



**Illinois  
Department of Commerce  
& Economic Opportunity**

Pat Quinn, Governor



# HOME ENERGY AUDITOR PROGRAM

**FISCAL YEAR 2014**

**REQUEST FOR APPLICATION**

**DUE: THURSDAY, JUNE 26, 2014**

**3:00 P.M. CST.**

**JAMES R. THOMPSON CENTER**

**100 W RANDOLPH**

**SUITE 3-400**

**CHICAGO, IL 60601**

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

James R. Thompson Center  
100 West Randolph Street, Suite 3-400  
Chicago, Illinois 60601-3219  
312/814-7179 • TDD: 800/785-6055

500 East Monroe  
Springfield, Illinois 62701-1643  
217/782-7500 • TDD: 800/785-6055

2309 West Main, Suite 118  
Marion, Illinois 62959-1180  
618/997-4394 • TDD: 800/785-6055

A Bidders Conference will be held on **05/15/14** from 1:00pm to 2:00 pm at the Illinois Department of Commerce and Economic Opportunity, located at the James R. Thompson Center - 100 W. Randolph, 3<sup>rd</sup> Floor (Illinois Room), Chicago, Illinois 60601. The Bidders conference will allow participants an opportunity to pose questions regarding the Qualifying Application Requirements (QAR) and Request for Application (RFA). The Bidder's conference is not mandatory, but is recommended.

**URBAN WEATHERIZATION INITIATIVE (UWI)  
HOME ENERGY AUDITOR (HEA)  
REQUEST FOR APPLICATION (RFA) – FY 2014  
PROGRAM GUIDELINES**

**SECTION I. GENERAL INFORMATION**

- 1.1 **Purpose.** The Illinois Department of Commerce and Economic Opportunity (“DCEO” or “the Department”) administers the Urban Weatherization Initiative (“UWI”) in order to increase energy efficiency in targeted populations in eligible grant areas within Illinois communities and to increase employment opportunities in the "green jobs" sector. The goals of this program shall be to decrease energy costs, provide new career paths for under/unemployed individuals and stimulate local economies.
- 1.2 **Primary Intent.** The primary intent of this **Request for Application (RFA)** is to solicit submissions from any public, private or non-profit entity that provides or demonstrates the ability to: 1) provide high caliber energy auditor training that will result in Building Performance Institute (BPI) Building Analyst Certification (preferably with BPI Envelope Professional in addition) and: 2) utilize effective local employment strategies to identify, support and retain program participants. Priority will be given to Applicants that demonstrate collaboration among local weatherization agencies, educational institutions, workforce stakeholders and/or community-based organizations which seek to serve the targeted populations.
- 1.3 **Authority.** The Department is authorized by 30 ILCS 738/40-10 to administer the Urban Weatherization Initiative in consultation with the Weatherization Initiative Board. The Build Illinois Bond Fund is the funding source for the Urban Weatherization Initiative.
- 1.4 **Communications.** During the course of this solicitation process, any updates, modifications or general information will be posted on the DCEO website [www.ildceo.net](http://www.ildceo.net) or under Urban Weatherization or [www.ildceo.net/urbanweatherization](http://www.ildceo.net/urbanweatherization) Information may not be available in any other form or location. Applicants are responsible for monitoring the site for any changes. The Department cannot be held responsible for an Applicant's failure to monitor the site.

**SECTION II. ELIGIBILITY CRITERIA**

- 2.1 **Eligible Applicants.** Any public, private or non-profit entity that demonstrates the ability to provide quality energy auditor training that will lead to BPI Building Analyst Certification, while providing workforce development and supportive services to trainees as detailed in subsequent sections of this RFA is eligible to apply for funding. An eligible Applicant must submit qualifications consistent with the guidelines prescribed by the Board as outlined in Section 8, Program Information. Partnerships between qualified Applicants are strongly encouraged. The Department may direct specific solicitations to labor organizations, business trade associations, institutions of higher learning and/or community based organizations.
- 2.2 **Target Population.** **The ideal** Home Energy Auditor Training candidate possesses a high school diploma or GED, scores a minimum of a 10.0 on the T.A.B.E. Test, possesses strong math skills, experience in building trades and is physically fit. Grantees must demonstrate effective collaborations and implementation of local employment strategies targeted at areas with high rates of unemployment (20%+) and/or underemployment. The collaborations must be designed to identify and recruit individuals who are likely to successfully complete the Energy Auditor Training and receive BPI Building Analyst Certification.

2.3 **Eligible Activities.** Grants are available to perform and/or direct the activities and services as described below. The Director has the authority to waive any eligible activity and any other provision of this RFA deemed to be in the best interest of the State of Illinois. The Department reserves the right to approve the activities and services for pilot projects under this RFA.

Eligible activities include:

- Employment of program and/or contracted staff to coordinate project activities
- Outreach, recruitment, and assessment activities
- Career awareness and exploration activities to ensure participants are appropriately matched to employment in this sector
- Reading and Math preparation
- Workplace readiness training/business skills training
- Technical skills training (in addition to the specific energy assessment training, may also include general construction and related training)
- Hands-on skills training, including real-world work done in collaboration with partnering employers
- Mentoring, including partnerships with employers and ongoing support following completion of the training program
- Case Management
- Database development
- Direct provision of certification exams for BPI certification and/or cost reimbursement of fees for both the provision of exams and first certification period
- Drug/Alcohol Testing: All participants must be tested by an independent qualified drug tester at entry and exit from the program. Random drug testing may also be included.
- Support services including: childcare, transportation, motivational activities, tools and work clothes. "Other" support services may be permitted provided prior approval is requested and granted by the Department. All trainees MUST receive stipends during the training period, the schedule of distribution for which will be developed by the Applicant.

2.4 **Authority/Approvals.** The Applicant's signature affixed to the Representations & Certification page (Section 9) represents its certification that it has the authority to enter into grants/contracts and agreements.

### SECTION III. GENERAL PROGRAM INFORMATION

- 3.1 **Partnerships.** Funded projects will be required to demonstrate: high caliber energy auditor training that will lead to BPI Building Analyst Certification; effective collaborations with program partners and a comprehensive plan for local community engagement.
- 3.2 **Funding Opportunity.** Funding is subject to availability and approval by the Urban Weatherization Initiative Board in consultation with the Department for the **FY 2014 Home Energy Auditor Training** component of the Urban Weatherization Initiative. Grants shall be awarded for a period not to exceed 24 months (2 years). No single grant award shall exceed \$500,000 per fiscal year. For multi-year grants, the Department will take into consideration current and/or previous years' performance.
- 3.3 **Certification Standards.** Grantees must offer (at a minimum) training consistent with the Building Performance Institute (BPI) Building Analyst standards **and** must also include hands-on training. Successful trainees must be eligible to receive BPI Building Analyst Certification upon satisfactory completion of the program. The BPI written exam and field certification must be offered as part of the training program to trainees. Grantees are strongly encouraged to also provide training and certification for the BPI Building Envelope Professional certification as part of the Analyst program. Additional certifications may be offered. Copies of all certificates or information from the Accrediting Institution with names and test results of all test takers must be submitted to the grant manager with the quarterly reports.
- 3.4 **Eligible Expenditures.** Grant funds may be used for costs incurred for personnel, fringes, contractual services, training and development, testing and assessments, recruitment and outreach, supplies and materials (purchases under \$500), equipment (purchases \$500 or more), support services, and other costs consistent with eligible activities enumerated in Section II (2.3) above. Travel expenses directly related to the project will be reimbursed according to the State Travel Board regulations and the administrative rules found at 80 Ill Adm. Code 3000.100 et seq. Participants must receive stipends while participating in the technical training portion of the UWI. The eligibility of expenditures will be determined on a project specific basis.
- 3.5 **Matching Costs.** Funds available to the DCEO for this program are limited and should not be viewed by the applicants as an ongoing source of funding. Rather, successful applicants should consider grants to be "one time" awards. While not a requirement of the UWI Act, grantees that propose matching expenditures will be viewed as more likely to continue project activities after the grant period. Applicants proposing matching expenditures will be viewed favorably during the competitive review of applications. Matching expenditures may be either cash or in-kind. However, matching expenditures must meet the same tests of allowability as grant expenditures including the following requirements:
- Costs must be incurred during the authorized period of the grant agreement.
  - Costs must be directly related to the conduct of the project activities authorized by the grant.
  - Costs must be directly related to an allowable cost item as cited above (e.g. personnel cost, fringes, contractual services, training and development, testing and assessments, recruitment and outreach, supplies and materials, (purchases under \$500) equipment (purchases \$500 or more), support services, administrative and indirect costs).
  - The monetary value assigned to the costs must be reasonable given the function or activity being performed that generates the matching expense.
- 3.6 **Ineligible Expenditures.** Grant funds may not be used for the following types of expenditures:
- Expenditures not directly related to the UWI – Home Energy Auditor Program and not properly supported.

