

STATE OF COLORADO

GOVERNOR'S ENERGY OFFICE

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Bill Ritter, Jr.
Governor

Tom Plant
Director

Dear Applicants,

It is important to read this Request for Applications (RFA) application completely prior to responding. All previous grant winners have been awarded due to their understanding of the requirements articulated within this RFA.

Thank you for your interest in the Governor's Energy Office RFA. Governor Ritter salutes the many companies and organizations that are engaged in advancing the New Energy Economy and establishing Colorado as a national leader in innovation and implementation of energy efficiency and renewable energy.

We understand that you spend many days putting together a grant request; however failure to follow guidelines will lead to disqualification. We must maintain a level playing field and these requirements are essential to ensure a fair process for all. So please pay attention to the grant guidelines.

We acknowledge that you fully expect your project to win the competitive process for an ARRA grant. We expect you wouldn't bother to submit an application otherwise. If previous grant cycles are any indication, we will receive far more applications than we can fund. Effectively conveying the reasons you believe your project is superior will require effort. It should be understood that this process is very competitive and only well thought out applications that meet the guidelines contained in each RFA should be submitted. The Above Building Code (ABC) grant opportunity has up to \$137,000 for project funding.

This RFA has the following mandatory requirements:

- All RFA submissions must be received at grants@state.co.us by 5:00pm on September 15, 2010. The GEO is not responsible for technical or submission issues at the time of submission. If the GEO inbox has a timestamp of 5:01pm or after the submission is automatically disqualified from review. All Attachments are required using GEO provided templates unless otherwise stated.
- A detailed budget must outline the grant funding request within this application.
- You must provide projected timeline/milestones for the project that begins with the listed start date.
- ARRA funding requires that all sub-contracted work be bid competitively. You must provide justification of a competitive process if this step has been completed before the grant submission deadline.

Upon a grant award the GEO has the right to request any additional information or documentation for contracting purposes. Any entity that does not provide such information or documentation within 30 days of grant award will automatically be disqualified from grant funding.

Once again, thank you for your participation in the New Energy Economy and your commitment to a sustainable future for Colorado.

Sincerely,

A handwritten signature in black ink, appearing to read "Tom Plant". The signature is fluid and cursive, with the first name "Tom" being more prominent than the last name "Plant".

Tom Plant
Director, Governor's Energy Office

American Recovery and Reinvestment Act

Above Building Code (ABC)

\$137,000

Funded by SEP-ARRA

GUIDELINES AND REQUEST FOR APPLICATIONS (RFA)

**Application must be submitted electronically and received by:
September 15, 2010 at 5:00 p.m. MST**



RECOVERY.gov

August 2010

THE GOVERNOR'S ENERGY OFFICE
1580 Logan Street, Suite 100
Denver, CO 80203

www.rechargecolorado.com

Governor's Energy Office energy efficiency and renewable energy updates

www.colorado.gov/recovery

Colorado's American Recovery & Reinvestment Act updates --all programs

www.recovery.gov

White House recovery website

**Governor's Energy Office
American Recovery and Reinvestment Act
Above Building Code (ABC)
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Attachments:

Attachment B-Business Certification-Required (PDF format provided by the GEO is required with the application submission). This Attachment can be submitted in a Word document.

Appendices:

Appendix #1- State of Colorado Supplemental Provisions for Contracts and Grants using Funds Provided under the American Recovery and Reinvestment Act of 2009 (ARRA Funds)-Please Review

Appendix #2 – Solicitation Terms for ARRA Acquisitions

Appendix #3- State of Colorado Model Contract-Please Review

I. Grant Background Information

A. ARRA – Above Building Code (ABC)

The American Recovery and Reinvestment Act (ARRA) presents an extraordinary opportunity to strengthen Colorado's New Energy Economy and will create new green jobs across the state. With this opportunity also comes a need for additional oversight to ensure these funds are invested effectively, efficiently, wisely, and with an unprecedented level of transparency and accountability. The Governor's Energy Office (GEO) will work diligently to honor this responsibility to the taxpayers and the public. The GEO will use recovery dollars to eliminate barriers to energy efficiency and renewables for homeowners and businesses.

