



# Weatherization Innovation Pilot Program: Competitive Grants

Webinar for Applicants  
May 11, 2010

- Welcome!
- This webinar summarizes **Funding Opportunity Announcement Number DE-FOA-0000309 for Weatherization Innovation Pilot Program**
- All participants are muted.
- If you have technical difficulties, please use the chat window.
- Speakers:
  - *Tyler Huebner and Bob Adams, DOE Headquarters, Office of Weatherization and Intergovernmental Program, Washington DC.*
  - *Steve Dunn and Peter Ashley, DOE Golden Field Office*

- The Weatherization Innovation grants web page is at [http://www.eere.energy.gov/wip/weatherization\\_innovation.html](http://www.eere.energy.gov/wip/weatherization_innovation.html)
- The FOA is posted at [http://www.eere.energy.gov/wip/pdfs/de\\_foa\\_0000309.pdf](http://www.eere.energy.gov/wip/pdfs/de_foa_0000309.pdf)
- FAQs will be posted at: [http://www.eere.energy.gov/wip/weatherization\\_innovation.html](http://www.eere.energy.gov/wip/weatherization_innovation.html)
- This webinar (PowerPoint and transcript) will be posted at the same website
- The application package is available at <http://www.grants.gov>. The funding opportunity announcement is **DE-FOA-0000309**.
- **You must submit all questions about this FOA through FedConnect.** More information is available on p. 25 (Section VII) of the FOA, and at [https://www.fedconnect.net/Fedconnect/PublicPages/FedConnect\\_Ready\\_Set\\_Go.pdf](https://www.fedconnect.net/Fedconnect/PublicPages/FedConnect_Ready_Set_Go.pdf).

1. Overview of Funding Opportunity Announcement
2. Details: Weatherization Innovation Pilot Program
3. Application Evaluation Process
4. Frequently Asked Questions

- The Weatherization Assistance Program (WAP) has been weatherizing the homes of low-income Americans since 1977.
- This is the first-ever funding allocated for this Weatherization Innovation Pilot Program

## Objectives of this new program:

1. **Expand** the number of low-income weatherization providers and partnerships
2. **Leverage** federal funds for low-income weatherization in order to expand the number of families served
3. **Increase Effectiveness** of low-income weatherization, by promoting use of materials, technologies, behavior-change models, and processes that have potential to lead to additional homes weatherized, reduced costs, increased energy savings, and more jobs

**Authorization:** Energy Policy Act of 2005, Section 126, and the Energy and Water Development Appropriations Act for FY 2010 (House Report 111-278)

**Appropriations:** Fiscal Year 2010

(Note: Davis-Bacon and other Recovery Act regulations do not apply to these grants)

**Anticipated Awards:** Up to \$30 million available for grants

- Anticipated Award size: up to \$3 million.
- Anticipated Number of Awards: 10 to 15.
- Anticipated Award timeframe: 1<sup>st</sup> Quarter, FY 2011 (fall of this calendar year)

- These grants are awarded **on a competitive basis**
- There is a finite amount of funding available, for which applicants compete against each other
- Unlike formula grants, no entity is entitled to an allocation
- Award recipients will be selected based on the merits of their proposals
- Applicants must follow all application instructions and will **NOT** be provided an opportunity to revise or amend an application
- **READ THE FOA THOROUGHLY** before submitting an application



# Important Dates

**FOA Released:**  
**April 21**

April 2010						
S	M	T	W	T	F	S
				1	2	3
4	5	6	7	8	9	10
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**Webinar:**  
**May 11**

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**Applications:**  
**Due by**  
**June 2**  
**11:59 PM ET**

June 2010						
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*If you are considering applying, get started now!*

1. *Read the FOA thoroughly.*
2. *Register with FedConnect.*
3. *Submit any questions to FedConnect.*
4. *Plan your proposal and prepare your application.*



1. Overview of Opportunity
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# Objective 1: New and Non-Traditional Partnerships

- DOE is seeking partnerships with traditional and non-traditional weatherization service providers.
- These entities will provide leadership in managing home energy retrofit services to low-income families.