- Food/Drinks
- Gift Cards
- Normal operating/administrative expenses, not directly related to the project, including:
  - Equipment/Machinery lease payments
  - Purchase of consumable/Disposable items
  - Personnel expenses, including travel (Travel expenses will be reimbursed according to the State Travel Board regulations and the administrative rules can be found at 80 Ill Adm. Code 3000.100 et seq)
- Purchase of real property (land or buildings);
- Rental of real property (land or buildings) not directly related to the project;

3.7 **Payment Schedule.** The grant agreement will specify the conditions of payment and the payment schedule. The Department reserves the right to determine the appropriate payment structure on a project-specific basis. An initial payment representing 50% of the grant award will be made at the time of grant agreement execution. The remaining balance will be awarded in two (2) 25% disbursements after review and approval of required quarterly reports that will specify the grantee's progress toward attaining identified performance measures; certification of approved eligible costs incurred; and the submission of any documentation as required by the Department.

3.8 **Grant Duration/Performance Period.** The grant term/performance period will be determined on a project-specific basis. The Department will provide funding to qualified Applicants for a period not to exceed 24 months (2 years) to expand the employment opportunities for individuals in targeted populations who enter and successfully progress through the auditor training program. The grant agreement will specify the beginning and end date of the project.

3.9 **Reporting Requirements/Project Monitoring.** Grantees will be required to submit quarterly fiscal and narrative reports in accordance with the requirements of the grant agreement. Grantees shall submit a fully executed data release form, as prescribed by the Department, for each program participant identifying his or her demographic data.. The Department's assigned grant manager will monitor the grantee's compliance with the terms of the grant agreement for the duration of the agreement.

3.10 **Performance Outcomes.** Applicants for funding must specify performance outcomes, including, but not limited to: projected number of individuals from targeted populations that will successfully complete the training; and projected number of individuals who will become certified Building Performance Institute (BPI) Building Analysts (and preferably also BPI Building Envelope Professionals). Agreed upon performance outcomes will become part of the grant agreement. All performance outcomes will be reported on the DCEO Grantee Report that will be submitted on a quarterly basis to your grant manager via **both** an electronic and hard copy. All electronic copies should be emailed to [CEO.UrbanWeath@illinois.gov](mailto:CEO.UrbanWeath@illinois.gov). Agreed upon performance outcomes will become part of the grant agreement.

3.11 **Grant Audits/Financial Review.** The Department will require an audit of each qualified Applicant who receives grant funds and the scope of audit requirements will be outlined in the grant agreement. A maximum of one percent (1%) of the grant funds requested is allowable to governmental entities to assist with documented audit costs; a maximum of \$2,000 is allowable to assist non-governmental entities with documented audit costs. The Department reserves the right to conduct at least one pre-funding financial review to determine the financial

soundness of an organization. The Department may also conduct one or more site visits pre-funding to aid in determining Applicant capacity and ability to successfully complete the stated performance objectives.

- 3.12 **Grant Funds Recovery.** Applicants awarded funding will be subject to return of all grant funds, or a pro rata share of grant funds, to the Department for failure to meet the agreed upon performance measures as identified in the grant agreement.
- 3.13 **Freedom of Information Act/Confidential Information.** Funded proposals are subject to disclosure, in response to requests received under provisions of the Freedom of Information Act (5 ILCS 140/1 et seq.) Information that could reasonably be considered to be proprietary, privileged, or confidential commercial or financial information should be identified as such in the proposal. The Department will maintain the confidentiality of that information only to the extent permitted by law. If the Applicant has a special need to maintain the confidentiality of proprietary or privileged information, a supplemental letter of explanation must be attached. The Applicant must identify specific grounds either in the FOIA or other law or rule that support the withholding of this information. If the Applicant requests such an exemption, the Applicant must submit an additional redacted copy with the confidential information deleted. This copy must state the general nature of the material removed and shall retain as much of the requested qualifications as possible. The Applicant agrees that the Department may copy the RFQ submittal to facilitate evaluation or to respond to requests for public records. The Applicant warrants that such copying will not violate the rights of any third party.
- 3.14 **Ownership/Use of Equipment.** The grant agreement will specifically prohibit the sale, lease, transfer, assignment, or encumbrance, other than original financing of any equipment or material, exceeding \$500, purchased with grant funds, without the express written approval of the Department, for the duration of the grant term. In the event of a grantee's failure to comply with this requirement, the grant agreement will provide that the Department may, at its discretion, require the grantee to return all grant funds provided by the Department, require the grantee to transfer ownership to the State of equipment and material purchased with grant funds and/or bar the grantee from consideration for future funding.
- 3.15 **Dissemination of Information/Technology Transfer.** Grantees will be contractually required to allow the Department access to the project location and the ability to obtain, publish, disseminate or distribute any and all information obtained from the project (except any data or information that has been negotiated as being confidential or proprietary), without restriction and without payment or compensation by the Department.

#### **SECTION IV. REQUEST FOR APPLICATION PROCESS**

- 4.1 **Request for Application.** Request for Application submissions must be received no later than **3:00 p.m. on Thursday, June 26, 2014.** ALL qualifications must be submitted in the format set forth on **Pages 8 - 10.** ALL submissions must be prepared in the format as set forth on **Pages 20 -21.**

**NOTE:** Conditions for submittal of applications, including deadline, will not be waived or extended regardless of weather conditions or other circumstances that may delay delivery of your proposal. Allow sufficient time for the delivery.

- 4.2 **Submittal Instructions.** Five (5) signed **HARD COPIES** and **one (1)** complete **ELECTRONIC** copy (e-mail, CD or flash drive) of the application must be submitted via USPS, Fed-X, UPS or hand-delivered (fax submissions will not be accepted) to the Illinois Department of Commerce and Economic Opportunity in care of:

Carmen Colvin, UWI Deputy Director  
Office of Urban Assistance  
Department of Commerce and Economic Opportunity  
James R. Thompson Center  
100 W. Randolph Street, Ste 3-400  
Chicago, Illinois 60601  
312.814.2346  
[ceo.urbanweath@illinois.gov](mailto:ceo.urbanweath@illinois.gov)

- 4.3 **Proposal Evaluation.** Proposals will be competitively evaluated based on the criteria specified in Section V. The Department will evaluate all RFA responses; a site visit may be conducted and qualified applicants may be interviewed for final evaluation. The Department will base its final determination on extensive reviews of the RFAs and the qualifications of each applicant.
- 4.4 **Notice of Award.** All applicants will be notified via mail or e-mail as to their award status. Unsuccessful applicants who wish to discuss the evaluation of their application should submit a written request to this effect to DCEO's grant manager listed in Section IV (4.2).
- 4.5 **Disclaimers.** All RFA responses submitted to the Department are public documents and will become and remain the property of the Department. The Department retains all rights in the selection process and will decide, in its sole discretion, which applicants and services are best able, whether unilaterally or in partnership with other entities, to support the goals of the UWI – Home Energy Auditor Program.

The submission of a RFA confers no rights upon any applicant whether such applicant is deemed eligible or qualified. The Department is not obligated to award a grant or to pay any prior incurred cost in the preparation and submission of a response to an UWI – Home Energy Auditor Program RFA by an applicant any applicant whether such applicant is deemed eligible or qualified..

## **SECTION V. PROPOSAL EVALUATIONS**

Grant proposals will be reviewed on a competitive basis. Each proposal will be scored on a 225 point scale. In addition to meeting the eligibility criteria already described in the Program Guidelines, Section I, the Department shall consider the following criteria in evaluating the Request for Proposal:

- 5.1 Quality, depth and significance of previous auditor training experience with targeted population and success in certifying program graduates; extent to which training has been established to meet the needs of area employers, allows the trainees to be readily hireable, and includes certifications (including BPI Analyst & Envelope Professional) sought in the marketplace **(45 points)**

## 5.2 Statement of Qualifications (75 points)

- Experience – Eligible entities will document their success and significant experience in recruiting, training and serving the targeted population; providing comprehensive auditor training and BPI Building Analyst Certification; and providing support services, when and if necessary. Qualifications will also detail the entity's sound fiscal management and experience successfully managing grants.
- Program Services, Capacity, and Cost – Eligible entities will document their ability to provide necessary services to meet the program goals. These entities will possess qualified BPI certified instructors and resources to provide high quality services at a reasonable cost.
- Program Partnerships – Eligible entities will document their extensive and strong partnerships with educational institutions, workforce stakeholders & employers, community-based organizations and/or local weatherization agencies.
- Participant Results – Eligible entities will document their achieved results in getting participants to successfully complete training programs and retain employment.
- **Past Performance of Prior Year UWI - HOME ENERGY AUDITOR PROGRAM programs, if applicable** – Prior year grant recipients will be evaluated on their success regarding the number of participants recruited, the number of participants who completed the training, the number of participants who received their BPI Building Analyst Certification, and the number of completers retained in employment for one year or more.