The purpose of this RFA is to solicit interest from local communities/governments, cities, counties, non-profits and/or utilities to implement a voluntary or mandatory, local ABC high performance program in which the energy efficiency requirements for new construction exceed the 2009 International Energy Conservation Code (IECC).

The GEO has up to **\$137,000** in funding available for these competitive grants and anticipates awarding 9-14 grants with amounts not to exceed \$15,000 This application attempts to gather all the necessary information required for project selection, including the applicants proposed program and the assurances it will create to ensure the funds are used appropriately for the program. If at any time the GEO determines that additional information is required, it has the ability to reissue, cancel, or modify this RFA without penalty.

This grant opportunity provides funding toward the administration, marketing and training costs associated with the implementation of the voluntary or mandatory, local ABC program which promotes a nationally recognized standard. The local ABC program will be aimed at homebuilders and increasing the number of energy-efficient new homes built to exceed the 2009 IECC within a geographic region. Applicants interested in increasing homebuilder participation in a nationally recognized standard like the ones listed below or other "near zero" efforts may apply for this funding. Funding may also be used to leverage existing efforts for new homes, including ENERGY STAR for New Homes. Information about some of these programs can be found using the links below.

- Leadership in Energy and Environmental Design (LEED) for Homes
<http://www.usgbc.org/DisplayPage.aspx?CMSPageID=147>

- International Code Council (ICC)-700, National Green Building Standard
<http://www.nahbgreen.org/Guidelines/ansistandard.aspx>
- ENERGY STAR for Homes
http://www.energystar.gov/index.cfm?c=new_homes.hm_index
- Builders Challenge
<http://www1.eere.energy.gov/buildings/challenge/about.html>

C. ARRA – Goals

The goals of the ARRA Act include the following:

1. To preserve and create jobs and promote economic recovery.
2. To assist those most impacted by the recession.
3. To provide investments needed to increase economic efficiency by spurring technological advances in science and health.
4. To invest in transportation, environmental protection, and other infrastructure that will provide long-term economic benefits.
5. To stabilize State and local government budgets, in order to minimize and avoid reductions in essential services and counterproductive state and local tax increases.

Organizations are to manage and expend ARRA funds so as to achieve these goals, including commencing expenditures and activities as quickly as possible, consistent with prudent management. Contract planning, evaluation, and award must align with these goals.

Colorado has been selected as one of sixteen core states which will be monitored and audited over the next three years to provide an analysis of the use of funds under the ARRA.

II. Administrative Information

A. ARRA Specific Requirements

NOTE: This note is provided to remind Applicants of existing federal guidance and is to assist when receiving and/or awarding contracts/subcontracts using funds made available under the American Recovery and Reinvestment Act of 2009, Pub L. 111-5 (ARRA or the Act). It is the responsibility of Awarded Applicants to ensure compliance with all ARRA regulations and requirements imposed by the acceptance of this grant. The **Appendix #1, State of Colorado Supplemental Provisions for Contracts and Grants using Funds Provided under the American Recovery and Reinvestment Act of 2009 (ARRA) Funds and Solicitation Terms for ARRA Acquisitions, Appendix #2**, provides contract requirements specifically for this grant. In addition to the ARRA requirements, DOE grant specific requirements may be incorporated into contract.

Awarded Applicants will be required to obtain a DUNS number (or updating the existing DUNS record), and register with the Central Contractor Registration (CCR).

Each Grantee awarded funds made available under the Recovery Act shall promptly refer to an appropriate inspector general any credible evidence that a principal, employee, agent, contractor, sub-grantee, subcontractor, or other person has submitted a false claim under the False Claims Act or has committed a criminal or civil violation of laws pertaining to fraud, conflict of interest, bribery, gratuity, or similar misconduct involving those funds.

B. Proprietary/Confidential Information

Any restrictions of the use of or inspection of material contained within the application shall be clearly stated in the application itself. Written requests by the Applicant for confidentiality shall be submitted to the GEO in advance of the application submission deadline. Please allocate sufficient time prior to the application submission deadline to allow for a response by the GEO. The Applicant must state specifically what elements of the application are to be considered confidential/proprietary and must state the statutory basis for the request under Public (open) Records Act. (Section 24-72-201 et. seq., C.R.S.).

