of Awards**

DOE anticipates making 10-15 awards under this announcement.

### **E. Period of Performance**

DOE anticipates making awards for projects that will run up to 2 years, beginning in the first quarter 2011 (estimated start date).

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<sup>10</sup> Weatherization Program Notice 09-6: “Lead Safe Weatherization (LSW) – Additional Materials and Information” is available at <http://www.waptac.org/si.asp?id=1241>

## **F. Type of Application**

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

## **G. Authorization**

The activities described in this FOA are authorized by the Energy Policy Act of 2005, Pub. Law 109-58, Section 126; the Energy and Water Development Appropriations Act for Fiscal Year 2010 Pub. Law 111-85; and House Report 111-278 (Sept. 30, 2009).

## **SECTION III - ELIGIBILITY INFORMATION**

### **A. Eligible Applicants**

DOE is seeking partnerships with traditional and non-traditional weatherization providers including: states and units of local government; non-profit entities such as community development organizations; for-profit entities; institutions of higher education; Indian tribe economic development entities; and, consortia of these entities. All types of these entities are eligible to apply, except other Federal agencies, Federally Funded Research and Development Center (FFRDC) Contractors, and nonprofit organizations described in section 501(c)(4) of the Internal Revenue Code of 1986 that engaged in lobbying activities after December 31, 1995.

### **B. Cost Sharing**

Cost share is not required.

## **SECTION IV – APPLICATION AND SUBMISSION INFORMATION**

### **A. Address to Request Application Forms**

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

### **B. Letter of Intent and Pre-Application**

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

- Letters of intent are not required.

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

- A pre-application is not required.

## C. Content and Form of Application

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

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

### 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. **To activate the instructions, turn on the "Help Mode" (Icon with the pointer and question mark at the top of the form).** The list of certifications and assurances referenced in Field 21 can be found at [http://management.energy.gov/business\\_doe/business\\_forms.htm](http://management.energy.gov/business_doe/business_forms.htm), under Certifications and Assurances.

### 2. Project/Performance Site Location(s)

Indicate the primary site where the work will be performed. If a portion of the project will be performed at any other site(s), identify the site location(s) in the blocks provided. **Note that the Project/Performance Site Congressional District is entered in the format of the 2 digit state code followed by a dash and a 3 digit Congressional district code; for example, VA-001.** In the form, hover over this field for additional instructions.

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

### 3. Other Attachments Form

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

#### a. Project Summary/Abstract File

The project summary/abstract must contain a summary of the proposed activity suitable for dissemination to the public. It should be a self-contained document that identifies the name of the applicant, the project manager (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. The project summary must not exceed 1 page when printed using standard 8.5" by 11" paper with 1" margins (top, bottom, left and right), single spaced, with font not smaller than 11 point. Save this information in a file named "Summary.pdf," and click on "Add Optional Other Attachment" to attach.

**b. Project Narrative File - Mandatory Other Attachment**

**THE PROJECT NARRATIVE MUST NOT EXCEED 15 PAGES**, including cover page, table of contents, charts, graphs, maps, photographs, and other pictorial presentations, when printed using standard 8.5” by 11” paper with 1 inch margins (top, bottom, left, and right), single spaced. **EVALUATORS WILL REVIEW ONLY THE NUMBER OF PAGES SPECIFIED IN THE PRECEDING SENTENCE.** The font must not be smaller than 11 point. Do not include any Internet addresses (URLs) that provide information necessary to review the application.

See Section VIII.D for instructions on how to mark proprietary application information. Save the information in a single file named “Project.pdf,” and click on “Add Mandatory Other Attachment” to attach.

The project narrative must include:

- Project Objectives

This section should provide a clear, concise statement of the specific objectives/aims of the proposed project.

- Define the goals and objectives of the project
- Describe how the proposed work plan will successfully meet the project goals and objectives.

- Merit Review Criteria Discussion

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

- Partnership Structure

- Describe the entities/organizations that will be involved in the project, including the extent of involvement of traditional and non-traditional providers of weatherization services.
- Describe how the project will be integrated and coordinated with ongoing weatherization programs and delivery channels.

- Project Timetable and Implementation Plan

This section should outline as a function of time, month by month, all the important activities or phases of the project, including any activities planned beyond the project period. Successful applicants must use this project timetable to report progress.

