



<b>Basis for Estimating Costs</b>

**d. Equipment**

**PLEASE READ!!!**

Equipment is generally defined as an item with an acquisition cost greater than \$5,000 and a useful life expectancy of more than one year. Further definitions can be found at 10 CFR 600 found on the PMC Recipient Resources Forms page at <https://www.eere-pmc.energy.gov/Forms.aspx#regs>.

List all proposed equipment below, providing a basis of cost such as vendor quotes, catalog prices, prior invoices, etc., and briefly justifying its need as it applies to the Statement of Project Objectives. If it is existing equipment, and the value of its contribution to the project budget is being shown as cost share, provide logical support for the estimated value shown. If it is new equipment which will retain a useful life upon completion of the project, provide logical support for the estimated value shown.

For equipment over \$50,000 in price, also include a copy of the associated vendor quote or catalog price list.

Add rows as needed. If rows are added, formulas/calculations may need to be adjusted by the preparer.

Equipment Item	Qty	Unit Cost	Total Cost	Basis of Cost	Justification of need
<b>Budget Period 1</b>					
EXAMPLE ONLY!!! Thermal shock chamber	2	\$20,000	\$40,000	Vendor Quote	Reliability testing of PV modules- Task 4.3
Electric Thermal Storage Units	320	\$2,371	\$758,781	Vendor Quote	Program design - energy reduction
Solar Panels	50000	\$30	\$1,500,000	Engineer Estimate	Program design - Energy generation
Solar Platform Electrical and Mechanical	1	\$825,000	\$825,000	Engineer Estimate	Program design - Energy generation
Heat Exchanger	1	\$162,836	\$162,836	Engineer Estimate	Program design - Energy generation
Circulation Pump	1	\$50,000	\$50,000	Engineer Estimate	Program design - Energy generation
Steam Pipeline	1	\$150,000	\$150,000	Engineer Estimate	Program design - Energy generation
			\$0		
			\$0		
			\$0		
<b>Budget Period 1 Total</b>			\$3,446,617		
<b>Budget Period 2</b>					
Electric Thermal Storage Units	1200	\$2,371	\$2,845,200	Vendor Quote	Program design - energy reduction
			\$0		
			\$0		
			\$0		
			\$0		
			\$0		
			\$0		
			\$0		
			\$0		
			\$0		
<b>Budget Period 2 Total</b>			\$2,845,200		
<b>Budget Period 3</b>					







**f. Contractual**

**PLEASE READ!!!**

The entity completing this form must provide all costs related to sub-recipients, vendors, contractors, consultants and FFRDC partners in the applicable boxes below.

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

For each sub-recipient with total project costs of \$100,000 or more, a separate SF-424A budget and PMC123.1 budget justification form must be submitted. These sub-recipient forms may be completed by either the sub-recipients themselves or by the preparer of this form. The budget totals on the sub-recipient's forms must match the sub-recipient entries below.

The preparer of this form need only provide further support of the completed sub-recipient budget forms as they deem necessary. The support to justify the budgets of sub-recipients with estimated costs less than \$100,000 may be in any format, and at a minimum should provide what Statement of Project Objectives task(s) are being performed, the purpose/need for the effort, and a basis of the estimated costs that is considered sufficient for DOE evaluation.

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

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

**Federal Research and Development Centers (FFRDCs):**

For FFRDC partners, award recipient will provide a Field Work Proposal (if not already provided with the original application), along with the FFRDC labor mix and hours, by category and FFRDC major purchases greater than \$25,000, including Quantity, Unit Cost, Basis of Cost, and Justification. The award recipient may allow the FFRDC to provide this information directly to DOE.

Add rows as needed. If rows are added, formulas/calculations may need to be adjusted by the preparer.

Sub-Recipient Name/Organization	Purpose/Tasks in SOPO	Budget Period 1 Costs	Budget Period 2 Costs	Budget Period 3 Costs	Project Total
EXAMPLE ONLY!!! XYZ Corp.	Partner to develop optimal fresnel lens for Gen 2 product - Task 2.4	\$48,000	\$32,000	\$16,000	\$96,000
Maine Green Energy Alliance	Seek bids from contractors to install electric thermal storage units at an estimated cost of \$355 per unit	\$113,600	\$425,920	\$425,920	\$965,440
Maine Green Energy Alliance	Generate and distribute energy below the standard offer	\$113,000			\$113,000
Maine Green Energy Alliance	Public education and pilot program to encourage electric thermal storage use	\$175,000			\$175,000
					\$0
					\$0



**g. Construction**

PLEASE READ!!