5.3 Qualifications and experience of personnel assigned to the proposed project; plan for supervision and quality control of training delivered **(20 points)**;

5.4 Cost effectiveness of project (including, but not limited to, cost per participant served, given the needs of the trainees targeted) **(20 points)**;

5.5 Quality of partnerships and local employment strategy **(35 points)**;

5.6 Demonstrated success in grants management, overall fiscal management of organization **(15 points)**;

5.7 Thoroughness of Applicant in providing the required information **(15 points)**.

The final decision in awarding grants and the level of grant funding will be made by the Urban Weatherization Initiative Board in consultation with the Department. **ALL DECISIONS ARE FINAL.**



ILLINOIS DEPARTMENT OF COMMERCE AND ECONOMIC OPPORTUNITY

**GRANT APPLICATION COVER PAGE**

*UWI – Home Energy Auditor Program*

<p>DCEO Use Only:          Application #: _____          Grant #: _____</p>
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**SECTION 1: APPLICANT INFORMATION**

1.1	<b>Legal Name of Applicant:</b> <i>(Attach copy of W-9)</i>		
1.2	<b>Address of Applicant:</b> <i>(Include your extended 9-digit zip code):</i>		
1.3	<b>Chief Officer:</b> <i>(If more than one, attach a list with all Officers)</i>	Name:	
		Title:	
		Address:	
		Phone:	
		Fax:	
		E-Mail:	
1.4	<b>Description of Applicant:</b> <i>(200 Character maximum)</i>		
1.5	<b>NAICS Code:</b>	<i>(6-digit Industry Classification Code)</i>	
1.6	<b>Applicant Website:</b>		
1.7	<b>Applicant FEIN:</b>		
1.8	<b>Applicant SSN:</b> <i>(Enter only if applicant is individual and does not have a FEIN)</i>		
1.9	<b>Applicant's DUNS Number:</b>		
1.10	<b>Applicant Fiscal Year:</b>	From:	To:
1.11	If applicable, indicate the following.	<input type="checkbox"/> Female-Owned <input type="checkbox"/> Minority-Owned	
	If minority-owned, then check the appropriate race/ethnic group box.	Black / African Americans	<input type="checkbox"/>
		Hispanic Americans	<input type="checkbox"/>
		Native Americans	<input type="checkbox"/>
		Asian-Pacific Americans	<input type="checkbox"/>
		Asian-Indian Americans	<input type="checkbox"/>
1.12	Indicate the number of people expected to be served by the grant in the appropriate race/ethnic group box below.		
	<b>Race/Ethnic Group</b>	<b># People Served by Grant</b>	
	Black / African Americans		
	Hispanic Americans		
	Native Americans		
	Asian-Pacific Americans		
	Asian-Indian Americans		
	Other:		

## SECTION 2: APPLICANT HISTORY

2.1	Have you received a grant from the State of Illinois within the last 3 years?	<input type="checkbox"/> Yes <input type="checkbox"/> No
	Provide total number of grants received from the State of Illinois within the last 3 years.	
	If yes, provide the following for each grant received in last 3 years:	Agency: Grant #: Grant Amount: Grant Term: General Description: Issues:
2.2	If applicable, list all Names and FEINs that are registered to your organization or have been registered during the past 3 years.	
	<b>Name</b>	<b>FEIN</b>
2.3	In the past twelve months, have there been any changes in the following key staff? Check all that apply. Provide detail for any boxes checked including name of the person who left the position and the name of their replacement. Indicate the number of months the position has been vacant if the position is currently vacant.	
	<input type="checkbox"/> CEO/Executive Director/Chief Elected Official <input type="checkbox"/> CFO/Controller <input type="checkbox"/> Grant Administrator <input type="checkbox"/> Grant Administrative Support Staff ( <i>i.e. Reporting, correspondence, document control</i> ) <input type="checkbox"/> Bookkeeper/Accountant for Grant <input type="checkbox"/> No Changes	
	Provide detail for any checked boxes:	
2.4	If your proposed budget includes any staff costs for this grant, please indicate the type of documentation that will be maintained and used to allocate staff costs to the DCEO grant.	
	<input type="checkbox"/> Time sheets <input type="checkbox"/> Cost allocation plans <input type="checkbox"/> Certifications of time spent <input type="checkbox"/> Other, please describe: <input type="checkbox"/> None	
2.5	Has the applicant or any principal formed a business that existed for less than two years?	<input type="checkbox"/> Yes <input type="checkbox"/> No
	If yes, provide name(s) of the business and reason(s) that it existed for less than two years.	
2.6	Has the applicant or any principal experienced foreclosure, repossession, civil judgment or criminal penalty (or been a party to a consent decree) within the past seven years as a result of any violation of federal, state or local law applicable to its business?	<input type="checkbox"/> Yes <input type="checkbox"/> No
	If yes, identify the nature (including case number and venue) of the action and the disposition. If the action/proceeding is still pending or unresolved, provide a status identifying the unresolved issues.	
2.7	Is the applicant or any principal the subject of any proceedings that are pending, or to the best of applicant's knowledge, threatened against applicant and/or any principal that may result in any adverse change in applicant's financial condition or materially and adversely affect applicant's operations?	<input type="checkbox"/> Yes <input type="checkbox"/> No
	If yes, provide requested information.	
2.8	Does the applicant or any principal owe any debt to the State?	<input type="checkbox"/> Yes <input type="checkbox"/> No
	If yes, list reason and amount:	

## SECTION 3: PROPOSAL INFORMATION

3.1	<b>Submittal Date:</b>		
3.2	<b>Project Title:</b>		
3.3	<b>Brief Project Description:</b> <i>(Complete attached Scope of Work) (550 Character maximum)</i>		
3.4	<b>Project Location:</b>	Street Address: City:	County:
3.5	<b>Areas Served:</b>		
3.6	<b>Project Contact:</b>	Name: Title: Address: Phone: Fax: E-Mail:	
3.7	<b>Project Period:</b>	Start Date:	End Date:
3.8	<b>Project Costs:</b> <i>(Complete attached Budget)</i>	Funding provided by the applicant: Secured funding from other sources: Funding requested from DCEO:	
		<b>Total Project Cost</b>	\$0.00

## SECTION 4: SCOPE OF WORK

*Project Title*

*Description of project:*

Grantee will complete the following tasks:

DESCRIPTION OF TASKS	ESTIMATED COMPLETION DATE
<b>Task 1.</b>	
<b>Task 2.</b>	
<b>Task 3.</b>	
<b>Task 4.</b>	
<b>Task 5.</b>	
<b>Task 6.</b>	
<b>Task 7.</b>	
<b>Task 8.</b>	

## SECTION 5: PERFORMANCE MEASURES

Performance Measures	Target
1. # of trainees recruited	
2. # of trainees assessed	
3. # of trainees TABE tested	
4. # of trainees enrolled	
5. # of classroom completers (this does not indicate the trainees have obtained BPI certification, it just indicates the number who have successfully completed the classroom training/instruction)	
6. # of trainees passed BPI Computer Exam	
7. # of trainees passed BPI Field Exam	
8. # of trainees who received other certificates offered by your program	
9. # of BPI Certified trainees	
10. # of trainees employed	

## SECTION 6A: CURRENT EMPLOYMENT LEVEL

Number of permanent full-time individuals currently employed by applicant	
Number of permanent part-time individuals currently employed by applicant	

## Section 6B: Projected Employment Impact (FTE Value Table)

		Created Positions in FTE Categories:				Retained Positions in FTE Categories:			
		Column A	Column B	Column C	Column D	Column E	Column F	Column G	Column H
		Permanent Full Time	Permanent Part Time	Temporary Full Time	Temporary Part Time	Permanent Full Time	Permanent Part Time	Temporary Full Time	Temporary Part Time
Row 1 (To be completed by applicant)	# of positions in each FTE category (A - H)								
Row 2	Auto calculation of FTE subtotals	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00
Row 3	Auto Calculation: <b>Created FTEs:</b>				0.00				
Row 4	Auto Calculation: <b>Retained FTEs:</b>				0.00				
Row 5	Auto Calculation: <b>Permanent Full Time Jobs Created:</b>				0.00				
Row 6	Auto Calculation: <b>Permanent Full Time Jobs Retained:</b>				0.00				
Row 7 (cell to be completed by applicant)	Manual Calculation: <b>Average of Annualized Salaries for Permanent Full Time Jobs Created:</b>				\$				
Row 8 (cell to be completed by applicant)	Manual Calculation: <b>Average of Annualized Salaries for Permanent Full Time Jobs Retained:</b>				\$				
Row 9 (cell to be completed by applicant)	Other anticipated employment impacts of DCEO grant:	<b>Occupation</b>	<b>Minorities</b>	<b>Women</b>	<b>Hard to Serve(*)</b>	<b>Avg Wage At Placement (Hourly)</b>	<b># Placed in Job</b>		


**SECTION 6C: PROJECTED CONSTRUCTION JOBS IMPACT**

<b>Projected number of construction labor hours for project</b>	
<b>Projected number of construction FTE's for project (FTE's = total hours in row above divided by 2,080 hours)</b>	

## SECTION 7: BUDGET

Line Item or Cost Category Description	Requested Grant Budget Amount	Proposed Match Budget Amount
<b>PERSONNEL</b>		
<b>CONTRACTUAL SERVICES</b>		
<b>RECRUITMENT/OUTREACH</b>		
<b>TESTING/ASSESSMENTS</b>		
<b>TRAINING/DEVELOPMENT</b>		
<b>EQUIPMENT</b>		
<b>SUPPLIES/MATERIALS</b>		
<b>SUPPORT SERVICES</b>		
<b>ADMINISTRATION/AUDIT</b>		
<b>Total Cost</b>	\$0.00	\$0.00

\*Budget Narrative required. See Instructions Section 7 (page 18).

