



STATE ENERGY PROGRAM 2016 COMPETITIVE AWARDS

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FOA Webinar
DE-FOA-0001415
January 26th and 27th, 2016



Protocol for questions during this webinar

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



Notice

- All applicants are strongly encouraged to carefully read the Funding Opportunity Announcement DE-FOA-0001415 **(State Energy Program Competitive FOA)** and adhere to the stated submission requirements.
- This presentation summarizes the contents of FOA. If there are any inconsistencies between the FOA and this presentation or statements from DOE personnel, the FOA is the controlling document and applicants should rely on the FOA language and seek clarification from EERE.
- If you believe there is an inconsistency, please contact SEPFY16FOA1415@ee.doe.gov



Agenda

- 1) Registration Requirements
- 2) SEP Competitive Award 2016 Overview
- 3) Anticipated Schedule
- 4) Changes from Last Year
- 5) Expected Post Award Deliverables
- 6) Means of Submission
- 7) Technical Areas of Interest
- 8) Eligibility Requirements
- 9) Award Information
- 10) Content and Form of Full Applications
- 11) Statement of Substantial Involvement
- 12) Cost Match
- 13) Merit Review Criteria, Program Policy Factors and Selection Process
- 14) Key Points



Registration Requirements

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

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



FOA Overview

- This competitive Funding Opportunity Announcement (FOA) allows States (which includes the District of Columbia and five territories) to compete for funding designed to meet EERE's nationally focused initiatives for the fundamental and permanent transformation of clean energy markets across all sectors of the economy.
- Specifically, this FOA includes three Areas of Interest: State Energy Planning, Innovative Opportunities for Energy Efficiency and Renewable Energy Practices, and Technical Assistance to Advance SEP Formula Grant Clean Energy Activities.



Anticipated Schedule:

FOA Issue Date:	January 19, 2016
FOA Informational Webinar:	January 26, 2016 2pm-3:30pm ET January 27, 2016 4pm-5:30pm ET
FOA Grant Application Workshop:	February 4, 2016 3:30pm-5:00pm ET
Submission Deadline for Full Applications:	March 31, 2016 5:00pm ET
Expected Date for EERE Selection Notifications:	July 29, 2016
Expected Timeframe for Award Negotiations:	August 1, 2016 - October 31, 2016



Changes from last year

- The FOA has been reduced by 41 pages (including appendices)
- Technical Merit Criteria for Areas of Interest 1 and 2 have been reorganized and consolidated
- Transformative categories were eliminated and replaced by 5 topics of emphasis in Area of Interest 2
- A new area of interest was added – (Area of Interest 3)
- The number of allowable applications a state can submit has changed.
- Multistate applications are encouraged under Area of Interest 1 and Area of Interest 2. Multistate applications will not be accepted under Area of Interest 3.



Expected Post-Award Deliverables

- Area of Interest 1: Roadmaps

Applicants awarded under Area of Interest 1 will be required to develop and submit a 'Roadmap' as a key post-award deliverable. Guidance on Roadmap development is in Appendix B of the FOA.

- Area of Interest 2: Implementation Models

Applicants awarded under Area of Interest 2 will be required to create an Implementation Model. DOE guidance on Implementation Model Development is located in Appendix C of the FOA.

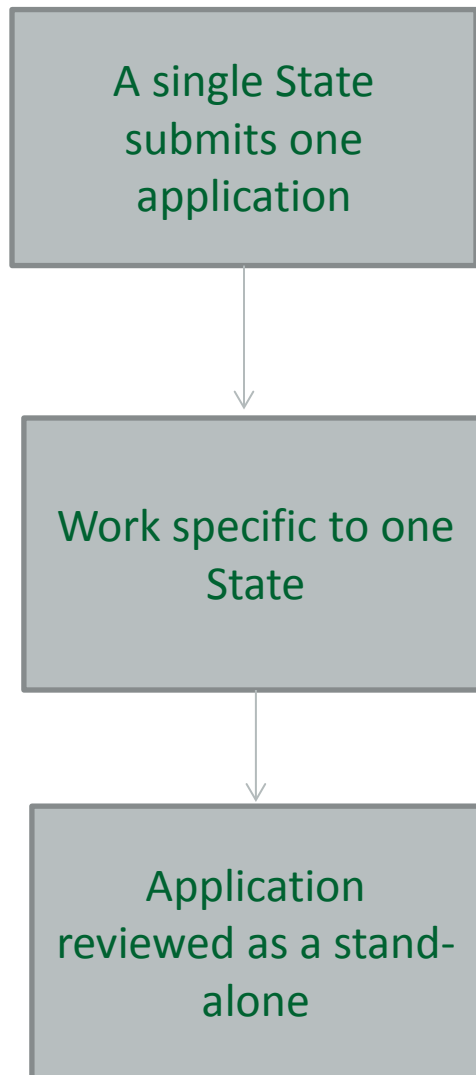
- Area of Interest 3: Executive Summary

Applicants under Area of Interest 3 will be required to develop an Executive Summary detailing how the technical assistance provided either 1) increased the impact of existing SEP formula work or 2) contributed to the creation of an additional SEP formula activity. DOE guidance on Executive Summary Development is located in Appendix D of the FOA.