## Eligible applicants

- All entities are eligible to apply
- Both traditional weatherization service providers and non-traditional providers
- State, territory, local, and tribal governments
- Non-profit entities such as community development organizations, labor unions, community groups, industry groups, and others
- For-profit entities such as utilities, contractors, and others
- Institutes of higher education
- Partnerships are encouraged: consortia of all entities are allowed.

# Objective 2: Leveraging Financial Resources

- **Goal of leveraging \$3 non-Federal dollars for every \$1 awarded from these grants.**
  - “Leveraging” includes: building owner contributions, partner contributions, in-kind contributions, project revenues, and state funds
  - Cost share is not required
  - Letters of commitment from funding partners are **highly encouraged**
- Examples of revenue streams for leveraging and sustaining Federal funds
  - Revolving Loan Funds (RLFs)
  - Co-lending / loan participation (including first loss positions)
  - Utility on-bill payment and/or financing
  - Property Assessed Clean Energy (PACE)
  - Energy efficient mortgages
  - Sale of carbon / other offsets
  - Sale of white tags
  - Sale of efficiencies into forward capacity markets

# Objective 2: Leveraging Financial Resources (additional info)

- Rules for using financing mechanisms:
  - **Under no circumstances will a family have to pay up-front for materials or services to undertake the weatherization work itself**
  - **The family/individual served must realize a net benefit**
    - Through a reduced utility bill or
    - Or, if they don't pay a utility bill, through reduced rent or value of increased services (for example, a new daycare service is provided for tenants)
  - Must disclose and explain to potential customers that they have the option to receive absolutely free weatherization through their local weatherization agency.
  - However, other benefits of participating in these innovative program can also be explained, such as they can receive their weatherization work immediately where-as the local agency may have a significant backlog
  - For public buildings, Weatherization Program Notice 10-15a (link below) discusses how benefits must accrue to the low-income family. If the tenants of the building do not pay energy bills, then a benefit must accrue in another form, such as reduced rent or increased services within the building that were previously paid for by the families (i.e. daycare).  
<http://207.188.207.153/doclib/openfile.asp?id=1584>

## Aim to improve the following metrics:

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

To improve these metrics, the following materials and technologies are allowed (list is illustrative, not comprehensive):

- High-efficiency / high-performance envelope, space conditioning, hot water system retrofits
- Integration with smart meter projects
- Small-scale renewables
- Tools & technologies that can improve diagnostics, measurement, and reporting by reducing time and cost

# Objective 3: Improving Effectiveness (continued)

Also to improve the metrics, the following approaches to service delivery and behavior-change models are allowed (list is illustrative, not comprehensive):

- Energy usage benchmarking with feedback (online, in-home, paper)
- Community based social marketing (CBSM) and other behavioral energy reduction approaches
- Engaging volunteers in service delivery
- Developing innovative buying coops and bulk buying strategies
- Neighborhood or community approaches (this funding would be for the low-income residents)

- Measuring results and providing feedback to DOE:
  - Verifying energy savings
  - DOE Independent evaluation of grantees
  - Process evaluation to identify best practices
- Monitoring and oversight of work completed
  - Inspections and other means of ensuring work was done correctly and
- Training and technical assistance, if applicable
- Population to be served: 200% of poverty level and below, or same as WAP population for each state



- Pages 9-10 of FOA outline how some of the regulations for Weatherization Assistance Program will be used to guide activity under this grant
  - Minimum requirements
  - Allowable Expenditures (average \$6,500 per house)
  - Eligible Dwelling Units
  - Savings to Investment Ratio (SIR) (i.e. cost-effective measures)
    - If a technology/measure does not meet the SIR, alternative rationale for benefit to family/community must be provided
  - Energy audit protocol
  - Materials and technologies standards found in Appendix A
  - Recordkeeping and Reporting
  - The current 10 CFR 440 (WAP regulations) are available at [http://ecfr.gpoaccess.gov/cgi/t/text/text-idx?c=ecfr&tpl=/ecfrbrowse/Title10/10cfr440\\_main\\_02.tpl](http://ecfr.gpoaccess.gov/cgi/t/text/text-idx?c=ecfr&tpl=/ecfrbrowse/Title10/10cfr440_main_02.tpl)