Confidential/Proprietary information must be readily identified, marked and separated/packaged from the rest of the application. Co-mingling of confidential/proprietary and other information is not acceptable. Neither an application, in its entirety, nor application price information will be considered confidential and proprietary. Any information that will be included in any resulting contract cannot be considered confidential. The GEO will make a written determination as to the apparent validity of any written request for confidentiality. In the event the GEO does not concur with the Applicant's request for confidentiality, the written determination will be sent to the Applicant. Ref. Section 24-72-201 et. seq., C.R.S., as amended, Public (open) Records Act.

C. Organizational Conflict of Interest- Requirements of this Application and Subsequent Contract

Any business entity or person is prohibited from being awarded a contract if the business entity or person has an "Organizational Conflict of Interest" with regard to this solicitation and the resulting contract.

No person or business entity who was engaged by the State to prepare the original grant application or has access prior to the solicitation, to sensitive information related to this procurement process, including, but not limited to requirements, statements of work, or evaluation criteria, will be eligible to directly or indirectly submit or participate in the submission of an application for this grant solicitation. The State considers such engagement or access to be an Organizational Conflict of Interest, which would cause such business entity or person to have an unfair competitive advantage.

If the State determines that an Organizational Conflict of Interest exists, the State, at its discretion, may cancel the contract award. In the event the Awarded Applicant was aware of an Organizational Conflict of Interest prior to the award of the contract and did not disclose the conflict to the procuring agency, the State may terminate the contract for default. The provisions of this clause must be included in all subcontracts for work to be performed by subcontractors in connection with the performance of the contract, with the terms "contract," "contractor," and "contracting officer" modified appropriately to preserve the State's rights.

D. RFA Response Material Ownership

The State has the right to retain Applicants original applications and other RFA response materials for its files. As such, the State may retain or dispose of all copies as is lawfully deemed appropriate. Application

materials may be reviewed by any person after the "Notice of Intent to Make an Award" letter(s) has/have been issued, subject to the terms of Section 24-72-201 et seq., C.R.S., as amended, Public (open) Records. The State has the right to use any or all information/material presented in reply to the RFA, subject to limitations outlined in the clause, Proprietary/Confidential Information. Offeror expressly agrees that the State may use the materials for all lawful State purposes, including the right to reproduce copies of the material submitted for purposes of evaluation, and to make the information available to the public in accordance with the provisions of the Public (Open) Records Act.

E. Doing Business in Colorado

A Vendor wanting to do business in Colorado must register with the Colorado Secretary of State in accordance with Colorado Revised Statute (CRS) 7-90-801. This is the link for the Colorado Secretary of State's Web site: <http://www.sos.state.co.us>. (Recommend going to the "Business Center" section, then opening the "Business Home" page, under the "General Information" section review the FAQs.) A copy of the business entity's Articles of Incorporation and/or Bylaws may be requested by the State.

F. Binding Offer

An application submitted in response to this RFA shall constitute a binding offer. Acknowledgment of this condition shall be indicated by the signature on the Business Certification Document (**Attachment B-GEO provided document**) of the Applicant or an officer of the Applicant legally authorized to execute contractual obligations. By submitting an application the Applicant affirms its acceptance of the terms and requirements of this RFA, including its attachments and appendices, without exception, deletion, or qualification - and without making its offer contingent. The Applicant further agrees to cooperate with GEO and expedite the contracting process upon notice of award.

G. Model Contract with Solicitation Terms for ARRA Acquisitions and ARRA Supplemental Provisions

Except as modified, the Model Contract (**Appendix #3**), **State of Colorado Supplemental Provisions for Contracts and Grants Using Funds Provided under the American Recovery and Reinvestment Act of 2009 (Appendix #1)**, and the **Solicitation Terms for ARRA Acquisitions (Appendix #2)** included in this RFA shall govern this procurement and are hereby incorporated by reference. Please note this Model Contract lists the State's required legal provisions but does not include the specific scope of work and requirements for this RFA.