Means of Submission

State specific (as a prime recipient)

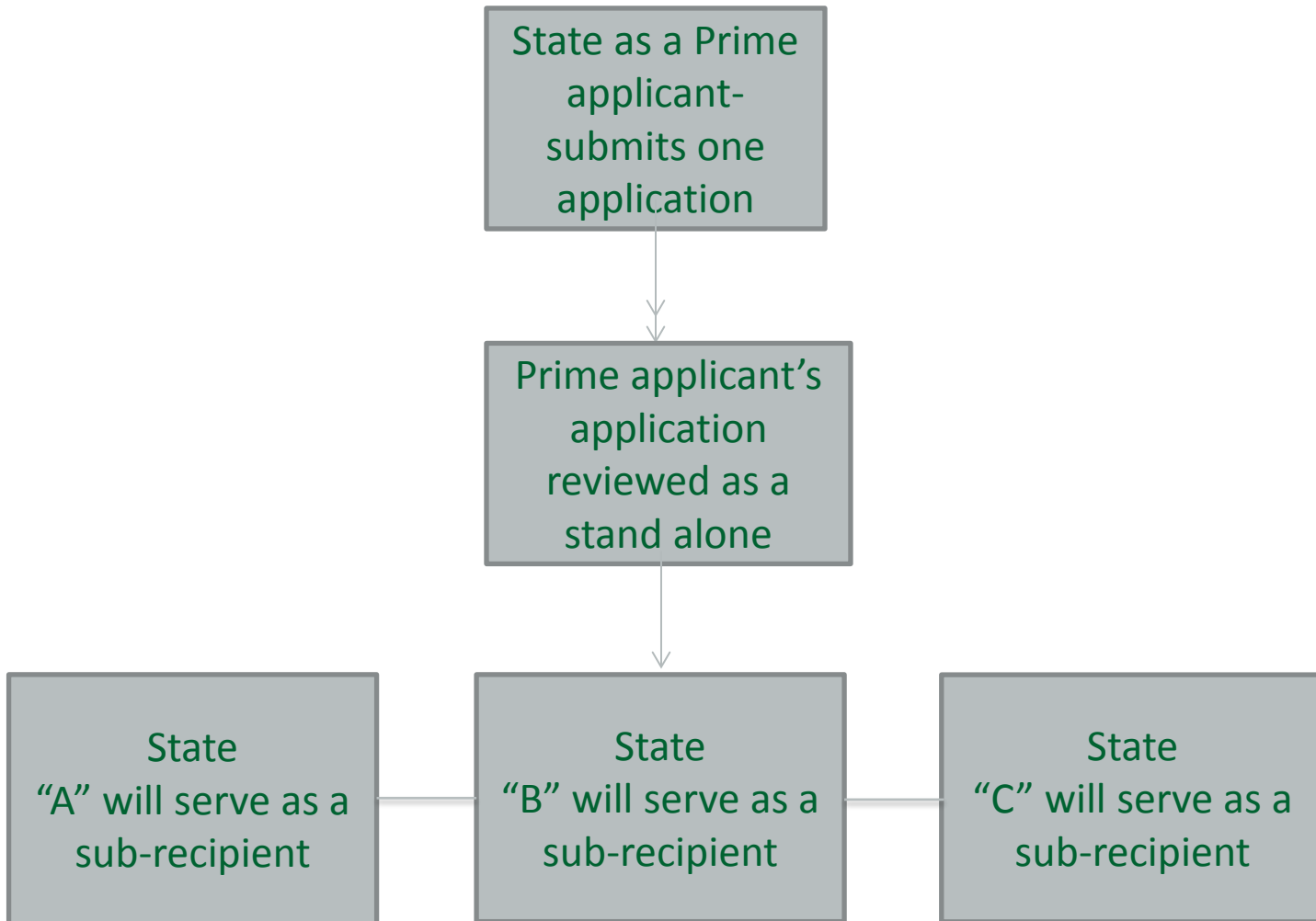


- The Users' Guide for Applying to the Department of Energy EERE Funding Opportunity Announcements can be found at:
<https://eere-Exchange.energy.gov/Manuals.aspx>



Means of Submission

Multi-State Prime (multiple state partners with one Prime)





Area of Interest 1 – State Energy Planning

Number of Projects	Up to 5
Potential Award Funding	Up to \$2,500,000
Awards Range	Approximately \$200,000 to \$300,000 for single State applications; approximately \$500,000 for applications that include up to three additional States as Key Partners; approximately \$800,000 for applications that include four or more additional States as Key Partners.
Award Duration	Up to 24 months

Under this Area of Interest, DOE hopes to bolster State energy planning by funding efforts to facilitate stakeholder and interagency discussions concerning (1) the future direction of the energy sector and (2) how energy efficiency and renewable energy fit into a vision for the future.