## Examples of Projects DOE Anticipates Funding:

1. **Weatherization of dwelling units for low-income families**, which includes
  1. Pre-retrofit energy audit
  2. Energy efficiency improvements to dwelling unit
  3. Post-retrofit evaluation to ensure work was done properly and ensuring health and safety of occupants
2. **Non-traditional providers and new partnerships.**
3. **Leveraging of federal funds**, with target of \$3 non-federal for every \$1 from this grant
4. **Innovative approaches and technologies** to improve metrics: homes weatherized, reduced cost, increase energy savings, create jobs

## Examples of Projects DOE Anticipates Will Not Be Funded:

1. Propose **anything other than weatherization programs for low-income families.**
2. Propose the **design and construction of new energy-efficient buildings.**
3. Technology demonstration programs without market transformation
4. Focus exclusively or largely on **renewable energy technologies for buildings.**  
(DOE will consider renewables integration with efficiency – see page 9 of FOA)
5. Are **not ready for immediate implementation.**
6. Programs that plan to use non-renewable fuel switching to replace furnaces or appliances (allowed on a case-by-case basis)

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## **Initial compliance review:**

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 FOA.

## **Merit-based selection process:**

A “thorough, consistent and objective examination of applications based on pre-established criteria by persons who are independent of those individuals submitting the applications and who are knowledgeable in the field of endeavor for which support is requested”.

## **Selection officials may make decisions based on:**

- Merit-review results.
- Program policy factors.
- Availability of funds.

***Merit-review criteria and program policy factors can be found on  
pp. 21-23 (Section V) of the FOA.***

## MERIT REVIEW CRITERIA

### 1. Project Impact: 50%

- Quantitative Impact
- Leveraging Funds
- Innovation
- Highly Replicable Strategy
- Past Performance

### 2. Project Approach and Implementation: 30%

- Project Management Strategy
- Outreach, marketing, implementation strategy
- Monitoring, oversight, and verification
- Coordination with local WAP agency

### 3. Roles, Responsibilities, Qualifications, and Capabilities: 20%

- Ability/Qualifications
- Training & Technical Assistance
- Partnerships/Letters of Commitment
- Adequate resources

## PROGRAM POLICY FACTORS

- Geographic and climate diversity
- Diversity of business models and approaches
- Diversity / uniqueness of partnerships

***Merit-review criteria and program policy factors can be found on pp. 21-23 (Section V) of the FOA.***

- SF-424 – Application for Federal Assistance
- Project / Performance Site Location(s)
- Project Summary – 1 page
- Project Narrative – 15 pages maximum
  - Project Objectives
  - Merit Review Criteria Discussion
  - Description of Partnership Structure
  - Project Timetable and Implementation Plan
  - Personnel and Organization Qualifications
  - Monitoring and Oversight Plan
  - Relevance and Outcomes / Impacts
  - Roles of Participants
- Partner letters of commitment (strongly encouraged)
- Resume file
- Budget and budget justification
- Subaward budget files (if applicable)
- SF-LLL, lobbying disclosure (if applicable)
- Project Impact Table

**See detailed  
instructions in FOA  
Section IV. C, pages  
11 – 18**



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.**

*Activities deemed non-responsive can be found on p. 10 of the FOA.*

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Questions regarding the content of the FOA 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 as possible to have the benefit of reviewing all responses.

More information on FedConnect is in the user guide:

[https://www.fedconnect.net/Fedconnect/PublicPages/FedConnectReady\\_Set\\_Go.pdf](https://www.fedconnect.net/Fedconnect/PublicPages/FedConnectReady_Set_Go.pdf)

FedConnect homepage:

<https://www.fedconnect.net/fedconnect/>

- **Do NOT** submit your proposal idea as a question in FedConnect. DOE will NOT comment on proposal ideas.
- **Do NOT** submit questions to an email address or any channel other than FedConnect.