- Describe the work breakdown structure, including detailed major task descriptions, major milestones and a project schedule
- Describe how the proposed project organization will facilitate project success

- Provide a table summarizing the amounts and sources of leveraged funds, and the timeframe in which leveraged funding will be provided
- Provide a monthly schedule of project expenditures (e.g., monthly spend plan) and a monthly projection of non-federal funds leveraged during the project period
- Provide an estimate, by month, of the number of housing units retrofitted, federal dollars spent, and total dollars spent.
- Personnel and Organization Qualifications
  - Describe the education, professional training, technical skills, and work experience of the Project Manager and other key personnel, including personnel from major subcontractors
  - Describe the level of time commitment of the Project Manager and other key personnel, including personnel from major subcontractors, assigned to the proposed project
  - Address the capability of the proposed team to address all aspects of the proposed work
  - Describe the relevant experience of each organization on the proposed team in performing similar projects

- Monitoring and Oversight of Work Completed

The FOA applicant must include their plan for monitoring and evaluating work completed under this grant, including on-site inspections or other means, to ensure the effective provision of weatherization assistance for the dwelling units of the low-income persons. DOE may also perform on-site and/or paper monitoring on a selection of the applicant's weatherized units.

- Relevance and Outcomes/Impacts

This section should explain the relevance of the effort to the objectives in the program announcement and the expected outcomes and/or impacts. The justification for the proposed project should include a clear statement of the importance of the project in terms of the utility of the outcomes and the target community of beneficiaries.

- Roles of Participants

For multi-organizational projects, describe the roles and the work to be performed by each participant, business agreements between the applicant and participants, and how the various efforts will be integrated and managed. Letters from participants reflecting their involvement and commitment to the project (Participant Letters of Commitment) are strongly encouraged and should be attached as an Appendix to the Project Narrative file as described in subsection C.3.f below.

- Define the roles of the team members
- Describe the approach to managing the team and ensuring communication among team members

All the components of your Project Narrative (listed above) must be within the Narrative page limit (15 pages) specified in paragraph b. above.

Documents listed below may be included as clearly marked appendices to your Narrative and will not count towards the Project Narrative page limit. Please note that some of the required documents listed below may have their own page limits to which you must adhere.

**c. Resume File**

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

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

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

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

- Of the key personnel identified in this file, indicate the Project Manager (PM)
- For Multiple Project Managers (PM):

The applicant, whether a single organization or team/partnership/consortium, must indicate if the project will include multiple PMs. The decision to use multiple PMs for a project is the sole responsibility of the applicant. If multiple PMs will be designated, the application must identify the Contact PM/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 PMs. This plan should, at a minimum, include:

- Process for making decisions on direction;
- Publications;
- Intellectual property issues;
- Communication plans;
- Procedures for resolving conflicts;
- PMs’ roles and administrative, technical and scientific responsibilities for the project.

The resume file does not have a page limitation although individual resumes must conform to two pages as described above. Save the information in a single file named “Resume.pdf,” and click on “Add Optional Other Attachment” to attach.

**d. Budget File**

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

You must provide a separate budget for each year of support requested and 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 Section IV, G). Save the information in a single file named “SF424A.xls,” and click on “Add Optional Other Attachment” to attach.

**e. 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.

See Appendix C for additional budget justification guidance. Save the budget justification information in a single file named “Budget.pdf,” and click on “Add Optional Other Attachment” to attach.

**f. Letters of Commitment**

Letters of commitment from team partners and contributors of leveraged funds are strongly encouraged. Save the letters of commitment in a single file named “letters.pdf”, and click on “Add Optional Other Attachment” to attach. Letters of commitment will not count toward the narrative page limit.

**g. Subaward Budget File(s)**

For awards to corporations and nonprofits, full reviews of their individual sub-recipients will be conducted for sub-recipient work with total costs greater than or equal to \$250,000 or greater than or equal to 50% of the total Project costs, whichever is less.

Use the SF 424 A Excel for Non Construction Programs or the SF 424 C Excel for Construction Programs. These forms are found on the DOE Financial Assistance Forms Page at [http://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 424.xls) as the file name (e.g., company424.xls or energyres424.xls). Click on “Add Optional Other Attachment” to attach each file.

A budget justification for the subaward budget is also required. The budget justification must include the same justification information described in paragraph e. above.