Area of Interest 2 – Innovative Opportunities for Energy Efficiency and Renewable Energy Practices

Number of Projects	Up to 12
Potential Award Funding	Up to \$2,500,000
Awards Range	Approximately \$200,000 to \$300,000 for single State applications; approximately \$500,000 for applications that include up to three additional States as Key Partners; approximately \$800,000 for applications that include four or more additional States as Key Partners.
Award duration	Up to 36 months

Under this Area of Interest, DOE will offer funding to States for the development of new, or the expansion of existing, programs or policies that advance energy efficiency and renewable energy adoption within a portfolio of **five Topics of Emphasis**:

1. Working with Utilities to Advance State Energy Reduction and/or Renewable Energy Generation Goals
2. Enabling Financing Mechanisms for Public or Private Sector Clean Energy Investment
3. Deploying Energy Performance Benchmarking and Disclosure
4. Standardizing Evaluation, Measurement & Verification (EM&V) Processes
5. Partnering with Local Governments

Topic of Emphasis 1: Working with Utilities to Advance State Energy Reduction and/or Renewable Energy Generation Goals

Under this topic area, applicants may submit proposals identifying strategies to meet or advance State energy reduction and/or renewable energy generation goals by partnering with utilities. More specifically, applicants may propose to:

- Address requirements for utilities to achieve energy savings and/or meet renewable energy goals by way of adopting or expanding an energy efficiency resource standard (EERS), adopting or expanding a renewable portfolio standard (RPS), and/or incorporating savings and generation targets into an integrated resource plan (IRP);
- Work to enhance the incorporation of distributed resources into the electrical system by standardizing interconnection rules across your State's utilities' for distributed resources regardless of fuel;
- Work to design and adopt a suite of new ratepayer funded energy efficiency programs;
- Work to expand existing ratepayer funded energy efficiency programs to market sectors or fuel types not currently covered;
- Work to adopt demand response mechanisms such as time of use pricing; and/or,
- Address cost effectiveness testing to ensure the long-term resource value of energy efficiency is appropriately reflected in policy decisions.

Topic of Emphasis 2: Enabling Financing Mechanisms for Public or Private Sector Clean Energy Investment

Under this topic area, applicants may submit proposals identifying strategies to develop or expand an energy specific financial policy or initiative to incent public or private clean energy investment. More specifically, applicants may propose to:

- Design and develop templates for the creation of financing programs; including energy savings performance contracts (ESPC), a revolving loan fund, a loan loss reserve fund, qualified energy conservation bonds (QECBs) or other bonds that can be allocated to retrofit investments, lease purchase agreements, and/or an established green bank or infrastructure;
- Develop and implement financing policies to incent private sector clean energy investments by enacting legislation in support of commercial property assessed clean energy (PACE) and/or a clean energy loan fund; and/or,
- Develop policies and programs that support self-sustaining ESPC programs, including developing legislation that authorizes the use of a centralized State ESPC program for public buildings, developing a fee-based ESPC program, or developing a centralized ESPC program that provides guidance or standardized contracts and procedures.

***Please note** that award funds cannot be used to directly capitalize financing programs. However, award funds can be used to develop the framework for financing programs.



Topic of Emphasis 3: Deploying Energy Performance Benchmarking and Disclosure

Under this topic area, applicants may submit proposals identifying strategies to develop or expand laws or regulations, executive orders, utility data collection processes or energy use data exchange mechanisms related to benchmarking and disclosure of energy use in public or private buildings. More specifically, applicants may propose to:

- Develop and implement a State law or regulation that requires all commercial buildings of a certain size to be benchmarked and the data made publicly available or work with local governments in your State to enact such local ordinances;
- Develop and implement a State law or regulation that requires homeowners to disclose energy performance data on their homes at key transaction points (e.g., time of sale);
- Work with utility regulators to define what constitutes sufficiently aggregated customer energy usage data that can be given to building owners while addressing privacy concerns;
- Develop and implement a requirement for investor-owned utilities to provide aggregated whole-building energy usage data to building owners for purposes of benchmarking and energy management in cases where individual tenants in a building have separate utility meters and accounts;
- Develop and implement energy use data exchange mechanisms by utilizing standardized benchmarking platforms (for example, Energy Star Portfolio Manager); and/or,
- Work with investor-owned utilities (IOUs) to develop and implement a platform where customers and/or third party service providers can access energy usage data in a standardized format (for example, Green Button).