## **Q. What are the characteristics of a strong proposal?**

A. DOE is seeking applications for programs that:

- Move beyond the planning stage and are ready for implementation
- Highly leverage grant dollars
- Engage 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.
- Are broadly replicable and scalable, and have the potential to make an impact at the regional or national level
- May comprise a collaborative partnership including but not limited to local jurisdictions, tribal governments, regional planning agencies, businesses, utilities, non-governmental organizations, and State energy offices

**Q. Do ARRA requirements (e.g., Davis-Bacon wage rates, Buy American Provision, etc.) apply?**

**A.** The Weatherization Innovation Pilot Program is funded by annual FY 2010 appropriations, so the Recovery Act provisions do not apply to projects under this FOA.

**The Historic Preservation Act and the National Environmental Policy Act do apply, regardless of funding source.**

## Q. What are leveraged funds?

A. For the purposes of this FOA, DOE considers leveraging to include partner contributions, in-kind contributions, project revenues, other non-federal funds, and state funds.

Applicants should denote where DOE Weatherization Assistance Program or other federal funds have been included as sources of other leveraged funds.

The program's goal is to achieve \$3 of non-federal funds for every \$1 granted through this program.

Q. Does the leverage need to be funds that pay for weatherization improvements that are on top of the weatherization funds from the DOE grant?

A. Yes. This grant aims to increase non-federal financial resources going towards the weatherization of homes for low-income families.



Q. Can leverage include non-weatherization activities that are paired with weatherization activities, such as rehabilitating homes?

A. No. Funds for non-weatherization work that do not result in energy efficiency improvements may be included as part of the implementation of these projects; however, these funds will not be considered leverage for purposes of the application review process. Leveraged funds for purposes of application review must also be going towards the weatherization of dwelling units.

Q. Does the leverage need to be funds that pay for weatherization improvements that are on top of the weatherization funds from the DOE grant?

A. Generally, yes. This grant aims to increase non-federal financial resources going towards the weatherization of homes for low-income families.

- Q. Could the leverage be funds used for other purposes in a Weatherization Program to further the weatherization program, such as training costs contributed from other resources that advance the proposed weatherization program but are not funds that would go into the installation of weatherization efforts on particular homes?
- A. Yes, training is a component of a weatherization program, and if one of the partners applying for this grant is a training partner offering contributions or in-kind contributions, that could be included as a component of leveraged funds. However, we stress that the goal of these grants is to weatherize low-income homes, and the great majority of funds should be allocated to the actual weatherization work.

- Q. We are receiving federal funds via our state's Weatherization Assistance Program and city's housing and community development program. Since we receive them as state and city funds, do they qualify as non-federal resources?
- A. No. The funds would be considered federal funds, because the source is federally funded programs (the U.S. Department of Energy, Weatherization Assistance Program, and U.S. Department of Housing and Urban Development, Community Development Block Grant Program).

Q. Are public housing units eligible dwelling units for this funding opportunity?

A. Yes, public housing units are eligible. The guidelines for weatherizing public housing units are the same as for WAP, and are explained in the following Program Guidance documents:

WPN 10-15 FINAL RULE ON AMENDING ELIGIBILITY PROVISIONS TO MULTI-FAMILY BUILDINGS FOR THE WEATHERIZATION ASSISTANCE PROGRAM

See: <http://207.188.207.153/doclib/openfile.asp?id=1504>

Q. Is student housing eligible for weatherization under this opportunity?

A. Housing owned by a university or college is not eligible. For market-rate owned or rented houses, which may be occupied by students, the unit must be an “eligible dwelling unit” as defined in 10 CFR 440.22 and priority is given to elderly, persons with disabilities, families with children, high energy users, and households with a high energy burden (as outlined in 10 CFR 440.16).

You may find these and the entire WAP regulations at [http://ecfr.gpoaccess.gov/cgi/t/text/text-idx?c=ecfr&tpl=/ecfrbrowse/Title10/10cfr440\\_main\\_02.tpl](http://ecfr.gpoaccess.gov/cgi/t/text/text-idx?c=ecfr&tpl=/ecfrbrowse/Title10/10cfr440_main_02.tpl)

Q. Can in-kind donations be utilized as leveraged funds?

A. Yes. DOE considers leveraging to include building owner contributions, partner contributions, in-kind contributions, project revenues, and state funds. 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.



# Thank You