**h. SF-LLL Disclosure of Lobbying Activities**

If applicable, complete SF- LLL. Applicability: If any funds other than Federal appropriated funds have been paid or will be paid to any person for influencing or attempting to influence an officer or employee of any agency, a Member of Congress, an officer or employee of Congress, or an employee of a Member of Congress in connection with the grant/cooperative agreement, you must complete and submit Standard Form - LLL, "Disclosure Form to Report Lobbying." If not applicable, do not submit this form. The form is available in the optional document box on the Adobe Application Package attached to this FOA.

**i. Project Impact Table**

See Appendix D to the FOA for the Project Impact Table Template. Save the Project Template Impact Table in a single file named "project impact.pdf," and click on "Add Optimal Other Attachment" to attach.

The applicant must include as part of the application package a Project Impact table that describes the quantitative impact of their project (see example in Appendix D). Applicants must provide projections of quarterly aggregated values during the project period, and annual values for post project period years 1-3, showing: number of low-income homes weatherized; average Federal dollar investment per home for weatherization services; average leveraged funds and in-kind resources per weatherized home; and, jobs created and retained. In addition, estimated annual energy savings per home<sup>11</sup>, both electric and gas/oil, annual energy bill reductions per home, and annual greenhouse gas emissions per home must be included. The assumptions used to make these projections should be clearly stated on the template as directed. In addition, the Project Impact Table will detail the applicant's sources of non-federal funds that otherwise would not have been provided to support the weatherization of low income homes and why those funds are new supplements to weatherization of low-income homes.

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<sup>11</sup> Applicants are invited but not required to use a DOE-approved residential audit or priority list in order to make these estimates. The Weatherization Assistant audit package (National Energy Audit Tool and Manufactured Home Energy Audit ) for single family and manufactured homes can be downloaded for free for this purpose at [http://www.waptac.org/sp.asp?mc=techaids\\_audits](http://www.waptac.org/sp.asp?mc=techaids_audits). A listing of other approved audits and priority lists in use by the states can be found at <http://www.waptac.org/si.asp?id=735>.

### Summary of Required Forms/Files

Your application must include the following documents:

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

## **D. Submissions from Successful Applicants**

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

- Indirect cost information;
- Other budget information;
- Statement of Project Objectives;
- Environmental Questionnaire.

## **E. Submission Dates and Times**

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

Pre-applications are not required.

### **2. Letter of Intent Due Date**

Letters of intent are not required.

### **3. Application Due Date**

Applications must be received no later than **11:59 P.M. EST on June 2, 2010.** You are encouraged to transmit your application well before the deadline.

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

## **F. Intergovernmental Review**

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 in accordance with the applicable Federal cost principles referenced in 10 CFR Part 600. The cost principles for commercial organizations are in FAR Part 31.

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

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

If recipients are State, Local Governments, or Indian Tribal governments, they may not incur pre-award costs prior to award, without prior approval of the DOE contracting officer.

## **H. Submission and Registration Requirements**

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

**APPLICATIONS MUST BE SUBMITTED THROUGH GRANTS.GOV, TO BE CONSIDERED FOR AWARD UNDER THIS ANNOUNCEMENT.** You cannot submit an application through Grants.gov unless you are registered. Please read the registration requirements in their entirety below carefully and start the registration process immediately, as described below in Section 2. Submit electronic applications through the "Apply for Grants" function at [www.Grants.gov](http://www.Grants.gov).

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

### **2. Registration Process Requirements**

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

The Applicant User Guide is at <http://www07.grants.gov/assets/ApplicantUserGuide.pdf>.

Allow at least 21 days to complete all registration requirements.

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

- a. Your organization's Dun and Bradstreet Data Universal Numbering System (DUNS) (including plus 4 extension if applicable). To check whether your organization has a DUNS or if your organization requires a DUNS, search for the number or request one at <http://fedgov.dnb.com/webform/displayHomePage.do>.

- b. A federal Central Contractor Registration (CCR) account. If your organization is not currently registered with CCR, please register at [www.ccr.gov](http://www.ccr.gov) before continuing with your Grants.gov registration. Designating an Electronic Business Point of Contact (EBiz POC) and obtaining a special password called an MPIN are important steps in CCR registration. These items are needed to submit applications in Grants.gov. Update your CCR registration annually.
- c. Registration in FedConnect at <https://www.fedconnect.net/>; use “Register as a Vendor” link. To create an organization account, your organization’s CCR MPIN is required; obtain the MPIN from your organization’s Electronic Business Point of Contact. Refer to the FedConnect Quick Start guide at the website.