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

List all proposed construction below, providing a basis of cost such as engineering estimates, prior construction, etc., and briefly justify its need as it applies to the Statement of Project Objectives.

Add rows as needed. If rows are added, formulas/calculations may need to be adjusted by the preparer.

**Overall description of construction activities:**

Example Only!!! - Build wind turbine platform

General Description	Cost	Basis of Cost	Justification of need
<b>Budget Period 1</b>			
Three days of excavation for platform site EXAMPLE ONLY!!!	\$28,000	Engineering estimate	Site must be prepared for construction of platform.
Solar panel installation - estimated 8 week project	\$400,000	Engineering estimate	Program design for energy generation
Steam Pipeline installation - estimated 4 week project	\$161,891	Engineering estimate	Program design for energy generation
Commercial Weatherization	\$387,000	Engineering estimate	Needed to increase efficiency in 19th century buildings
Westbrook - Storm Drainage	\$35,216	Engineering estimate	Site requires storm drainage as part of the site work
Westbrook - Site Improvement	\$304,526	Engineering estimate	Site must be prepared for construction of platform.
<b>Budget Period 1 Cont.</b>			
Westbrook - Landscaping	\$144,413	Engineering estimate	Required for post-construction
Westbrook - Erosion Control	\$66,005	Engineering estimate	Site requires erosion control
Westbrook - Pavement	\$652,341	Engineering estimate	For site access and flow
Westbrook - Waterline	\$156,506	Engineering estimate	To provide public water to the site
Westbrook - Sanitary Sewer	\$152,336	Engineering estimate	To service site with public sewer
<b>Budget Period 1 Total</b>	<b>\$2,460,234</b>		
<b>Budget Period 2&amp;3</b>			



**h. Other Direct Costs**

PLEASE READ!!

Other direct costs are direct cost items required for the project which do not fit clearly into other categories, and are not included in the indirect pool for which the indirect rate is being applied to this project. Examples are meeting costs, postage, couriers or express mail, telephone/fax costs, printing costs, etc.

Basis of cost are items such as vendor quotes, prior purchases of similar or like items, published price list, etc.

Add rows as needed. If rows are added, formulas/calculations may need to be adjusted by the preparer.

General description	Cost	Basis of Cost	Justification of need
<b>Budget Period 1</b>			
EXAMPLE ONLY!!! Grad student tuition	\$16,000	Established UCD costs	Support of graduate students working on project
Program Supplies	\$12,000	Budgeted program costs	For general program operations and support
Office Supplies	\$1,200	Budgeted program costs	For general program operations and support
Copies	\$1,200	Budgeted program costs	For general program operations and support
Budget Period 1 Total	\$14,400		
<b>Budget Period 2</b>			
Program Supplies	\$12,000	Budgeted program costs	For general program operations and support
Office Supplies	\$1,200	Budgeted program costs	For general program operations and support
Copies	\$1,200	Budgeted program costs	For general program operations and support
Budget Period 2 Total	\$14,400		
<b>Budget Period 3</b>			
Program Supplies	\$12,000	Budgeted program costs	For general program operations and support
Office Supplies	\$1,200	Budgeted program costs	For general program operations and support
Copies	\$1,200	Budgeted program costs	For general program operations and support
Budget Period 3 Total	\$14,400		
<b>PROJECT TOTAL</b>	<b>\$43,200</b>		

Additional Explanations/Comments (as necessary)

**i. Indirect Costs**

	Budget Period 1	Budget Period 2	Budget Period 3	Total
Rate applied:	0.0%	0.0%	0.0%	
Total indirect costs requested:				\$0

A federally approved indirect rate agreement, or rate proposed supported and agreed upon by DOE for estimating purposes is required if reimbursement of fringe benefits is requested. Please check (X) one of the options below and provide the requested information if it has not already been provided as requested, or has changed. Calculate the indirect rate dollars and enter the total in the Section B., line 6.j. (Indirect Charges) of form SF 424A.