The Applicant is expected to review the attached Model Contract, all terms and conditions as well as all supplemental provisions and note exceptions. Applicants agreeing to abide by the requirements of the RFA are also agreeing to abide by the terms of the Model Contract. Unless the Applicant notes exceptions in its application, the conditions of the Model Contract will govern.

While it may be possible to negotiate some of the wording in the final contract, there are many provisions, such as those contained in the State Special Provisions, which cannot be changed. Applicants are cautioned that the State believes modifications to the standard provisions, terms and conditions, and the State Special Provisions constitute increased risk to the State and increased costs. Therefore, the scope of requested exceptions is considered in the evaluation of applications. The State's

This guidance is provided to remind Applicants of existing federal guidance and is to assist when receiving and/or awarding contracts/subcontracts using funds made available under the American Recovery and Reinvestment Act of 2009, Pub.L.111-5 (ARRA or the Act). It is the responsibility of the Awarded Applicant to ensure compliance with all ARRA regulations and requirements imposed by the acceptance of this project. The **Appendix #2, State of Colorado Supplemental Provisions for Contracts**

and Grants Using Funds Provided under the American Recovery and Reinvestment Act of 2009 (ARRA) Funds, provides specific requirements specifically for this grant.

H. News Releases

News releases pertaining to resulting awards from this RFA shall NOT be made prior to the execution of the contract without prior written approval of the State.

I. Disclaimer

All statistical and fiscal information contained within this RFA, and any amendments and modifications thereto, reflect the best and most accurate information available to the GEO at the time of the RFA preparation. No inaccuracies in such data shall constitute a basis for legal recovery of damages or protests, either real or punitive, except to the extent that any such inaccuracy was result of intentional misrepresentation by the GEO.

J. Inquiries

The GEO will only provide information regarding best practices and RFA guidelines. All written inquires should be emailed to grants@state.co.us by 5:00pm on **Friday, August 27, 2010 (extended from Tuesday August 24, 2010)**. The GEO will be unable to answer any questions pertaining to individual project proposals. Responses will be answered in writing and posted on the GEO website at www.rechargecolorado.com by 5:00pm **September 3, 2010 (extended from September 1, 2010)**. Applicants should not rely on any other statements, either written or oral, that alter any specification or other term or condition of this application during the open solicitation period. Applicants should not contact GEO staff or any other state office or individual regarding this application. Applicants are responsible for monitoring the GEO's website for publication of modifications to this grant solicitation.

III. Above Building Code (ABC) Application

A. General Objective

The purpose of this RFA is to solicit interest from local communities/governments, cities, counties, non-profits and/or utilities to implement a voluntary or mandatory, local ABC high performance program in which the energy efficiency requirements for new construction exceed the 2009 International Energy Code (IECC) requirements.

This grant opportunity provides funding toward the administration, marketing and training costs associated with the implementation of the voluntary or mandatory, local ABC program which promotes a nationally recognized standard. The local ABC program will be aimed at homebuilders and increasing the number of energy-efficient new homes built to exceed the 2009 IECC within a geographic region. Applicants interested in increasing homebuilder participation in a nationally recognized standard like the ones listed below or other "near zero" efforts may apply for this funding. Funding may also be used to leverage existing efforts for new homes, including ENERGY STAR for New Homes.

Proposals should focus on increasing homebuilder participation in a nationally recognized standard or program (such as one of the programs mentioned above) and ultimately result in an increased number of energy-efficient new homes built to exceed the 2009 IECC. **Proposals which target geographic areas that currently do not implement such an initiative will be prioritized.** The promotion and incorporation of meeting ENERGY STAR requirements through the proposed local ABC program will be considered during application evaluation as well.

To earn the ENERGY STAR label, a home must meet guidelines for energy efficiency set by the U.S. Environmental Protection Agency (EPA). These homes are at least 15% more energy efficient than homes built to the 2004 International Residential Code (IRC), and include additional energy-saving features that typically make them 20–30% more efficient than standard homes.