Processes

Under this topic area, applicants may submit proposals identifying strategies to develop or expand processes related to standardized evaluation, measurement and verification (EM&V) practices to determine energy and emissions reductions from ratepayer and/or non-ratepayer funded efficiency programs. More specifically, applicants may propose to:

- Implement an EM&V process for ratepayer-funded programs and/or non-ratepayer-funded programs that is:
 - Transparent and is driven by an independent, third-party evaluator;
 - Transparent and is driven by commonly accepted protocols or methodologies (for example, the Uniform Methods Project); and/or,
 - Transparent, collaborative, and driven by a regional group that works together to determine savings.



Topic of Emphasis 5: Partnering with Local Governments

Under this topic area, applicants may submit proposals identifying strategies to develop or expand policies and programs to assist local governments to design and implement internal and/or public facing clean energy programs. More specifically, applicants may propose strategies that lead to the development of services that:

- a) Provide local governments with financial support to implement internal and/or publically facing energy efficiency and/or renewable energy programs;
- b) Provide local governments with a defined suite of comprehensive technical assistance resources; and/or,
- c) Support local governments in targeting underserved sectors (multifamily, small business, community centers, hospitals, schools, etc.) for energy efficiency improvements through the mechanisms described in a) and b).

***Please note** that project funds cannot be used to pay for retrofits.



Topics of Emphasis and the State Energy Assessment

The five Topics of Emphasis are related to specific questions from the **‘2016 State Energy Assessment’ (See Appendix F)**. Applicants to Area of Interest 2 should familiarize themselves with these specific policy questions identified in Appendix F prior to crafting proposals and consider how the proposal could change an answer from a ‘no’ to a ‘yes’ or to expand the applicability, or enhance the effectiveness, of a program or policy identified in a question. For example:

TOPIC 1: Working with Utilities to Advance State Energy Reduction and/or Renewable Energy Generation Goals

Are energy customers in your State across ALL customer classes including residential, commercial and industrial offered electricity ratepayer-funded energy efficiency programs?

- Yes, by investor-owned utilities
- Yes, by municipally-owned utilities
- Yes, by cooperatively-owned utilities
- Yes, by other energy efficiency program administrator
- No, utilities do not offer electricity ratepayer-funded programs across all customer classes, but do offer programs at least in one customer class
- No, utilities do not offer electricity ratepayer-funded energy efficiency programs in my State

A proposal that responds to this question and topic of emphasis 1 could be a project that expands customer classes offered efficiency programs, expands the utility types that offer efficiency programs, and/or implementing utility-sponsored efficiency programs for the first time.

Please note: All applicants are required to complete and submit the full State Energy Assessment template downloadable from Exchange.

Area of Interest 3 – Technical Assistance to Advance SEP Formula Grant Clean Energy Activities

Number of Projects	Up to 10
Potential Award Funding	Up to \$750,000
Awards Range	Approximately \$50,000 to \$75,000
Award duration	Up to 24 months

Under this Area of Interest, DOE will offer funding to States for technical assistance activities that maximize the impact of State Energy Program (SEP) formula grant work related to energy efficiency and/or renewable energy adoption.

In order to better serve all States, Area of Interest 3 is open to only those States that have not been selected to receive a competitive award in the last four years (FY12-FY15).

Activities

- Recipient cost match will not be required for Area of Interest 3.
- States may identify technical assistance needs related to increasing the impact or expanding the scope of an existing energy efficiency or renewable energy area of formula work **OR** may identify technical assistance needs to explore new energy efficiency or renewable energy areas for possible inclusion in future annual formula award applications.
- If tied to an existing area of formula work, States must show how the technical assistance will lead to greater impact of the project as conceived while providing assurance that current work will be able to continue as planned and is not dependent on receiving the technical assistance.
- The State's preferred technical assistance providers must be identified in the application, and could include universities, consultants, or DOE-funded national labs such as NREL, LBNL, or ORNL.



Who's Eligible to Apply?

- State entities are eligible to apply for funding as a Prime Recipient or participate as a Subrecipient under Area of Interest 1 and 2. In accordance with 2 CFR part 910.126(b) and Energy Policy and Conservation Act, section 365(f) codified at 42 USC 6325(f) and Energy Independence and Security Act of 2007, section 531.
- This FOA has **restricted eligibility requirements for Area of Interest 3**: Eligibility for award under Area of Interest 3 is restricted to States and U.S. Territories that have not been selected to receive a SEP Competitive award in the past four years (FY12-FY15).
- 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 SEO must contact that SEO.



Full Application Eligibility Requirements

- Applications must be submitted in EERE Exchange no later than 5 p.m. ET on 3/31/2016
- Full Applications are eligible for review if:
 - The Applicant is an eligible entity - Section III.A of FOA;
 - The Cost Match requirement is satisfied - Section III.B of FOA;
 - The Full Application is compliant - Section III.C of FOA;
 - The proposed project is responsive to the FOA - Section III.D of FOA; and,
 - The Full Application meets any other eligibility requirements listed in Section III of the FOA.