### **3. Electronic Authorization of Applications and Award Documents**

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

Submission of award documents, including modifications, through electronic systems used by the Department of Energy, including FedConnect, constitutes the authorized representative’s approval and acceptance of the terms and conditions of the award. Award acknowledgement via FedConnect constitutes the authorized representative’s electronic signature.

## **SECTION V - APPLICATION REVIEW INFORMATION**

### **A. Criteria**

#### **1. Initial Review Criteria**

##### **Application Award Eligibility**

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

## 2. Merit Review Criteria

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

### **Criterion 1: Project Impact**

**Weight: [50%]**

- **Impact:** The expected quantitative impact of the proposed project to low-income energy consumers in terms of number of homes weatherized, cost per weatherized home, projected energy cost savings per home, emissions avoided, and jobs created and retained.
- **Leveraging Funds:** Extent to which the proposed activity leverages Federal dollars, especially through innovative financial and fiscal tools, and the credibility of the proposed leveraging.
- **Innovation:** Extent to which the proposed activity engages non-traditional partners in the weatherization of low-income homes, and proposes innovative ways to weatherize homes that can be incorporated into the Weatherization Assistance Program.
- **Highly Replicable Strategy:** Extent to which the program or project strategy can be adopted by others (private sector and public sector).
- **Ability to meet weatherization retrofit goals,** as demonstrated by past performance conducting residential retrofits.

### **Criterion 2: Project Approach and Implementation**

**Weight: [30%]**

- The soundness of the project's management strategy, including the extent to which the proposal contains clear goals, well-defined tasks and methods, objective deliverables, and realistic schedule and milestones.
- The specifics of the outreach/marketing strategy, the funding structure, the implementation/delivery plan, and the strategy for feedback and continuous improvement of the program during its operation.
- Viability and quality of the proposed method for monitoring, oversight and verification of weatherization services (e.g., homes weatherized, quality of work and energy savings achieved) and ability to provide information to support DOE's independent evaluation of weatherization activities completed (e.g., proper record keeping and verification of energy savings from on-site measurements or utility data where possible).
- Adequacy and viability of the strategy in the implementation plan to cooperate and/or coordinate with the current local Weatherization Assistance Network providers.

### **Criterion 3: Roles, Responsibilities, Qualifications and Capabilities**

**Weight: [20%]**

- Ability of the project team to complete the work successfully, including qualifications of key organizations and personnel and experience in similar programs already implemented.
- Quality of method for providing necessary training and technical assistance.
- Level of participation by project Participants as evidenced by letter(s) of commitment.
- Adequacy of resources to accommodate the proposed project.

### **3. Other Selection Factors**

#### **Program Policy Factors**

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

1. Geographic and climate diversity;
2. Diversity of business models and approaches;
3. Diversity / uniqueness of partnerships.

### **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 by the Department of Energy Merit Review Guidelines

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

#### **2. Selection**

##### **Selection Official Consideration**

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

#### **3. Discussions and Award**

##### **Government Discussions with Applicant**

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

### **C. Anticipated Notice of Selection and Award Dates**

#### **Selection and Award Date**

DOE anticipates notifying applicants selected for award by September 30, 2010, and making awards in the first quarter 2011

## **SECTION 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. (See Section IV.G with respect to the allowability of pre-award costs.)

##### **Non-selected Notification**

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

#### 2. Notice of Award

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

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

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

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

### **B. Administrative and National Policy Requirements**

#### 1. Administrative Requirements

The administrative requirements for DOE grants and cooperative agreements are contained in 10 CFR part 600 (See: <http://ecfr.gpoaccess.gov>). Grants and cooperative agreements made to universities, non-profits and other entities subject to OMB Circular A-110 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

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)

<http://www.management.energy.gov/documents/specialtermsandcondition308.pdf>.

The National Policy Assurances To Be Incorporated As Award Terms are located at:  
[http://management.energy.gov/business\\_doe/business\\_forms.htm](http://management.energy.gov/business_doe/business_forms.htm)  
[http://management.energy.gov/business\\_doe/1374.htm](http://management.energy.gov/business_doe/1374.htm).