**There is a federally approved indirect rate agreement. A copy is provided with this application and will be provided electronically to the Contracting Officer for this project.**

*\*In the area designated below, identify the full calculations used to derive the total indirect costs. See further information below.*

**There is no current, federally-approved indirect rate agreement.**

*When this option is checked, the entity preparing this form shall submit an indirect cost rate proposal in the format provided at the following website, or in a format that provides the same level of information and which supports the rate(s) being proposed for use in estimating the project. Go to <https://www.eere-pmc.energy.gov/forms.aspx> and select PMC 400.2 Sample Rate Proposal. \*In the area designated below, identify the full calculations used to derive the total indirect costs. See further information below.*

**Additional Explanations/Comments (as necessary)**

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

**Cost Share**

**PLEASE READ!!**

A detailed presentation of the cash or cash value of all cost share proposed for the project must be provided in the table below. Identify the source & amount of each item of cost share proposed by the award recipient and each sub-recipient or vendor. Letters of commitment must be submitted for all third party cost share (other than award recipient).

Note that "cost-share" is not limited to cash investment. Other items that may be assigned value in a budget as incurred as part of the project budget and necessary to performance of the project, may be considered as cost share, such as: contribution of services or property; donated, purchased or existing equipment; buildings or land; donated, purchased or existing supplies; and/or unrecovered personnel, fringe benefits and indirect costs, etc. For each cost share contribution identified as other than cash, identify the item and describe how the value of the cost share contribution was calculated.

Funds from other Federal sources **MAY NOT** be counted as cost share. This prohibition includes FFRDC sub-recipients. Non-Federal sources include private, state or local Government, or any source not originally derived from Federal funds. Documentation of cost sharing commitments must be provided, if not already provided with the original application and they have not changed since its submission.

Fee or profit will not be paid to the award recipients or subrecipients of financial assistance awards. Additionally, foregone fee or profit by the applicant shall not be considered cost sharing under any resulting award. Reimbursement of actual costs will only include those costs that are allowable and allocable to the project as determined in accordance with the applicable cost principles prescribed in 10 CFR 600.127, 10 CFR 600.222 or 10 CFR 600.317. Also see 10 CFR 600.318 relative to profit or fee.

Add rows as needed. If rows are added, formulas/calculations may need to be adjusted by the preparer.

Organization/Source	Type (cash or other)	Cost Share Item	Budget Period 1 Cost Share	Budget Period 2 Cost Share	Budget Period 3 Cost Share	Total Project Cost Share
ABC Company EXAMPLE ONLY!!!	Cash	Project partner ABC Company will provide 40 PV modules for product development at 50% off the of the retail price of \$680	\$13,600			\$13,600
Weatherization/ETST Participants	Cash	Each household participating in the ETST program will be expected to pay all or a portion of the unit cost and installation.		\$3,271,200	\$3,271,200	\$6,542,400
						\$0
						\$0
						\$0
						\$0
						\$0

Organization/Source	Type (cash or other)	Cost Share Item	Budget Period 1 Cost Share	Budget Period 2 Cost Share	Budget Period 3 Cost Share	Total Project Cost Share
						\$0
						\$0
						\$0
						\$0
Totals			\$0	\$3,271,200	\$3,271,200	\$6,542,400

**Total Project Cost: \$13,142,400**

**Cost Share Percent of Award: 49.8%**

**Additional Explanations/Comments (as necessary)**

Applicant Name: Maine Public Utilities Commission

Award Number: DE-FOA-0000148

OMB Approval No. 0348-0044

### Budget Information - Non Construction Programs

Section A - Budget Summary		Estimated Unobligated Funds		New or Revised Budget		Total (g)
Grant Program Function or Activity (a)	Catalog of Federal Domestic Assistance Number (b)	Federal (c)	Non-Federal (d)	Federal (e)	Non-Federal (f)	
1.				\$74,699,619	\$89,364,949	\$164,064,568
2.						\$0
3.						\$0
4.						\$0
5.	Totals	\$0	\$0	\$74,699,619	\$89,364,949	\$164,064,568
<b>Section B - Budget Categories</b>						
6.	Object Class Categories	(1)	(2)	(3)	(4)	Total (5)
	a. Personnel				\$2,727,462	\$2,727,462
	b. Fringe Benefits				\$681,855	\$681,855
	c. Travel					\$0
	d. Equipment					\$0
	e. Supplies					\$0
	f. Contractual			\$71,290,333		\$71,290,333
	g. Construction					\$0
	h. Other					\$0
	i. Total Direct Charges (sum of 6a-6h)		\$0	\$0	\$74,699,650	\$74,699,650
	j. Indirect Charges					\$0
	k. Totals (sum of 6i-6j)		\$0	\$0	\$74,699,650	\$74,699,650
7.	Program Income					\$0