Limitation on Number of Full Applications

Applicants may submit no more than one application to this FOA in Areas of Interest 1 and 2.

- States that have not been selected to receive an award in the past four years (FY12-FY15) may submit up to two applications as a Prime Recipient – one under Area of Interest 3 **and** one under Area of Interest 1 **or** Area of Interest 2.
- States that do not apply under Area of Interest 3 (due to eligibility restrictions or otherwise) may submit one application as a Prime Recipient – one under Area of Interest 1 **or** one under Area of Interest 2.
- Multistate applications where other States are listed as Key Partners or subrecipients are encouraged under Area of Interest 1 and Area of Interest 2. Multistate applications will not be accepted under Area of Interest 3.



Non-Responsive Applications

- Applications that fall outside the technical parameters specified in Section I.B of the FOA, including but not limited to:
 - Construction, such as construction of mass transit systems and exclusive bus lanes, or for construction or repair of buildings or structures;
 - Purchase of land, a building, or a structure or any interest therein;
 - Subsidizing fares for public transportation;
 - Subsidizing utility rate demonstrations or State tax credits for energy conservation or renewable energy measures;
 - The purchase of equipment to conduct, research, development or demonstration of energy efficiency or renewable energy technologies not commercially available;



Non-Responsive Applications

(Continued)

- Loan guarantees or loan forgiveness (10 CFR section 420.18);
- Programs that include government assets other than buildings and facilities, such as fleets; (does not apply to Area of Interest 3)
- Programs targeted to making new construction energy-efficient; (does not apply to Area of Interest 3)
- Programs that use award funds to implement specific project-level energy efficiency retrofits and upgrades;
- Programs that use project funds to capitalize financing programs;
- Proposals that establish new energy efficiency registries unless partnered with a State to develop a registry already underway; and,
- Proposals that establish new voluntary national energy efficiency (EE) registries to increase transparency and standardize the methodology to track and report projected and realized energy savings.



Award Information

Total Amount to be Awarded	EERE expects to make approximately \$5,000,000 of Federal funding available for new awards under this FOA, subject to the availability of appropriated funds. EERE anticipates making up to 25 awards under this FOA.
Award Range	Between \$200,000-800,000 under Area of Interest 1 and Area of Interest 2; \$50,000-\$75,000 under Area of Interest 3.
Type of Funding Agreement	Cooperative Agreements
Period of Performance	EERE anticipates making awards that will run up to 24 months in length for Area of Interest 1, 24 to 36 months for Area of Interest 2, and 24 months for Area of Interest 3.
Cost Match Requirement	20% of Federal funds awarded for Area of Interest 1 and Area of Interest 2. No cost match is required for Area of Interest 3.



Statement of Substantial Involvement

EERE has substantial involvement in work performed under Awards made following this FOA. EERE does not limit its involvement to the administrative requirements of the Award. Instead, EERE has substantial involvement in the direction and redirection of the technical aspects of the project as a whole. Substantial involvement includes, but is not limited to, the following:

- EERE shares responsibility with the Recipient for the management, control, direction, and performance of the Project.
- EERE may intervene in the conduct or performance of work under this Award for programmatic reasons. Intervention includes the interruption or modification of the conduct or performance of project activities.
- EERE may provide technical assistance to help States and their partners achieve the goals of their project.
- EERE participates in major project decision-making processes.



Cost Match Requirements

- For Areas of Interest 1 and 2, the recipient cost match must be at least 20% of the total Federal Funds allocated. **Recipient cost match will not be required for Area 3.**
- Total Estimated Project Cost is the sum of the Federal government share and recipient match (if applicable). The Recipient's cost match must come from non-Federal sources unless otherwise allowed by law. By accepting Federal funds under this award, the Recipient agrees to be liable for its percentage match of Federal government share, on a budget-period basis, even if the project is terminated early or is not funded to its completion. See 10 CFR Part 420.
- To assist applicants in calculating proper cost match amounts, EERE has included a cost match information sheet as Appendix A to this FOA.

See Appendix A



Allowable Cost Match

Every cost match contribution must be allowable under the applicable Federal cost principles, as described in Section IV.H.1 of the FOA. In addition, cost match must be verifiable upon submission of the Full Application.

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



Unallowable Cost Match

- The Prime Recipient may not use the following sources to meet its cost match obligations including, but not limited to:
 - Revenues or royalties from the prospective operation of an activity beyond the project period;
 - Proceeds from the prospective sale of an asset of an activity;
 - Federal funding or property (e.g., Federal grants, equipment owned by the Federal Government);
 - Expenditures that were reimbursed under a separate Federal Program; or
 - Independent research and development (IR&D) funds
 - Project Teams may not use the same cash or in-kind contributions to meet cost match requirements for more than one project or program.