### Budget Line Item Definitions

1. **Personnel**: Includes salaries and fringe benefits for staff directly providing services to the UWI – Home Energy Auditor Program participants.
2. **Contractual Services**: Includes the costs for contractual services related to the primary purpose(s) of the project.
3. **Recruitment/Outreach**: Includes costs related to recruitment and outreach services.
4. **Testing/Assessments**: Includes costs to provide mandatory drug testing, as well as assess the skills of program participants.
5. **Training & Development**: Includes costs for training and developmental services for UWI – Home Energy Auditor Program participants.
6. **Equipment**: Includes costs for non-expendable property defined as all tangible property of a non-consumable nature having a useful life of more than one year and an acquisition cost of \$500 or more per unit.
7. **Supplies/Materials**: Includes expendable materials and items with a value of less than \$500, necessary to the successful performance and completion of the training project.
8. **Support Services**: Includes costs for services to provide case management, stipends, childcare, transportation, tools, work clothes, etc., for program participants
9. **Administration/Audit**: Includes costs associated with the administration and management of the grant, such as supervision, reporting, accounting, close out, audits, and related indirect charges. This line item may not exceed 10 percent of the sum of the non-administrative portion of the grant (i.e., 10 percent of the sum of lines 1 through 8) .

## SECTION 8: PROGRAM SPECIFIC INFORMATION

### Statement of Qualifications (SOQs)

A Statement of Qualifications must be submitted in the following format and content. All statements must be typewritten in Times New Roman 12pt font and each page must be numbered. The statements must be concise and show only relevant qualifications. Qualification statements will be evaluated on responsiveness. Elaborate submissions are discouraged. Page limits are specified for each component. Team resumes, Executive Reports of related projects, and other materials may be submitted as Attachments. Submissions which fail to adhere to the prescribed format and content will not be evaluated.

Qualification submittals must contain the following 3 components:

I. Submittal Letter (**1 page**) Must be submitted on entity's official letterhead.

Submit a letter of interest in which your organization:

- provides contact information for the responsible individual (i.e. phone, fax, email, etc.);
- documents its status as a public, private or non-profit entity;
- briefly describes its history in successfully accomplishing the scope of work outlined in the RFA, and;
- states its experience with, and willingness to partner with local community-based organizations, employers, and other key entities.

II. Qualifications (10 page maximum) double-sided is permitted

Provide specific data from previous programs within the past five years (July 2009 – June 2014) for items B, D and E below:

- A. **Program Characteristics.** Describe the auditor training/certification curriculum, skills to be obtained, length and nature of training, certification(s) to be attained, and support services offered. (Curriculum **MUST** be attached, but will not be included in page count as described below). Detail how the curriculum and especially the hands-on training is relevant to actual employment in the industry and how/if it has been vetted by actual employers. (Applicants are encouraged to partner with employers to deliver hands-on training in real-world settings when possible.) Training outline must be attached detailing start and completion dates of each cohort and daily activities. Include details on the estimated number of participants entering the program, completing the training, earning BPI certification(s), and employed through direct partnerships with employers. Highest scores will be awarded to applicants whose training results in actual certification in both BPI Analyst and Envelope Professional.

While not included in the page maximums, the Applicant must provide a copy of the curriculum that will be utilized and ensure that all standards identified by BPI for the Building Analyst (and Envelope Professional if also included) are incorporated into the curriculum and training (standards available at <http://www.bpi.org/standards.aspx>). In addition, a training outline is to be provided that must identify the topics covered during each class session, as well as the duration of in-class instruction for each topic covered. Learning Assessments must be incorporated as assistive tools in passing the BPI written, oral and field exams. These learning assessments are to include daily post-exams geared at reinforcing lessons taught

## SECTION 8: PROGRAM SPECIFIC INFORMATION

during the class session, as well as end of module exams. The Applicant must also incorporate detailed lab/field activities and identify the selection process of securing the housing structures for all field activities. Applicant is also to incorporate Job Readiness Training (inclusive of resume writing, internet based job search, interview practices, and understanding and complying with the culture of a work environment); Basic Math Concepts and Calculations used in Home Performance; Public Speaking, geared at preparing the participants for the written and field exams, as well as communicating with home owners regarding the repairs being completed; and Health and Safety Training. Applicants are encouraged to consider the addition of general construction skills training as necessary to help prepare auditors for the range of building situations they will encounter. Applicants are also encouraged to consider business skills training that would support the cost estimations (reflecting time, material, profit margin, etc) that auditors are frequently called to make as part of their work.

It is expected that the oral and field exams be administered to participants within 14 days after the class has concluded

- B. **Participant Characteristics.** Describe characteristics of previous trainees, detailing, at a minimum, race/ethnicity and income/employment status of the participants served by your program. Eligible entities will be scored higher on their qualifications if they can show past success in recruiting, serving, and certifying the targeted populations.
- C. **Staff Qualifications.** Describe the education, work experience and certification of all staff to be used on the project, including names, titles, job descriptions and whether the position is full or part-time. Resumes must be included in the Attachments. Resumes must identify the title/role to which it pertains. If you anticipate the creation of new positions as a result of UWI funds, provide detailed job descriptions including full or part-time status. Also include an organization chart detailing the reporting structure. Describe how your agency will monitor the quality of the training and ensure trainings are both accurate and meeting the learning needs of the trainees. If you are contracting for services that are essential to the program, describe in detail your plans to monitor contractors and ensure their high quality and compliance with the program requirements.
- D. **Program Services, Capacity, Cost and Sustainability Plan.** Provide a brief overview of existing program resources (e.g., equipment, workshop, hands-on training site) that will be used to deliver the contemplated services. Eligible entities will be scored higher if they provide multiple services within their organization or through partnerships. Entities will also be scored higher if they currently have qualified staff and sufficient program resources to deliver the services listed. Provide detailed total cost-per-participant data (including all direct and indirect costs) for all program years in which you report participant outcome data. Identify all costs included in this calculation. Please describe how the program will continue in the event that UWI funding is no longer available.
- E. **Program Partnerships.** Describe the partnerships you have established among local weatherization agencies, educational institutions, workforce stakeholders & employers, and community-based organizations (particularly those located in communities with high rates of unemployment, underemployment and poverty). Entities will be scored higher based on the number and strength of existing partnerships. Partnerships are especially sought with employers who can provide direct hands-on learning opportunities, vet the utility of the curriculum, or hire individuals completing the training program. Submittals must provide letters of support from all listed partners along with contact information. Letters of support and Memoranda of Understanding (MOU) must use the templates provided in Appendix D. Executed MOUs from all program

## SECTION 8: PROGRAM SPECIFIC INFORMATION

partners must be submitted as an attachment.

- F. **Overall Participant Outcomes.** Describe the success of your program by providing data on the following: number of participants recruited, number of participants who you anticipate completing the training, number of participants who will receive their BPI Building Analyst Certification, and number of completers retained in employment for one year or more.

Note: The Department recognizes that some entities may not be able to report progress in overall workforce development or employment placement/retention because programs have not been in place long enough for completers to have achieved these outcomes. In these and all other such cases, provide an explanation if you do not have data on participant outcomes for one or more of the measures listed above and detail your plans to achieve and measure outcomes.

III. Attachments (15 page maximum).

- Staff Resumes/Job Descriptions/Organization Chart
- Annual Organization Budgets
- Executive Reports of similar previous projects
- Memorandum of Understanding with program partners
- Other related materials
- Curriculum to be utilized (NOT INCLUDED IN 15 PAGE MAXIMUM)

## SECTION 9: APPLICANT CERTIFICATION

PLEASE READ THE FOLLOWING BEFORE SIGNING:

The Applicant understands that submission of a proposal for grant funding to the Illinois Department of Commerce and Economic Opportunity (Department) in response to an RFA is not a guarantee or commitment by the Department for funding.

The Applicant understands that it is the real party in interest to this RFA and is not acting for, or on behalf of, an undisclosed party;

The applicant understands that it has no public or private interest, direct or indirect, and shall not acquire, directly or indirectly any such interest which does or may conflict in any manner with the performance of the Applicant's services and obligations under this RFA;

The Applicant understands that no member of any governing body or any officer, agent or employee of the State, is employed by the Applicant's or has a financial or economic interest directly in this RFA or any future compensation to be paid hereunder except as may be permitted applicable statute, regulation or ordinance;

The Applicant understands that there is no action, suit or proceeding at law or in equity pending, nor to the best of Applicant's knowledge, threatened, against or affecting the Applicant, before any court or before any governmental or administrative agency, which will have a material adverse effect on the performance contemplated by this RFA; and

The Applicant certifies that it is not currently operating under or subject to any cease and desist order, or subject to any informal or formal regulatory action, and, to the best of Grantee's knowledge, that it is not currently the subject of any investigation by any state or federal regulatory, law enforcement or legal authority. Should the Applicant become the subject of an investigation by any state or federal regulatory, law enforcement or legal authority, Applicant shall promptly notify the Department of any such investigation. Applicant acknowledges that should it later be subject to any cease and desist order, Memorandum of Understanding, or found in violation pursuant to any regulatory action or any court action or proceeding before any administrative agency, that the Department is authorized to declare Applicant in default and suspend or terminate the Applicant's participation in RFA activities.

The Applicant certifies that it has not reviewed, received (electronically or otherwise) nor had any access to this RFA prior to its public issuance. The Applicant certifies that it has neither sought nor received assistance from anyone employed by the Department or otherwise affiliated with the Urban Weatherization Initiative Board in reviewing, drafting, editing or otherwise providing input on the Applicant's proposal for funding. Applicant acknowledges that should the Department find that Applicant unlawfully obtained the RFA prior to its public dissemination, or received inappropriate assistance, the Applicant may be subject to termination or suspension from the UWI; and any and all other remedies available at law.