For the competitive ABC RFA process, the GEO will consider funding requests that:

- Target specific geographic areas or regions (cities, counties, utility territories, etc.)
- Aim to increase the number of energy-efficient new homes built to exceed the 2009 IECC
- Leverage local funding and existing energy efficiency programs for new homes
- Incorporate ENERGY STAR requirements

B. Prohibition on Use of Funds

According to the U.S. Department of Energy (DOE), ARRA SEP funds can NOT be used for the following:

- For construction, such as construction of mass transit systems and exclusive bus lanes, or for the construction or repair of buildings or structures,
- To purchase land, a building or structure or any interest therein,
- To subsidize fares for public transportation,
- To subsidize utility rate demonstrations or state tax credits for energy conservation or renewable energy measures, or
- To purchase equipment, conduct research, or engage in development or demonstration of energy efficiency or renewable energy techniques and technologies not commercially available;
- The following projects are specifically noted under ARRA Section 1604: casino or other gambling establishments, aquariums, zoos, golf courses, or swimming pools. Project applications for all or part of one of these categories shall be denied.

C. National Environmental Policy Act (NEPA) Implementing Procedures

NEPA is a Federal law that serves as the Nation's basic charter for environmental protection. It requires that all Federal agencies consider the potential environmental impacts of their proposed actions. NEPA promotes better agency decision-making by ensuring that high quality environmental information is available to agency officials and the public before the agency decides whether and how to undertake a major Federal action. NEPA compliance is a part of the GEO's decision-making process for the types of projects and activities funded by the ARRA. Awarded Applicants will be responsible for complying with all NEPA Implementing Procedures, as well as the Historic Preservation Act, and others.

Specifically, only projects that are categorically excluded will be eligible for grant funding such as the following:

- For Renewable Energy Projects, projects under 230 kV may be directly funded. For projects over 230 kV, only technical assistance may be provided versus direct project funding.
- For Energy Efficiency projects, modifications to buildings that comply with [10 CFR Ch. X \(1-1-08 Edition\) Pursuant Pt. 1021, Subpart D, Appendix B \(specifically sections B1.3 & 4\)](#) are eligible for funding.

NEPA Bounded Categories

DOE's NEPA regulation lists classes of actions that normally do not require NEPA review because, individually or cumulatively, they do not have the potential for significant environmental impacts. Examples are information gathering activities, certain energy conservation measures, bench-scale research, and some pilot and demonstration projects. The complete list of DOE categorical exclusions is contained in [Appendices A and B to Subpart D of DOE's NEPA regulations \(10 CFR Part 1021\)](#). In all instances National Historic Preservation Act rules shall be followed, and waste materials shall be handled properly and Awarded Applicants will be required to validate proper disposal of waste materials. Any project that could potentially trigger extended environmental reviews may not be considered for GEO funding. The GEO reserves the right to make any applicant's application for grant funding ineligible due to NEPA approval concern.

To accelerate deployment of grant funds, project applicants that either fall within the bounded categories below, or have completed a NEPA review will be given priority in funding considerations. **In your application please directly acknowledge which particular bounded category your project falls under. If your project is outside the scope of the categories listed below, please describe your plans to be NEPA compliant including timeline considerations.**

1. Funding energy efficiency retrofits, provided that:

- Projects are limited to: installation of insulation; installation of energy efficient lighting; HVAC upgrades; weather sealing; purchase and installation of ENERGY STAR appliances; replacement of windows and doors; high efficiency shower/faucet upgrades; and installation of solar powered appliances with improved efficiency.

2. Development, implementation, and installation of onsite renewable energy technology that generates electricity from renewable resources, provided that:

- Projects are limited to:
 - Solar Electricity/Photovoltaic - appropriately sized system or unit on existing rooftops and parking shade structures; or a 60 KW system or smaller unit installed on the ground within the boundaries of an existing facility.
 - Wind Turbine - 20 KW or smaller.
 - Solar Thermal – system must be 20 KW or smaller.
 - Solar Thermal Hot Water – appropriately sized for residences or small commercial buildings.
 - Ground Source Heat Pump – 5.5 tons of capacity or smaller, horizontal/vertical, ground, closed-loop system.
 - Combined Heat and Power System – boilers sized appropriately for the buildings in which they are located.
 - Biomass Thermal – 3 MMBTU's per hour or smaller system with appropriate Best Available Control Technologies (BACT) installed and operated.