Content and Form of Full Applications

- A Control Number will be issued when an Applicant begins the Exchange application process. This Control Number must be included with all Application documents. Exchange requires double brackets to contain {{ControlNumber}} and {{LeadOrganization}} terms.
- Must be submitted in Adobe PDF format unless otherwise stated.
- Must be written in English
- All pages must be formatted to fit on 8.5 x 11 inch paper with margins not less than one inch on every side. Use Times New Roman typeface, a black font color, and a font size of 12 point or larger (except in figures or tables, which may be 10 point font). A symbol font may be used to insert Greek letters or special characters, but the font size requirement still applies. References must be included as footnotes or endnotes in a font size of 10 or larger. **Footnotes and endnotes are counted toward the maximum page requirement.**
- Each must not exceed the specified maximum page limit, including cover page, charts, graphs, maps, and photographs when printed using the formatting requirements set forth above and single spaced. If Applicants exceed the maximum page lengths indicated below, EERE will review only the authorized number of pages and disregard any additional pages.



Components of Full Applications

- SF-424 Application for Federal Assistance
- Technical Volume-may not be more than 30 pages, including the cover page, table of contents, and all citations, charts, graphs, maps, photos, or other graphics, and must include all of the information in the table on page 17 of the FOA (including Summary Tables). Consider the weighting of the evaluation criteria when preparing the technical volume.
- Other Required Attachments:
 - State Energy Assessment
 - Letters of Commitment
 - Budget Justification – (EERE 335) (no page limit, Microsoft Excel format)
 - Summary for Public Release – (1 page limit) not required for AOI3
 - Summary Slide – (1 page limit, Microsoft PowerPoint format) not required for AOI3
 - Resume File
 - Subaward Budget Justification if applicable (EERE 335) (no page limit, Microsoft Excel format)
 - SF-LLL Disclosure of Lobbying Activities – only required if the state conducts lobbying
 - Statements of Support from Key Partners – (not required for AOI3)



Merit Review and Selection Process (Full Applications)

- The Merit Review process consists of multiple phases including an initial eligibility review and a thorough technical review;
- Rigorous technical reviews are conducted by reviewers that are experts in the subject matter of the FOA; and
- Ultimately, the Selection Official considers the recommendations of the reviewers, along with other considerations such as program policy factors, to make the selection decisions.



Technical Merit Review Criteria

Area of Interest 1 – State Energy Planning

Criterion 1: Program Strategy and Plan

Weight: 30%

- Degree to which current energy efficiency and renewable energy market conditions in the State or region are described;
- Degree to which the task descriptions and implementation strategies are clear, detailed, timely, and reasonable, resulting in a high likelihood that the proposal will succeed in meeting the project goals;
- Discussion and demonstrated understanding of the key barriers to achieving economic, environmental or resiliency goals involved in the proposed work and the quality of the proposal's mitigation strategies;
- Degree to which the strategy proposed identifies key stakeholders in the marketplace;
- Degree to which the strategy proposed describes how new or existing partnerships with key stakeholders (ex. local governments, utilities, state regulatory agencies, third party administrators, etc.) will be successfully created or expanded;
- Discussion of the extent to which key stakeholders identified will be engaged in the overall effort;



Technical Merit Review Criteria

(Continued)

- Degree to which the strategy proposed represents a coordinated vision for energy planning that can help meet State policy goals, including environmental policy goals, reliability and resiliency, and economic development goals;
- Degree to which the proposed approach contains clear goals, metrics, tasks and methods, deliverables, schedule, and budget;
- Degree to which the approach describes previous State or regional efforts as related to the project proposed and how the proposal intends to build off of those efforts including incorporating lessons learned;
- Degree to which the plan includes a description of any modeling or analyses to develop the state's energy or other goals or of plans for such assessments during the state's planning process, and
- Degree to which the state's plan integrates with previous or existing related planning efforts such as utility, environmental, and energy assurance planning processes.



Technical Merit Review Criteria

Area of Interest 1 – State Energy Planning

Criterion 2: Potential Impact

Weight: 20%

- Degree to which the proposal improves State or regional reliability and resiliency;
- Degree to which the proposal demonstrates how the plan or program will promote economic development;
- Degree to which the proposal demonstrates that success in initiating or expanding efforts in the selected policy/programs will move the State or region towards leadership in reducing energy consumption and/or increasing renewable energy deployment;
- Degree to which proposal supports existing or enhanced environmental policy goals;
- Degree to which the proposal incorporates and describes mechanisms for accurately and rigorously measuring, tracking, and reporting energy savings and greenhouse gas (GHG) reductions;



Technical Merit Review Criteria

(Continued)

- Degree to which the applicant demonstrates that the proposed approach will lead to continuing dialogue among public and private stakeholders during and after the grant period; and
- Extent to which the proposal will be made sustainable and replicable by standardization and information sharing.