The Applicant agrees to submit to the Department on a quarterly basis, information regarding project activity as required for payment under the Urban Weatherization Initiative guidelines (UWI).

The Applicant authorizes the Department to verify, in any manner deemed appropriate, any and all items indicated in this proposal, which includes information obtained through the Illinois Department of Employment Security, the Illinois Secretary of State, the Illinois Attorney General's Office, the Illinois Department of Revenue, the Internal Revenue Service, Consumer Credit Bureau Services and business reporting services such as Dun and Bradstreet.

The applicant agrees that, upon request by the Department, it will conduct an audit of grant funds in accordance with generally accepted auditing standards and any special audit conditions which the Department deems necessary to ensure the accountability of public funds.

## SECTION 9: APPLICANT CERTIFICATION

The Applicant acknowledges that the individual identified below is the person authorized to execute a legal and binding agreement as the authorized signatory for a grant agreement if this RFA is awarded and funded by the Illinois Department of Commerce and Economic Opportunity.

The Applicant certifies that all information contained in this RFA, including the documentation attached thereto, is accurate, complete and true to the best of the Applicant's knowledge.

The Applicant acknowledges that if its proposal is funded, the Applicant will be required to comply with the Illinois Drug Free Workplace Act, the Illinois Human Rights Act, the Americans with Disabilities Act, the Genetics Information Nondiscrimination Act and any future laws enacted which may be applicable to the grant.

Under penalty of perjury, I certify that I have examined this application and the document(s), schedule(s), and statement(s) submitted in conjunction herewith, and that, to the best of my knowledge and belief, the information submitted herewith is true, correct, and complete. I represent that I am the person authorized to submit this application on behalf of the applicant, and that I am authorized to execute a legally binding grant agreement on behalf of the applicant if this application is approved for funding.

I hereby release to DCEO the rights to and use of photographs and/or any written statements or information, regardless of format (whether they are direct quotes or paraphrased by DCEO), contained in or provided after the grant application for the purpose of publication on DCEO's website. I hereby also release any and all claims against DCEO, its Director, officers, agents, employees and/or affiliates arising out of, or in connection with, the usage of photographs and/or written statements or information, regardless of format (whether they are direct quotes or paraphrased by DCEO), for the purpose of publication on DCEO's website.

Signature

Name & Title

Date

# INSTRUCTIONS

All questions in the following sections must be completed by the applicant. Additional documentation should be attached as necessary to adequately respond to the question or to provide the detail requested.

## SECTION 1: APPLICANT INFORMATION - INSTRUCTIONS

- Question #1.1:** Provide the applicant's legal name which is reflected on its Federal W-9 form. If the applicant is a Limited Liability Company with a tax classification of "C" - the IRS acceptance letter needs to be submitted along with the W-9 in order for the vendor to be certified.
- Question #1.2:** Provide the applicant's business address, including the 9-digit zip code.
- Question #1.3:** Complete this section by indicating the Chief Officer of the applicant. If the applicant organization has more than one chief officer, please attach additional documentation providing all names and appropriate contact information.
- Question #1.4:** Provide a brief explicit description of the applicant indicating the type of business, business history, typical clientele, etc. The applicant description should not exceed 200 characters.
- Question #1.5:** Provide the applicant's North American Industry Classification System (NAICS) Code. The NAICS (pronounced Nakes) was developed as the standard for use by Federal statistical agencies in classifying business establishments for the collection, analysis, and publication of statistical data related to the business economy of the U.S. If you do not know your NAICS Code, you may look it up at: <http://www.naics.com/index.html>.
- Question #1.6:** If applicable, provide the applicant's website address.
- Question #1.7:** Provide the applicant's Federal Employer Identification Number (FEIN). The FEIN is also known as a Federal Tax Identification Number, and is used to identify a business entity. Generally, businesses need a FEIN. If your business does not have a FEIN, you may apply for it at <http://www.irs.gov/>. You are required to have a FEIN in order to be eligible for a DCEO award.
- Question #1.8:** If the applicant is an individual with no FEIN, provide the applicant's Social Security Number (SSN). Do not provide a Social Security Number if you are also providing a FEIN for Question #7.
- Question #1.9:** A DUNS Number is a unique nine-digit sequence recognized as the universal standard for identifying and keeping track of over 100 million businesses worldwide. Provide the applicant's DUNS number. If your business does not have a DUNS number, you may request one at: [http://www.dnb.com/us/duns\\_update/](http://www.dnb.com/us/duns_update/).
- Question #1.10:** Indicate the start date and end date of the applicant's fiscal year (accounting year) with month and day.
- Question #1.11:** Check the appropriate box if the applicant's business is a female or minority-owned business. A female or minority-owned business is defined as a business at least 51 percent owned and controlled by persons who are female or minority-owned. Minority is defined as the following race/ethnic groups: Black / African Americans, Hispanic Americans, Native Americans, Asian-Pacific Americans and Asian-Indian Americans. If minority-owned, then check the appropriate race/ethnic group box that applies.
- Question #1.12:** Indicate the number of people that you expect will be served by the grant by each race/ethnic group that is listed.

## SECTION 2: APPLICANT HISTORY - INSTRUCTIONS

- Question #2.1:** Complete this section with information on any grants received from the state of Illinois by the applicant within the last 3 years from the date of this application. Applicant must provide the information detailed below for each grant received. However, if applicant received more than 10 grants within the last 3 years the information below is only required for any grants that have or had programmatic and/or financial issues.

Agency:	List the name of the agency from which the grant was received.
Grant #:	List the number related to the grant.
Grant Amount:	List the total amount of the grant.
Grant Term:	List the term to include the beginning and end date of the grant.
General description of grant:	Provide a brief description of the grant project.

Issues: Provide a description of any financial or programmatic issues that were identified with this grant by either the grantor agency and/or grantee. State whether the issues are resolved or unresolved. If the issues are unresolved, state the reason why and provide a current status.

**Question #2.2:** If the applicant's organization has operated under any other names or FEIN numbers during the past 3 years from the date of this application, this information must be provided in this section.

**Question #2.3:** Indicate which key staff positions have changed within the past twelve months from the date of this application. Provide additional documentation for the requested information for any vacancies, new hires, layoffs, and terminations. Also provide the same information for any changes relating to key staff positions that may become involved with the administration and/or management of potential grants.

**Question #2.4:** Indicate in the list provided the type of documentation that the applicant's organization will maintain to support and allocate staff costs to the DCEO grant. Any staff costs incurred need to be adequately supported to ensure appropriate allocation to the DCEO grant.

**Question #2.5:** Indicate whether a previous business existed for less than two years. Principal is defined as any officer or member of the governing board of the applicant, as well as any individual in the organization who exerts significant control over the activities of the applicant or who has the authority to make decisions on behalf of the applicant.

- If yes, provide name(s) of each business and reason(s) supporting why the business is no longer in existence. Be as descriptive as possible for reason(s) why the business is no longer in existence. Attach additional supporting documentation to support your response to this question.

**Question #2.6:** Indicate yes or no and provide additional information in subsequent question. Principal is defined as any officer or member of the governing board of the applicant, as well as any individual in the organization who exerts significant control over the activities of the applicant or who has the authority to make decisions on behalf of the applicant.

- If yes, identify the nature (including case number and venue) of the action and the disposition. If the action/proceeding is still pending or unresolved, provide a status identifying the unresolved issues. Be as descriptive as possible and attach additional supporting documentation to support the response to this question.

**Question #2.7:** Indicate yes or no and provide additional information in subsequent question. Principal is defined as any officer or member of the governing board of the applicant, as well as any individual in the organization who exerts significant control over the activities of the applicant or who has the authority to make decisions on behalf of the applicant.

- If yes, describe the proceedings and provide the current status. Be as descriptive as possible and attach additional supporting documentation to support the response to this question.

**Question #2.8:** Indicate any debt owed to the state by listing the specific reason(s) and amount(s). Attach additional documentation to explain the debt owed to the state. Principal is defined as any officer or member of the governing board of the applicant, as well as any individual in the organization who exerts significant control over the activities of the applicant or who has the authority to make decisions on behalf of the applicant.

## **SECTION 3: PROPOSAL INFORMATION - INSTRUCTIONS**

**Question #3.1:** Indicate the date on which the applicant is submitting this proposal.

**Question #3.2:** Provide a short title that accurately describes the proposal. The title should be limited to approximately 40 characters.

**Question #3.3:** Provide a brief description of the proposed project that summarizes the use of the grant award. The description should not exceed 550 characters. The brief project description should be consistent with the information provided in the attached Scope of Work. The description provided here may be used on DCEO's website.

**Question #3.4:** Complete this section with the address of the proposed project location.

**Question #3.5:** Identify the area(s) served if the project location serves more than one location or if it serves a geographical region. Identify these areas by cities, towns, villages, counties or other defined programmatic or geographical regions.

**Question #3.6:** Complete this section by providing the name, business address and other required business contact information of the individual that will serve as the primary project contact. This person will serve as DCEO's primary contact from application intake through closure of the grant, if awarded by DCEO. Please note that DCEO may publish copies of applications on its public website so it is preferable that you submit your business contact information. If the applicant does not have a business to use for contact information, then please provide personal information (home address, personal cell phone number, personal email address) as an attachment to the application.