3. Development, implementation and installation of energy efficient or renewable energy-powered emergency systems (e.g. lighting, cooling, heat, and shelter) installed in existing buildings and facilities.

- Expedited NEPA review based on the template’s language and supporting documents does not preclude DOE from conducting stewardship activities, including post-award audit and oversight of individual projects or from exercising any other rights under NEPA, the SEP or the Recovery Act.

IV. Response Format & Application Requirements

A. General Instructions

This application, **excluding the required forms and attachments**, shall not exceed five (5) consecutively numbered (bottom center), 8.5x11-inch pages of single-spaced, standard 11-point type with 1-inch margins. NO hard copy applications will be received but must be sent to grants@state.co.us.

B. Application Response Requirements

Applicants shall include the following information about the proposed project:

Scope and Strength of the Organization

Provide a brief description of the organization and its service territory. Also include any or all sustainability initiatives implemented by the organization (these may or may not be directly related to energy efficiency and/or renewable energy).

Abstract

Provide a brief description of the local ABC program for which funding is being requested and clearly state how it will help meet the goals and objectives of the local ABC program. This abstract should be no more than 125 words. Please keep this paragraph free of any proprietary information.

Narrative

Provide a program narrative that explains, with specificity, a thorough account of how the funds will be used to implement a local ABC program and how that will increase high performance home construction. A few things to consider with regard to this narrative:

- Describe any established programs or incentives that could be used or leveraged to promote this program.
- Describe any training efforts that would be delivered as part of this voluntary program.
- Explain how the program would be marketed to homebuilders.
- Describe how this program will compare to local building/energy codes and the 2009 IECC.
- Discuss how the applicant plans to provide monthly reports to ensure quality assurance and that the grant funds are being used appropriately.

Budget

Please provide a budget breakdown for each type of funding that is being requested. Provide an itemized budget for the GEO grant request which details how the potential funding will be used for this project. Include any other funding sources that will be used for this project and indicate any plans to attract additional funding. The GEO will award projects with grant amounts not to exceed \$15,000.

For example:

Project Cost		Project Funding	
Administration	\$8,000	GEO Grant-including detailed budget (requested in this application)	\$13,000
Marketing	\$1,500	In-Kind/Matching Funds	\$5,000
Training	\$8,000		
Supplies	\$500		
Total Project Cost	\$18,000	Total Project Funding	\$18,000

Budget Narrative

Provide a budget narrative that discusses the expected expenses to implement the local ABC program. Explain how each target market might require different marketing approaches or other distinctive qualities of each program.

In the case of utilizing GEO ARRA funding, a competitive bid process is a requirement in the selection of a subcontractor. Please refer to the ARRA guidelines regarding this subject to ensure that you are in compliance. Identify any subcontractors that you will use to complete the work.

- a. What role will they play?
- b. How did you identify this subcontractor?

Tasks

A list of program tasks must be completed and submitted for the local ABC program. These tasks will directly feed into the milestone progress and will be included in the contract. Tasks should identify core areas of work, lead and the amount of time to complete. A chart (Gantt or similar) should be used to describe timeframes for the program’s tasks. **All local ABC programs must begin within 60 days of contract execution and be completed by December 30, 2011.**

Milestones

Include a schedule of program milestones that demonstrate a local ABC program start date until the end of the program. Identify what issues/conditions still need to be resolved before the program can begin and what barriers might be foreseeable. The milestones should reflect major events in the life of the program and should help determine progress to success. These milestones will also be points as which funding reimbursements might be requested. These milestones should be included on the timeframe chart, marked accordingly with the tasks.

Required Forms and Attachments

This document is not included in the five (5) page application limit, but is required as noted:

Attachment B-Business Certification-Required (PDF format provided by the GEO is required with the application submission). This Attachment can be submitted in a Word document.

C. Application Submission

Applications must be received by 5:00 p.m. (MST) on September 15, 2010. The GEO is not responsible for technical or transmittal issues when submitting a grant application. **ALL** applications with a GEO inbox timestamp of 5:01 p.m. or after will automatically be disqualified from the grant review process **NO EXCEPTIONS.**

Only electronic applications will be accepted. Hard copy applications will not be accepted. Please e-mail your application to grants@state.co.us Subject: "ABC Application – ENTITY NAME." The GEO requests that all materials be included as attachments to one email, however if your documents are too large to send in one email, you may send multiple emails. If you must do this, please use the same email subject each time to assist with processing your materials efficiently.