Technical Merit Review Criteria

Area of Interest 1 – State Energy Planning

Criterion 3: Clean Energy Impact

Weight: 20%

- Inclusion of estimated energy reductions and estimated GHG reductions and estimated cost savings;
- Inclusion of renewable generation capacity and deployment estimates as applicable; and,
- Sufficiency of technical detail in the application to assess whether impact claims (energy cost savings, energy and GHG reductions, renewable generation as applicable, etc.) are valid and attainable.



Technical Merit Review Criteria

Area of Interest 1 – State Energy Planning

Criterion 4: Capabilities and Partnership Structure

Weight: 30%

- Appropriateness of the credentials, capabilities, time commitment and experience of the project team, key personnel and partners;
- Degree to which the roles, responsibilities, and level of effort of each of the project team members has been identified, and to which the described management approach allows for successful management and implementation of the proposed project;
- The capability of the Principal Investigator(s) and the proposed team to address all aspects of the proposed work with a high probability of success;
- The time commitment of the Principal Investigator and other individuals on the team;
- The degree to which the proposed team (including a multi-State or regional partner team) demonstrates the ability to facilitate development and deployment of the proposed policy or program; and
- The level of participation by project participants as evidenced by Letter(s) of Commitment and Statement(s) of Support.



Technical Merit Review Criteria

Area of Interest 2 – Innovative Opportunities for Energy Efficiency and Renewable Energy Practices

Criterion 1: Program Strategy and Plan

Weight: 30%

- Degree to which current energy efficiency and renewable energy market conditions in the State or region are described;
- Sufficiency of technical detail in the application to assess whether the proposed strategies are shown to be innovative based on a discussion of prior work;
- Extent to which the application demonstrates how the proposed strategy will advance the State or region in the topic area/s identified (FOA section IV.C.2);
- If the proposal addresses more than one topic area (FOA section IV.C.2), the level of clarity to which the application describes how all areas will be integrated into a single strategy;
- Discussion and demonstrated understanding of the key market barriers as related to the work proposed;



Technical Merit Review Criteria

(Continued)

- Extent to which the proposal demonstrates the likelihood that the strategies proposed will work to overcome key barriers identified and will lead to the successful implementation of the project as conceived;
- Degree to which the strategy proposed identifies key stakeholders in the marketplace (ex. local governments, state regulatory agencies, utilities, third party administrators, etc.) and describes how new or existing partnerships with these stakeholders will be successfully created or expanded; and,
- Degree to which the task descriptions are clear, detailed, timely, and reasonable, resulting in a high likelihood that the project will succeed in meeting proposed goals.



Technical Merit Review Criteria

Area of Interest 2 – Innovative Opportunities for Energy Efficiency and Renewable Energy Practices

Criterion 2: Potential Impact

Weight: 20%

- The level of clarity in the description of the creation of the baseline, metrics, and milestones from which impact will be measured;
- Extent to which the project proposed will be made sustainable and replicable by standardization and information sharing;
- Degree to which the proposal demonstrates that the project fills a current market need and/or gap and will be adopted by the target markets and/or consumer sectors identified;
- Degree to which the applicant demonstrates that the proposed approach will lead to continuing dialogue among State Energy Offices and other key stakeholders; and,
- Degree to which the proposal demonstrates that success in initiating or expanding efforts in the selected policy/programs will move the State or region towards leadership in reducing energy consumption or increasing renewable energy deployment.



Technical Merit Review Criteria

Area of Interest 2 – Innovative Opportunities for Energy Efficiency and Renewable Energy Practices

Criterion 3: Clean Energy Impact

Weight: 20%

- Inclusion of estimated energy reductions and estimated GHG reductions and estimated cost savings;
- Inclusion of renewable generation capacity and deployment estimates as applicable;
- Sufficiency of technical detail in the application to assess whether impact claims (energy cost savings, energy and/or GHG reductions, renewable generation as applicable, market size, etc.) are valid and attainable; and,
- Degree to which the proposal incorporates and describes mechanisms for accurately and rigorously measuring, tracking, and reporting energy savings and/or GHG reductions.



Technical Merit Review Criteria

Area of Interest 2 – - Innovative Opportunities for Energy Efficiency and Renewable Energy Practices

Criterion 4: Teams and Resources

Weight: 30%

- Appropriateness of the credentials, capabilities, time commitment and experience of the project team, key personnel and partners;
- Degree to which the roles, responsibilities, and level of effort of each of the project team members has been identified, and to which the described management approach allows for successful management and implementation of the proposed project;
- The capability of the Principal Investigator(s) and the team to address all aspects of the proposed work with a high probability of success;
- The degree to which the proposed team (including a multi-State or regional partner team) demonstrates the ability to facilitate development and deployment of the proposed policy or program; and
- The level of participation by project participants as evidenced by Letter(s) of Commitment and Statement(s) of Support.