**Question #3.7:** Indicate the projected project time period with a start and end date.

**Question #3.8:** Identify the funding sources for the proposed project. The applicant must identify the amount of funding the applicant is proposing to provide to the project, any secured funding from other sources, and the amount of funding being requested from DCEO. The total project cost should be the sum of all three sources of funds. The project costs in this section should be consistent with the information provided in the attached Budget.

## **SECTION 4: SCOPE OF WORK - INSTRUCTIONS**

- Provide the Project Title; it must be the same as or consistent with the title provided in the Proposal Information above.
- Provide a detailed description of the proposed project and the intended use of grant funds. Unlike Line 3 of the Proposal Information Section, the applicant is not restricted in their description of the proposed project. The information provided in this description will assist DCEO in developing the Scope of Work for the grant agreement if the grant is awarded. It will also facilitate the periodic reporting that will be required to update DCEO on the status of the project's major milestones if the grant is awarded.
- Briefly describe each task in the Description of Tasks column. These tasks will be used to develop the grant agreement. The applicant should assign an estimated completion date for each task. If a grant is awarded, the applicant will have the opportunity to modify these dates prior to the execution of the grant.

## **SECTION 5: PERFORMANCE MEASURES - INSTRUCTIONS**

- If the applicant is aware of any performance measures required by the program, the measure(s) should be listed in this section. If known, the applicant should provide the target numbers for each measure.

## **SECTION 6A: CURRENT EMPLOYMENT LEVEL - INSTRUCTIONS**

- Provide the number of full time and part time individuals, respectively, employed by the applicant. Please see definitions of Employee, Permanent, Full-Time, and Part-time in the Key Definitions in Section 6B below.

## **SECTION 6B: PROJECTED EMPLOYMENT IMPACT - INSTRUCTIONS**

### **1. Purpose of the FTE Value Table**

DCEO uses Section 6. Projected Employment Impact of the standard grant application form to document the estimated economic benefits of a proposed grant project based on the projected employment impact. The FTE (Full Time Equivalent) Value Table in Section 6 standardizes the DCEO process for collecting and reporting job count data for projected (estimated) jobs at the grant level. This promotes consistency and integrity in the reporting of DCEO job count statistics.

Section 6 of the application form requires applicant organizations to provide projected jobs data that estimates a grant's impact on employment levels, in the following manner:

- a) identify the estimated number of projected positions to be created and/or retained,
- b) assign each projected position to one of four Full Time Equivalent (FTE) categories, and
- c) complete an average annualized wage calculation for permanent full time positions for both jobs created and jobs retained.

For DCEO purposes, an FTE is a measurement unit for assigning a numerical value to an individual employment position (both projected and/or certified jobs; both created and/or retained jobs). For example, while DCEO assigns an FTE value of 1.0 to a permanent full time position, other categories of positions that are estimated to involve a fewer number of hours to be worked over the course of a year will be assigned a lower FTE value of either .5 or .25. DCEO uses this approach so that a job count that includes various categories of jobs is more accurate and is not inflated or overstated.

Applicants should be realistic when estimating the number of projected FTEs that may result directly from a grant. For example, when projecting FTEs, the applicant must consider that if approved for funding the grantee will be required at a later date to certify FTE data for all created and

retained positions, using the DCEO Job Count FTE Certification Form. Please remember that the FTE count includes only positions that are a direct result of a DCEO grant, meaning the positions would not be created or retained **but for** the DCEO grant provided.

## 2. Forms and/or Data Needed to Complete this Table

The applicant must identify the total estimated number of projected positions that will be a direct result of the DCEO grant during the term of the grant. Within this total number, the applicant must identify the estimated number of *created* positions. Within the number of created positions, the applicant must identify the FTE category (ies) that the positions most closely match. Also, within the total number of projected positions, the applicant must identify the estimated number of *retained* positions. Within the number of retained positions, the applicant must identify the FTE category (ies) that the positions most closely match. These estimated position numbers for projected positions must be then entered into the FTE Value Table, per the specific instructions, below.

## 3. Specific Instructions for Entering Data into the FTE Value Table

The FTE Value Table produces job count data for projected positions that includes: created FTEs, retained FTEs, number of permanent full time FTEs for jobs created, number of permanent full time FTEs for jobs retained, an average of the annualized salaries of permanent full time FTEs for jobs created, an average of the annualized salaries of permanent full time FTEs for jobs retained, and other related employment impacts.

The FTE Value Table was designed in Word format. An applicant is required to enter data in the cells in Row 1, Row 7 and Row 8, only (note that Row 8 is optional). However, the Table will perform automatic calculations for Rows 2 through 6. Therefore, **do not attempt to enter or edit data in Rows 2 through 6.**

To enter data into the form, place the cursor in the blue box within the cell and enter the relevant number key(s) -- **do not use the Enter key.** To move from one cell to another in the Table, use the keyboard's Tab key or the right or left arrow keys.

**Row 1: Number of positions in defined FTE category:** The applicant must assign the estimated number of projected positions to each of the optional FTE categories. For example, applicants must assign the estimated number of projected positions to be *created* into the proper FTE category (Columns A, B, C or D) in the Created Position Box. Likewise, the applicant must assign the estimated number of projected positions to be *retained* into the proper FTE category (Columns E, F, G, or H) in the Retained Position Box. Note that a count of an individual projected position must be placed into either the Created Position box, or the Retained Position box -- an individual FTE position count cannot be placed in *both* boxes. If no jobs are projected in an FTE category, the applicant should place a zero (0) in that cell.

For each projected position, select the FTE category closest to the expectations for the position:

- **Permanent Full Time Position:** approximately 52 weeks/year X 40 hrs. per week = 2,080 hrs.
- **Permanent Part Time Position:** approximately 52 weeks/year X 20 hrs. per week = 1,040 hrs.
- **Temporary Full Time Position:** approximately 26 weeks/year X 40 hrs. per week = 1,040 hrs.
- **Temporary Part Time Position\*:** approximately 26 weeks/year X 20 hrs. per week = 520 hrs.

\*Only include Temporary Part Time Positions that have a minimum of 200 hours of work expected for the position.

### Key Definitions

Employee: An individual that agrees to participate in an employer/employee business relationship and provide services for the employer in return for a defined salary or wage. Contingency workers, or workers on contract status with the grantee, may also be included in a grantee's FTE count, if the grantee can certify the FTE data for these positions, as required on the Job Count FTE Certification Form. The site of employment must be located in the State of Illinois.

Projected Job: A planned or forecasted position to be filled at a future point in time, during the term of the grant agreement, as a direct result of a DCEO grant.

Certified Job: A position that was proven to be created or retained and was a direct result of a DCEO grant; the position must be confirmed by the employer and certified by the DCEO grantee on the Job Count FTE Certification Form by identifying: the name of the employer, the position title, either the name of the employee or a payroll identification number, the start date of the position, the annualized salary or wage rate, and the FTE category designation.

Created Job: A new position, not in existence prior to the DCEO grant, to be developed and filled, or an existing unfilled

position to be filled; the position could not be filled **but for** the DCEO grant provided.

**Retained job:** An existing position projected to be maintained that otherwise would be eliminated by the grantee **but for** the DCEO grant provided. **Note: a job previously reported as retained during the course of a previous DCEO grant cannot be projected again as retained in the current DCEO grant application if the end date of the previous DCEO grant is less than 24 months prior to the current application date. However, a job reported as retained during the course of a previous DCEO grant can be reported as retained in the current DCEO grant application, if the end date of the previous DCEO grant occurred more than 24 months prior to the date of the current DCEO application.**

**FTE Category Definitions for Reported Positions:** Applicants must use the definitions below to understand the typical differences in positions, including: a) the level of anticipated permanency -- an estimated *time duration* for the position category, and b) the degree of full time status -- the estimated average amount of *work hours* expected in a standard work week for the position category, in the respective organization or industry.

**Permanent:** A position that is typically intended to last indefinitely in duration and does not have a finite ending date; for DCEO purposes, a position with an estimated duration of at least 12 months.

**Temporary:** A position that is typically short-term in duration and will last only for a specified period of time; for DCEO purposes, a position with an estimated average duration of significantly less than 12 months (example: a seasonal job).

**Full time:** A position typically expected to work the full number of hours in a standard work week, as defined by the employer or industry; for DCEO purposes, a full time position typically involves approximately 40 hours per week.

**Part time:** A position typically expected to work significantly fewer hours per week than the hours required in a full time position; for example, 20 hours per week could be a typical part time work schedule.

**Row 2: Automatic Calculation of FTE Subtotals:** The Table automatically calculates these values based on the numbers entered above, **so do not attempt to edit the cells in this row**. The Table will automatically convert projected position counts into an FTE count according to the type of position. For example, the Table assigns a value of 1.0 to each permanent full time position that is expected to offer approximately 2,080 hours of work per year. However, for the other three categories that typically do not involve permanent work hours of a standard 2,080 hour work year, the table will assign a value for each projected position that is a lesser pro-rated portion, or fraction, of an FTE (example: the Table assigns a .5 value for each Permanent Part time, and Temporary Full time position; while assigning a value of .25 for each Temporary Part time position).