Applicants will receive an e-mail auto-response notification of the receipt of their application immediately upon submission.

The application, **excluding Attachment B** and shall not exceed five (5) consecutively numbered (bottom center), 8.5x11-inch pages of single-spaced, standard 11-point type with 1-inch margins and be submitted as a single electronic document, in either Adobe PDF or Microsoft Word format. **Attachment B must be submitted using the PDF document provided in this RFA.**

Incomplete applications or applications received after the deadline will be disqualified and will not be considered for funding.

Please note that the GEO provided format of Attachment B is required for all applications.

V. Evaluation and Award Selection Process

A. Evaluation Team

All applications will be reviewed by an Evaluation Team comprised of GEO staff and other evaluators as appropriate. Applicants will be notified when/if additional information, documentation or personal interviews with project principals are required. All information required to complete the application for funding is provided herein. Any additional information or inquiries pertaining to RFA submissions, including email and phone calls, will not be considered during the selection process.

When considering projects for funding, the Evaluation Team will weigh a number of factors, including but not limited to:

- The technical merits of the proposed program.
- The ability to demonstrate requested funds could be used and distributed in a timely manner;
- Geographic/market diversity favors projects that impact geographic areas that are not typical for grantee applications.
- A demonstration that the applicant identifies an opportunity for market demand of this type of product.

B. Scoring Process & Scale

When considering projects for funding, reviewers will score applications in the following categories.

- **Project Development (20 points)** When considering the development of the application, the reviewer will take into account the project narrative, staff and consultant qualifications and management experience, facilities requirements, as well as project tasks.
- **Project Feasibility (30 points)** Applicants will be scored based on program design and an assessment of the proposal's anticipated ability to efficiently and effectively distribute grant funds; this includes integration/utilization of existing programs with proposed project goals.
- **Timeline (20 points)** Applicants will be scored on demonstrated ability to meet necessary project timelines and milestones including federal compliance requirements as outlined in this RFA.
- **Geographic/Market Diversity (15 points)** Applicant's ability to implement this program in areas where it would be most effective or where programs are non-existent.
- **Leveraged Funds (15 points)** Applicants will be scored based on leveraged matching funds allotted and estimated for the total project cost.

C. Decisions

Additional financial information may be requested by the GEO from applicants prior to final award determination.

Funding is limited. Applications meeting all of the program's general policy guidelines may not necessarily receive an award.

The GEO reserves the right to delay any decision due to budgetary constraints.

The GEO reserves the right to vary from the criteria as necessary or appropriate based on guidelines given by Department of Energy.

Funding decisions are anticipated to be made on or near the last week of **October (changed from June)**, 2010 and applicants will be notified of the Selection Committee's determinations via email.

Funding decisions are final. Funds awarded are based on a competitive process where applications are weighed against other applications. **Changes to an Awarded Applicant's scope of work after ABC funds are awarded will not be allowed and may result in the nullification of the award.**

VI. Awarded Applicant Reporting and Payment Procedures

A. Reporting

All funding awards are conditioned upon veracity of information provided by the applicant and will require significant accountability and reporting. The following reporting requirements will be included in the GEO's Contract with Awarded Applicant (Grantee):

Unless otherwise provided in the Contract, the Grantee shall be responsible for the following reporting requirements. Such written analysis shall be in accordance with the procedures developed and

prescribed by the State. Required reports shall be submitted to the GEO not later than the end of each calendar month, or at such time as otherwise specified. The preparation of reports in a timely manner shall be the responsibility of Grantee and failure to comply may result in the delay of payment of funds and/or termination of the Grant.

A.1 Monthly Progress Reports

Grantee shall submit, on a monthly basis, a written progress report analyzing the performance under this Grant. The report shall refer to the status of work to be performed pursuant to this Grant and shall include a description of the deliverables and tasks completed during the reporting period. The report shall contain all associated DOE project metrics as identified by the GEO. In addition, the report shall include a description of any findings or results, any unanticipated outcomes or roadblocks encountered, and any potential future applications of project results. The report shall indicate clearly whether work is proceeding according to schedule, ahead of schedule or behind schedule. If the work is behind schedule, the report shall include a summary of the reasons for the delay and a plan of action to bring the project back on schedule, which shall be subject to review and approval by the GEO prior to implementation.