### 3. 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).

### 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  
<http://management.energy.gov/documents/DOEF46002PolicyVersion.pdf>.

## **SECTION VII - QUESTIONS**

**Questions regarding the content of the announcement must be submitted through the FedConnect system.** You must register with FedConnect to respond as an interested party to submit questions, and to review responses to questions. It is recommended that you register as soon after release of the FOA as possible to have the benefit of all responses. More information is available at:

[https://www.fedconnect.net/Fedconnect/PublicPages/FedConnect\\_Ready\\_Set\\_Go.pdf](https://www.fedconnect.net/Fedconnect/PublicPages/FedConnect_Ready_Set_Go.pdf).

DOE will try to respond to a question within 3 business days, unless a similar question and answer have already been posted on the website.

Questions pertaining to the **submission of applications through Grants.gov** should be directed by e-mail to [support@grants.gov](mailto:support@grants.gov) or by phone to 1-800-518-4726. The Grants.gov Helpdesk is available 7:00 a.m. to 9:00 p.m. Eastern Time.

## **SECTION VIII - OTHER INFORMATION**

### A. Modifications

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

Notices of any modifications to this announcement will also be available in the FedConnect system. 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 the release of the FOA as possible to ensure you receive timely notice of any modifications or other announcements. More information is available at:

<http://www.fedconnect.net> and

[https://www.fedconnect.net/Fedconnect/PublicPages/FedConnect\\_Ready\\_Set\\_Go.pdf](https://www.fedconnect.net/Fedconnect/PublicPages/FedConnect_Ready_Set_Go.pdf)

## **B. Government Right to Reject or Negotiate**

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

## **C. Commitment of Public Funds**

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

## **D. Proprietary Application Information**

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

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

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

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

## **E. Evaluation and Administration by Non-Federal Personnel**

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

## **F. Notice of Right to Conduct a Review of Financial Capability**

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

## **G. Notice of Potential Disclosure under Freedom of Information Act**

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

### **REFERENCE MATERIAL**

#### **Appendix A – Definitions**

**“Amendment”** means a revision to a Funding Opportunity Announcement

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

**“Application”** means the documentation submitted in response to a Funding Opportunity Announcement.

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

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

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

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

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

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

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

**“Cost Sharing”** means the respective share of Total Project Costs to be contributed by the Applicant and by DOE. The percentage of Applicant Cost Share is to be applied to the Total Project Cost (i.e., the sum of Applicant plus DOE Cost Shares) rather than to the DOE contribution alone. Cost share is not required for this FOA.

**“Data Universal Numbering System (DUNS) Number”** is a unique nine-character identification number issued by Dun and Bradstreet (D&B). Organizations must have a DUNS number prior to registering in the CCR. Call 1-866-705-5711 to receive one free of charge. [http://www.grants.gov/applicants/request\\_duns\\_number.jsp](http://www.grants.gov/applicants/request_duns_number.jsp)

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

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

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

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

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

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

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

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

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

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

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

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

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

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

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

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

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

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

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

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

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

**“Weatherization Service Provider”** means an entity that provides services to weatherize low-income homes under the Weatherization Assistance Program.

## Appendix B – Personally Identifiable Information

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

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

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

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

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

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

- Credit card numbers
- Bank account numbers
- Security clearance history or related information (not including actual clearances held)

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

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

This page intentionally left blank. Additional attachments below.

## Appendix C – Budget Justification

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

The SF424A Budget form and the Budget Justification must include both Federal (DOE), and Non-Federal (cost share) funds, thereby reflecting **TOTAL PROJECT COSTS** proposed.

For awards to corporations and nonprofits, full reviews of their individual sub-recipients will be conducted for sub-recipient work with total costs (including cost-share) greater than or equal to \$250,000 or greater than or equal to 50% of the total Project costs, whichever is less.