**Rows 3 - 6: Automatic calculations for FTEs created, FTEs retained, permanent full time jobs created, and permanent full time jobs retained:** The Table automatically calculates these values based on the numbers entered above, **so do not attempt to edit the cells in these rows**.

**Row 7-8: Average Annualized Salaries for Permanent Full Time Jobs Created and Permanent Full Time Jobs Retained:** The applicant must complete a manual calculation for rows 7 and 8, and place the calculated value(s) into the Table. The average annualized wage or salary amount must be calculated by adding the estimated annualized wages for all positions reported to yield a total salary amount, and then dividing the total salary amount by the number of estimated positions (not the number of FTEs). Average wages for created jobs and retained jobs should be calculated separately. Wages for part time or temporary jobs should be disregarded for purposes of this calculation. For this calculation, all hourly wage values for full time jobs must be converted to an annualized value (for example, multiply the hourly wage by the estimated number of hours per week, multiplied by 52 weeks in a year).

Example: The applicant plans to create 10 new positions as a direct result of the DCEO grant. Five positions will be paid salaries of \$20,000 annually, while the other five will be paid salaries of \$40,000 annually. The total salary amount is \$300,000 (5 X \$20,000 + 5 X \$40,000). The number of positions is 10. Thus, to calculate the average salary, divide \$300,000 by 10, yielding the average salary amount of \$30,000.

**Row 9: Other Employment Impacts.** The count may include other impacts with the applicant organization, such as temporary jobs or independent contractors needed by the applicant; and/or other employment impacts elsewhere in the economy.

**NOTE:** A job previously reported as retained during the course of a previous DCEO grant cannot be projected again as retained in the current DCEO grant application if the end date of the previous grant is less than 24 months prior to the current application date. However, a job reported as retained during the course of a previous DCEO grant can be projected again as retained in the DCEO application, if the end date of the previous DCEO grant occurred more than 24 months prior to the date of the current DCEO application.

## SECTION 6C: PROJECTED CONSTRUCTION JOBS IMPACT- INSTRUCTIONS

- Provide the number of projected hours of construction labor that will result if the project is funded by the DCEO grant. Include all construction jobs for the entire project even if the DCEO grant leverages or is combined with other funding needed for the project.
- Provide the number of projected construction FTE's for the project. This number is calculated by taking the total number of construction labor hours divided by 2,080.

## SECTION 7: BUDGET - INSTRUCTIONS

- This section is used to establish the cost categories of the grant agreement and includes each budget line item for which the grant funds are proposed to be expended.
- Indicate the requested grant amount for each budget line item.
- Provide the proposed match amount for each budget line item.
- Provide the total of each column.

### Detailed Budget Narrative

Attach a detailed budget narrative for all project costs. The narrative should provide a detailed explanation by line item of how each cost figure was calculated and provide detailed information regarding the nature and reasonableness of proposed expenditures.

#### 1. Personnel

Please provide the following information for each individual or position for which a salary subsidy is being requested:

- Individual's name and/or position title;
- Individual's role in UWI - HOME ENERGY AUDITOR PROGRAM funded project,
- Individual's total annual salary,
- The proportion of time that will be dedicated to the UWI - HOME ENERGY AUDITOR PROGRAM funded project, and
- The amount of grant funds requested for the individual.

In addition, please provide the fringe benefits (cost and percentage rate) for each individual. List fringe benefits or provide a copy of the fringe rate schedule or rate agreement. Fringes may include employer share of social security (FICA), retirement, group insurance, unemployment insurance and worker's compensation.

#### 2. Contractual Services

Describe and list all costs for contractual services directly related to the UWI - HOME ENERGY AUDITOR PROGRAM.

- *Office/Facility Rental, Equipment rental, etc*

Include specific line items detailing the expenses of office/facility costs, equipment rental, and data processing costs. The type of services, square footage for space or number of hours and hourly rate for contract services should be described. Any other significant subcontracting (especially those over \$2,500) must be further identified and justified.

Please note: Office/facility rental costs - the Grantee must obtain the Department's prior written approval for any office or facility rental costs. The rental amount will be prorated between UWI - HOME ENERGY AUDITOR PROGRAM and non-UWI - HOME ENERGY AUDITOR PROGRAM activities and rental costs will **only** be paid for space designated exclusively for UWI - HOME ENERGY

AUDITOR PROGRAM activities. The Grantee **must** give the Department a copy of the lease agreement between the Grantee and the landlord.

Equipment and Machinery rental - the Grantee may **only** be reimbursed for rental costs for equipment machinery used during training.

Proposed satellite office(s) should be identified as a contractual service. Include a separate detailed budget and summary for each satellite facility.

- *Contractual Staff*

Identify expenditures for the procurement of professional and technical services related to the facilitation and monitoring of UWI – Home Energy Auditor Training Program program participants. Please provide the name of the individual and/or company. Describe the services being provided, including the number of hours and rate of pay.

**3. Recruitment and Outreach**

Detail all costs for services that will be used to provider recruitment and outreach services for UWI – Home Energy Auditor program participants.

**4. Testing and Assessments**

Detail costs for services that will be used to assess the skills and attitudinal/motivational levels of program participants and costs to provide mandatory drug and alcohol screening.

**5. Training and Development**

Detail all costs for training and developmental services. If an external vendor is used, detail all financial arrangements (e.g., contracts, tuition, or fee-for-service arrangements) that will result in a cost to the grant. Specify the nature of the service(s) being purchased, the basis for the cost to the program and the amount being requested for each vendor.

**6. Equipment Purchases**

Identify all non-expendable property to be purchased for the program. Each item of non-expendable property costing over \$500 must be identified and explained in the budget detail. (Items costing less than \$500 should be listed under supplies.)

A written approval request must be submitted to the Department for any equipment purchase(s) not included in the application budget.

**7. Supplies and Materials**

Provide a list of all items to be purchased. Separate the types of items such as general office, operational, computer supplies/materials and training and instructional supplies/materials. Provide a description, a unit price, the number of items to be purchased, and the total price for each item. Also explain how the item will be used. Requests to purchase items in excess of \$500 must be fully justified in the narrative.

Consumable items are supplies/materials, i.e., copy paper, pens, pencils, paperclips, manuals, items used for training sessions, etc.

**8. Support Services**

Detail all costs for services, by line item, to provide case management, stipends, childcare, transportation, tools, work clothes, etc., for program participants.

**9. Administration/Auditing**

Specify the administrative and audit costs that will account for the amount requested. A maximum of one percent (1%) of the grant funds requested is allowable to governmental entities to assist with audit costs; a maximum of \$2,000 is allowable to assist non-governmental entities with audit costs.

## SECTION 8: PROGRAM SPECIFIC INFORMATION - INSTRUCTIONS

Statement of Qualifications (SOQs) **must** contain the following three (3) components, be submitted in the following format and include the content specified below:

- I. **Submittal Letter-** (1 page) must be submitted on organization's official letterhead and signed by the authorized signator..
- II. **Qualifications-Do not exceed (10 page maximum)**
- III. **Attachments - Do not exceed (15 page maximum).**

SOQs must be concise and show only relevant qualifications. Qualification statements will be evaluated on focused responsiveness. Page limits are specified for each component. Letters of Support should follow the template set forth in Appendix A, pg 21. Memorandums of Understanding submittals should follow the template set forth in Appendix B, page 22-25. Team Resumes, Executive Reports of related projects and other materials may be submitted as Attachments.

**NOTE:** Applicants who do not conform to page limit requirements may be disqualified.

## SECTION 9: APPLICANT CERTIFICATION - INSTRUCTIONS

The applicant should read and understand the certification statement provided in this section. The individual that signs this section should be the individual that is authorized to sign the grant agreement if grant funds are awarded. The authorized individual should sign their name, print their name and title and date of certification. Please note the certification authorizes DCEO to publish a copy of the completed application on DCEO's website.

## SUBMISSION OF APPLICATION

Request for Application submissions must be received on or before:

**Thursday, June 26, 2014 at 3:00 p.m**

James R. Thompson Center

**DCEO –Office of Urban Assistance**

100 W. Randolph St, Ste 3-400

Chicago, IL 60601

Attention: **Carmen Colvin, Deputy Director**

Applicant must submit an original, three (5) hard copies AND an electronic version of the application. Electronic copies should be e-mailed to [ceo.urbanweath@illinois.gov](mailto:ceo.urbanweath@illinois.gov) or submitted with the application (CD or flash-drive).

**APPLICATIONS SUBMITTED AFTER THE ABOVE DUE DATE AND TIME WILL BE DISQUALIFIED.**

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**ALL SUBMISSIONS MUST BE ASSEMBLED IN THE FOLLOWING ORDER:**

**GRANT APPLICATION COVER PAGE, INCLUDING**

**SECTION 1 – SECTION 7**

**BUDGET NARRATIVE**

**SECTION 8 PROGRAM SPECIFIC INFORMATION:**

**SUBMITTAL LETTER**

**QUALIFICATIONS**

**ATTACHMENTS**

**SECTION 9 APPLICANT CERTIFICATION**

**APPENDIX C - CERTIFICATIONS**

- Applicants must use the updated application and forms contained in this document; proposals that do not utilize the updated application will be disqualified.