A.2 Monthly Financial Status Reports

The Monthly Progress Report shall contain a Financial Status Report summarizing expenditures for federal funds and non-federal cost-share on a form to be provided to the Grantee by the GEO. Expenditures shall be shown for each line item on a month-by-month basis.

A.3 Final Reports

Grantee shall produce and submit to the GEO Program Manager a Final Financial Status Report and a Final Narrative Progress Report of the project that shall provide a technical accounting of the total work performed, and shall contain a comprehensive description of the work tasks specified herein, the results achieved, documenting the success/lessons learned/technology transfer of the project and shall include a financial status summary summarizing expenditures for federal funds and non-federal cost-share. The final report shall include a one page summarization of jobs created, jobs retained, economic impacts and environmental impacts of the project as well as any assumptions used to determine that information. Specific required reporting related to public information shall be included as part of this final report. This information will be used by the GEO's communications team to inform the public of project results via various strategies including press releases, case studies and on the GEO Web site. Please use this as an opportunity to document your achievements through the Project's work. Include the following:

- a. Project summary narrative: This should summarize the project achievements in no more than two paragraphs. Include, at minimum, the needs that the project addressed, what the goals were, whether or not those goals were achieved, what audience the project served, and how much the project cost in total including how much of that was GEO funding. Include any project specific information that is not covered above.
- b. A summary of quantifiable metrics associated with the project along with a narrative description of the methodology behind those calculations. Depending on the project, this will include ARRA required metrics, such as jobs created/retained or energy saved, or project specific metrics such as number of individuals trained or number of workshops held.

- c. Project constituent testimonials/quotes: This should include press release worthy statements of the project's importance from participants and managers. For example, a school that received funding from solar panels can include a statement from the principal, the building energy manager and a teacher.
- d. Before and after photos if applicable. If the project allows for photos to communicate the work, please include electronic files with the final report. For example, if an inefficient boiler is replaced with a new efficient one, take photos of the old boiler as it is removed, and take photos of the new one when it is installed. If possible, try to get people in the photos.
- e. Include any associated maps, charts, graphs or graphics created as a result of the project.
- f. Include a list of the project's partners, and their logos.
- g. A summary of any communications to AND from the public associated with the project. For example, this could include press releases, advertising, event participation, speaking engagements or newsletters. In addition it should include any surveys results, frequently asked questions or other records of constituent correspondence gathered during the project.
- h. A media relations contact for the funded organization and a media relations contact for the project constituent.

The Final Reports shall be submitted in draft form for GEO's review not later than two weeks prior to the end date of the Grant term, with the final document due within two weeks thereafter.

B. Payments

The following payment procedures will be included in the GEO's Contract with Awarded Applicant (Grantee):

B.1 Billing Procedures

Payments shall be made in accordance with the provisions set forth in the Grant. The State shall pay Grantee the reasonable, allocable, and allowable costs for work performed based on satisfactory progress of the work defined in this Grant. Grantee shall be compensated only for work and services performed by Grantee and accepted by the GEO pursuant to the terms of this Grant. Payment shall also be contingent upon GEO's timely receipt and acceptance of required reports described herein. Grantee shall be reimbursed no more than once a month based on the submission of a Request for Payment and a Financial Status Report form provided by the GEO providing a detailed account of the amount of costs incurred relating to line items per the project budget. The GEO shall withhold payment of the final ten percent (10%) of the total amount until Grantee has submitted and the GEO has accepted all required narrative and financial progress reports enumerated in this Grant.

B.2 Proportionate Expenditure of Grantee Match

The Grantee shall expend its non-federal match funds proportionately with the federal grant funds. For example, if the federal GEO grant funds have been expended by 25% by the end of the first month, then the Grantee's match funds should also be expended by approximately 25% by the end of the first month. The Grantee's Monthly Financial Reports shall state these percentages.