Technical Merit Review Criteria

Area of Interest 3 – Technical Assistance to Advance SEP Formula Grant Clean Energy Activities

Criterion 1: Program Strategy and Plan

Weight: 40%

- Degree to the which the proposal clearly describes the past, present and future plans related to an existing area in the State’s formula work for which technical assistance is being requested **OR** degree to the which the proposal clearly describes future plans related to a new area of formula work that is described in the proposal (hereinafter referred to as “new formula work”);
- Degree to which the proposal clearly ties the technical assistance requested to an existing area in the State’s formula work **OR** how the technical assistance requested will enable the State to implement the new formula work;
- If the technical assistance requested is tied to an existing area in the State’s formula work – the degree to which the proposal clearly and convincingly demonstrates that current work will not be hindered and planned milestones can be achieved independent of the technical assistance requested;



Technical Merit Review Criteria

(Continued)

- Discussion and demonstrated understanding of the key barriers involved that has hindered successful execution of current formula work **OR** prevented the inclusion of the new formula work. The discussion should go beyond internal resource constraints to include market barriers that the technical assistance requested will help to overcome;
- The quality of the proposal's strategies to overcome barriers identified;
- Degree to which the proposed approach contains clear goals, metrics, tasks and methods, deliverables, and schedule;
- Degree to which the approach describes previous State efforts and how the approach intends to build off of those efforts including incorporating lessons learned; and,
- Degree to which the task descriptions are clear, detailed, timely, and reasonable, resulting in a high likelihood that the proposal will succeed in meeting the project goals.



Technical Merit Review Criteria

Area of Interest 3 – Technical Assistance to Advance SEP Formula Grant Clean Energy Activities

Criterion 2: Potential Impact

Weight: 30%

- Degree to which the proposal demonstrates that technical assistance requested will move the State towards leadership in reducing energy consumption or increasing renewable energy deployment;
- Extent to which the proposal will be made sustainable and replicable by standardization and information sharing; and
- Degree to which the proposal focuses on creating mechanisms for accurately evaluating and measuring program impact.



Technical Merit Review Criteria

Area of Interest 3 – Technical Assistance to Advance SEP Formula Grant Clean Energy Activities

Criterion 3: Capabilities and Partnership Structure

Weight: 30%

- Appropriateness of the credentials, capabilities, and experience of the project team, with a focus on the proposed entity providing technical assistance to the State;
- Degree to which the roles, responsibilities, and level of effort of each of the project team members (including State team members) have been identified; and
- Degree to which the proposal shows a coordinated effort and shared duties between State participants and the technical assistance provider.



Program Policy Factors

- The Selection Official may consider the following program policy factors in making his/her selection decisions:
 - The desire to select a mix of projects that achieves the strategic goals of EERE.
 - The desire to select projects that represent a diverse portfolio of policies and strategies, including projects that address underserved sectors or address policies or issues that have not been addressed by previous awards.
 - The desire to select programs that maximize the geographic diversity (considering past awards and current applications).
 - The desire to select for award a group of programs with a broad or specific geographic distribution because of the nature of the energy source, the type of programs envisioned, or limitations of past efforts.
 - The extent that the prime applicant represents an eligible applicant that has not received DOE competitive funding in the previous four years (2012, 2013 and 2014, 2015) for projects identical or similar in nature to the project it proposed under this FOA.



Key Submission Points

- Check entries in EERE Exchange
 - Submissions could be deemed ineligible due to an incorrect entry
- EERE strongly encourages Applicants to submit 1-2 days prior to the deadline to allow for full upload of application documents and to avoid any potential technical glitches with EERE Exchange
- Make sure you hit the submit button
 - Any changes made after you hit submit will un-submit your application and you will need to hit the submit button again
- For your records, print out the EERE Exchange Confirmation page at each step, which contains the application's Control Number



Applicant Points-of-Contact

- Applicants must designate primary and backup points-of-contact in EERE Exchange with whom EERE will communicate to conduct award negotiations
- It is imperative that the Applicant/Selectee be responsive during award negotiations and meet negotiation deadlines
 - Failure to do so may result in cancellation of further award negotiations and rescission of the Selection



Questions

- Questions about this FOA?

Email: SEPFY16FOA1415@ee.doe.gov

- All Q&As related to this FOA will be posted on EERE Exchange
 - You must select this specific FOA Number in order to view the Q&As
 - EERE will attempt to respond to a question within 3 business days, unless a similar Q&A has already been posted on the website
- Problems logging into EERE Exchange or uploading and submitting application documents with EERE Exchange?
Email EERE- ExchangeSupport@hq.doe.gov.
 - Include FOA name and number in subject line
- All questions asked during this presentation will be posted on EERE Exchange