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

### **Personnel**

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

Task # and Title	Position Title	Budget Period 1			Budget Period 2			Project Total Hours	Project Total Dollars	Rate Basis
		Time (Hours)	Pay Rate (\$/Hr)	Total Budget Period 1	Time (Hours)	Pay Rate (\$/Hr)	Total Budget Period 2			
Task 1. – Task Name	Sr. Engineer (1)	2000	\$85.00	\$170,000	200	\$50.00	\$10,000	2200	\$180,000	Actual Salary
Task 2 – Task Name	Process engineers (3)	6200	\$35.00	\$217,000	400	\$35.00	\$14,000	6600	\$231,000	Actual Salary
Task 3 – Task Name	Technician (1)	1800	\$20.00	\$36,000	0	\$0.00	\$0	1800	\$36,000	Actual Salary

**Fringe**

A federally approved fringe benefit rate agreement, or a proposed rate supported and agreed upon by DOE for estimating purposes is required if reimbursement for fringe benefits is requested. If a fringe benefit rate has been negotiated with, or approved by, a federal government agency, a copy of the latest rate agreement must be included with this application. If there is not a current, federally approved rate agreement negotiated and available, provide a copy of the proposal with the application. If selected, the rate agreement will be finalized during award negotiations. Calculate the fringe rate and enter the total amount in Section B, line 6.b. (“Fringe Benefits”) of form SF-424A.

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

**Travel**

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

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

## Equipment

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

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

## Supplies

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

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

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

**Contractual**

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

**Sub-recipients (partners, sub-awardees):**

For each sub-recipient with total project costs of \$250,000 or more, a separate SF-424A budget and budget justification form must be submitted. For sub-recipients with estimated costs less than \$250,000, provide what Statement of Project Objectives task(s) are being performed, the purpose/need for the effort, and a basis of the estimated costs that is considered sufficient for DOE evaluation.

**Vendors (includes contractors and consultants):**

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

Sub-Recipient Name/Organization	Purpose/Tasks in SOPO	Budget Period 1 Costs	Budget Period 2 Costs	Budget Period 3 Costs	Project Total
EXAMPLE ONLY!!! XYZ Corp.	Partner to develop optimal fresnel lens for Gen 2 product - Task 2.4	\$48,000	\$32,000	\$16,000	\$96,000
	Sub-total	\$48,000	\$32,000	\$16,000	\$96,000
Vendor Name/Organization	Product or Service, Purpose/Need and Basis of Cost (Provide additional support at bottom of page as needed)	Budget Period 1 Costs	Budget Period 2 Costs	Budget Period 3 Costs	Project Total
EXAMPLE ONLY!!! ABC Corp.	Vendor for developing custom robotics to perform lens inspection, alignment, and placement (Task 4 ). Required for expanding CPV module mfg. capacity. Cost is from competitive quotes.	\$32,900	\$86,500		\$119,400
	Sub-total	\$32,900	\$86,500	\$0	\$119,400
FFRDC Name/Organization	Purpose	Budget Period 1 Costs	Budget Period 2 Costs	Budget Period 3 Costs	Project Total
					\$0
	Sub-total	\$0	\$0	\$0	\$0
<b>Total Contractual</b>		\$80,900	\$118,500	\$16,000	\$215,400

## Construction

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

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

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

## Other Direct Costs

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

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

## **Indirect Costs**

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

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

## Appendix D - Project Impact Table Template

**Project Impact Table [TO BE FILLED OUT AND ATTACHED TO APPLICATION]**  
*The Applicant should list key assumptions made to form the projections listed in these tables.*

Project Impact Metrics	Project Period								Total
	Year 1				Year 2				
	Q1	Q2	Q3	Q4	Q1	Q2	Q3	Q4	
Number of low-income units weatherized									
Weatherization Innovation Federal Funds Expended									
Leveraged Funds and In-Kind Resources Expended									
Jobs created or retained									
Average annual electricity savings (kWh) achieved per weatherized unit									
Average annual natural gas/oil savings (therms) achieved per weatherized unit									
Average energy bill reduction per weatherized unit (in \$)									
Average annual emissions reductions (pounds of CO <sub>2</sub> ) per unit weatherized									

Project Totals Post Project Period, year 1 to 3				
	Year 1	Year2	Year3	Total
Total electricity savings (kWh)				
Total natural gas/oil savings (therms)				
Total energy bill reduction (in \$)				
Total emissions reductions (pounds of CO <sub>2</sub> )				

### Explanation of non-federal funding sources

Source of Non-Federal Funds	Explanation*

\* Detail regarding the sources of non-federal funds that otherwise would not have been provided to support the weatherization of low -income homes and why those funds are new supplements to weatherization of low income homes. Please add rows if necessary.

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