- The application must be typewritten-**NO EXCEPTIONS**.
- Do not "spiral bind" the application or put it in a ringed binder. Do not use tabbed cardboard, heavy paper stock, or plastic separators. Applicants may use binder clips to fasten the application together.
- The maximum application length **FORTY (40)** pages, including attachments. **NO ADDITIONAL DOCUMENTATION WILL BE ACCEPTED.**

## **IDENTITY PROTECTION ACT (5 ILCS/179)**

## **PERSONAL INFORMATION PROTECTION ACT (815 ILCS 530)**

The Department of Commerce and Economic Opportunity (DCEO) is committed to protecting the privacy of its vendors, grantees and beneficiaries of programs and services. At times, DCEO will request social security numbers (SSNs) or other personal identifying information. Federal and state laws, rules and regulations require the collection of this information for certain purposes relating to employment and/or payments for goods and services, including, but not limited to, grants. DCEO also collects confidential information for oversight and monitoring purposes.

Furnishing personal identity information, such as a social security number, is voluntary; however, failure to provide required personal identity information may prevent an individual or organization from using the services/benefits provided by DCEO as a result of state or federal laws, rules and regulations.

**APPENDIX A**  
**LETTER OF SUPPORT TEMPLATE**

**Note:** Letter of Support **must** be printed on organization's letterhead and submitted with proposal. The letter need not follow this format, this is simply a guide. Letters of support should detail the writer's in-depth knowledge of the Applicant's program, the goals applicant has attained and the nature of their past partnerships, if any.

Date

Carmen Colvin  
Office of Urban Assistance Deputy Director  
James R. Thompson Center  
100 W Randolph, Suite 3-400  
Chicago, IL 60601

Dear Ms. Colvin:

Please accept this letter as confirmation that this organization has worked for the past (#) year/s with (name of Applicant).

During this time, (name of Applicant) has:

- Partnered with our organization to provide the following services:
- Delivered the appropriate training and/or support services to prepare their candidates to be successful as demonstrated by the fact that (#) have retained employment for more than one year (or other detailed information).
- Delivered the appropriate technical skills training to prepare (#) for entry into the workforce in the following fields: \_\_\_\_, \_\_\_\_\_, \_\_\_\_\_ and/or \_\_. (or other detailed information)

I understand that I may be contacted by the Illinois Department of Commerce and Economic Opportunity to confirm that the above information is complete and correct.

Sincerely,

Name  
Title

**MUST BE SUBMITTED WITH APPLICATION**

**APPENDIX B**

**MEMORANDUM OF UNDERSTANDING (MOU)**

Between

---

*[Insert name of Party A- grantee]*

and

---

*[Insert name of Party B- collaborator]*

This is an agreement between “*Party A*”, hereinafter called \_\_\_\_\_ and “*Party B*”, hereinafter called \_\_\_\_\_.

**I. PURPOSE & SCOPE**

The purpose of this MOU is to clearly identify the roles and responsibilities of each party as they relate to the collaboration and partnership in technical or workforce skills training in the area of home energy audit training.

In particular, this MOU is intended to:

*Examples:*

- *Enhance*
- *Increase*
- *Reduce costs*
- *Establish*

**II. BACKGROUND**

*Brief description of agencies involved in the MOU with mention of any current/historical ties to auditor or home weatherization skills training and/or the provision of supportive services to targeted populations.*

**III. [PARTY A] RESPONSIBILITIES UNDER THIS MOU**

*[Party A]* shall undertake the following activities during the duration of the MOU term:

*Examples:*

- *Develop*
- *Deliver*
- *Share*
- *Support*
- *Provide*
- *Promote*
- *Refer*

- Review
- Comply
- Train
- Maintain records
- Sponsor
- Evaluate

[PARTY A] shall follow all relevant and applicable regulations as specified in the Department of Commerce and Economic Opportunity's Urban Weatherization Initiative's program guidelines, administrative rules and grant agreement.

These may include, but are not limited to:

- 1.
- 2.

#### **IV. [PARTY B] RESPONSIBILITIES UNDER THIS MOU**

[Party B] shall undertake the following activities during the duration of the MOU term:

*Examples:*

- Develop
- Deliver
- Share
- Support
- Provide
- Promote
- Refer
- Review
- Comply
- Train
- Maintain records
- Sponsor
- Evaluate

[PARTY B] shall follow all relevant and applicable regulations as specified in the Department of Commerce and Economic Opportunity's Urban Weatherization Initiative's program guidelines, administrative rules and grant agreement..

These may include, but are not limited to:

- 1.
- 2.

**V. IT IS MUTUALLY UNDERSTOOD AND AGREED BY AND BETWEEN THE PARTIES THAT:**

*Include information about the terms and conditions by which the MOU may be modified and/or terminated, including number of notification days needed to modify/terminate MOU, requirement of any final performance requirements, and/or payment/invoicing instructions or requirements.*

1. *Modification*

2. *Termination*

**VI. REPORTING REQUIREMENTS**

This MOU *does (does not)* include the reimbursement of funds between the two parties.

Reporting requirements: [PROVIDE DETAIL]

No portion of the proposed Urban Weatherization Initiative funds are being counted more than once for participant activity during the term of the contract.

The collaborating/partnering organization will provide Auditor Training Budget documentation as requested by [PARTY A].

None of the activities funded through UWI – Home Energy Auditor Training Program budget shall be outside the scope of work as outlined in the grant agreement.

Any modifications or terminations will be documented and reported to Illinois Department of Commerce by [PARTY A] in written form.

**VII. RECORD RETENTION**

[PARTY A] and [PARTY B] must maintain all records supporting the MOU and related activities for four years after the end of the contract term. Additionally, [PARTY B] agrees to make all records relating to the contract available upon request by

[PARTY A].

**VIII. EFFECTIVE DATE AND SIGNATURE**

This MOU shall be effective upon the signature of Parties A and B authorized officials. It shall be in force from *[Date]*, \_\_\_\_\_ to *[Date]*, \_\_\_\_\_.

Parties A and B indicate agreement with this MOU by their signatures.

Signatures and dates:

\_\_\_\_\_  
*[Authorized signature from PARTY A]*

\_\_\_\_\_  
*[Authorized signature from PARTY B]*

\_\_\_\_\_  
*[Insert name of PARTY A signatory]*

\_\_\_\_\_  
*[Insert name of PARTY B signatory]*

\_\_\_\_\_  
Date

\_\_\_\_\_  
Date

## APPENDIX C

### RFA SUBMISSION CHECKLIST

#### 1. Submittal Letter

- Submittal Letter

#### 2. Qualifications

- Program Characteristics
- Participant Characteristics
- Staff Qualifications
- Program Services, Capacity, Cost and Sustainability Plan
- Program Partnerships
- Participant Outcomes

#### 3. Attachments

- Staff Resumes/Job Descriptions/Organization Chart
- Annual Organization Budgets
- Executive Reports of similar previous projects
- Memorandum of Understanding with Program Partners
- Other related materials
- Copy of curriculum

#### 4. Proof of Status

- A completed IRS W-9 Request for Taxpayer Identification Number & Certification. This form can be emailed upon request or downloaded at [www.irs.gov](http://www.irs.gov)
- Most recent Financial Audit (if applicable)

#### **Not-For-Profit Organizations Must Attach:**

Indicate the year the organization was legally established: \_\_\_\_\_

- Attach list of current Board Member names, addresses, occupation/affiliation, and phone numbers.
- Submit a "current" letter from the IRS verifying the organization is exempt from federal income tax under section 501(c)(3) of the Internal Revenue Code, issued within the last three months, IRS Department of the Treasury, (877) 829-5500.
- Copy of most recent filed IRS Form 990
- Attach documentation of Good Standing Status (check one):**
  - Entities that are incorporated as a not-for-profit under the General Not For Profit Corporation Act of 1986 (805 ILCS 105/101.01 *et seq.*) are required to submit a certificate of good standing from the Illinois Secretary of State's Office, Department of Business Services, (217) 782-7880 or (217) 782-6961 (TDD: (800) 252-2904).
  - Entities that are organized as a Charitable/Not-For-Profit entity, which includes any person, individual, group of individuals, association, not-for-profit corporation, or other legal entity under the Charitable Trust Act (760 ILCS 55/1 *et seq.*) are required to submit a letter of good standing from the Charitable Trust Bureau, Office of the Illinois Attorney General, 100 W. Randolph St, 11<sup>th</sup> floor, Chicago, IL 60601, (312) 814-2595 (TTY: (312) 814-3374).

- Entities that are neither of the above, but are exempt from paying sales/use tax under the Use Tax Act (35 ILCS 105/1 *et seq.*) are required to submit a copy of the tax exemption certificate issued by the Illinois Department of Revenue, Central Registration, PO Box 19030, Springfield, IL 62794-9030, (217) 785-3707 (TDD: (800) 544-5304).

- Current 990 or 2013 Audited Tax Return

**For-Profit Organization Must Attach:**

- Private legal entities including corporations, Limited Liability Corporations or other business enterprises must submit a **certificate of good standing** from the Illinois Secretary of State's Office, Department of Business Services, (217) 782-7880 or (217) 782-6961 (TDD: (800) 252-2904).
- Private legal entities including corporations, Limited Liability Corporations or other business enterprises must submit financial statements for the preceding three years, certified by the organization's accountant or Chief Financial Officer.

**5. Letter(s) of Support**

- Letter(s) of Support

**6. Memorandum of Understanding, if applicable**

- Memorandum of Understanding

**7. Certification**

- General Certification