<b>Section C - Non-Federal Resources</b>					
(a) Grant Program	(b) Applicant	(c) State	(d) Other Sources	(e) Totals	
8. Principle and Interest Payments to Maine Home Performance Fund			\$18,522,814	\$18,522,814	
9. Maine Home Performance Fund Revenue Bond			\$64,000,000	\$64,000,000	
10. Carbon Sales			\$299,735	\$299,735	
11. Maine Green Energy Alliance			\$6,542,400	\$6,542,400	
12. <b>Total</b> (sum of lines 8 - 11)	\$0	\$0	\$89,364,949	\$89,364,949	

<b>Section D - Forecasted Cash Needs</b>					
	Total for 1st Year	1st Quarter	2nd Quarter	3rd Quarter	4th Quarter
13. Federal	\$38,438,841	\$24,137,032	\$5,100,603	\$4,600,603	\$4,600,603
14. Non-Federal	\$2,834,004		\$944,668	\$944,668	\$944,668
15. <b>Total</b> (sum of lines 13 and 14)	\$41,272,845	\$24,137,032	\$6,045,271	\$5,545,271	\$5,545,271

<b>Section E - Budget Estimates of Federal Funds Needed for Balance of the Project</b>					
(a) Grant Program	Future Funding Periods (Years)				
	(b) First	(c) Second	(d) Third	(e) Fourth	
16.	\$34,824,349	\$1,436,429			
17.					
18.					
19.					
20. <b>Total</b> (sum of lines 16-19)	\$34,824,349	\$1,436,429		\$0	

<b>Section F - Other Budget Information</b>	
21. Direct Charges	
22. Indirect Charges	
23. Remarks	

## Instructions for the SF-424A

Public Reporting Burden for this collection of information is estimated to average 3.0 hours per response, including the time for reviewing instructions, searching existing data sources, gathering and maintaining the data needed, and completing and reviewing the collection of information. Please do not return your completed form to the Office of Management and Budget; send it to the address provided by the sponsoring agency.

### General Instructions

This form is designed so that application can be made for funds from one or more grant programs. In preparing the budget, adhere to any existing Federal grantor agency guidelines which prescribe how and whether budgeted amounts should be separately shown for different functions or activities within the program. For some programs, grantor agencies may require budgets to be separately shown by function or activity. For other programs, grantor agencies may require a breakdown by function or activity. Sections A, B, C, and D should include budget estimates for the whole project except when applying for assistance which requires Federal authorization in annual or other funding period increments. In the later case, Sections A, B, C, and D should provide the budget for the first budget period (usually a year) and Section E should present the need for Federal assistance in the subsequent budget periods. All applications should contain a breakdown by the object class categories shown in Lines a-k of Section B.

### Section A. Budget Summary Lines 1-4 Columns (a) and (b)

For applications pertaining to a **single** Federal grant program (Federal Domestic Assistance Catalog number) and **not requiring** a functional or activity breakdown, enter on Line 1 under Column (a) the catalog program title and the catalog number in Column (b).

For applications pertaining to a **single** program requiring budget amounts by multiple functions or activities, enter the name of each activity or function on each line in Column (a), and enter the catalog number in Column (b). For applications pertaining to multiple programs where none of the programs require a breakdown by function or activity, enter the catalog program title on each line in Column (a) and the respective catalog number on each line in Column (b).

For applications pertaining to **multiple** programs where one or more programs require a breakdown by function or activity, prepare a separate sheet for each program requiring the breakdown. Additional sheets should be used when one form does not provide adequate space for all breakdown of data required. However, when more than one sheet is used, the first page should provide the summary totals by programs.

### Lines 1-4, Columns (c) through (g)

For new applications, leave Columns (c) and (d) blank. For each line entry in Columns (a) and (b), enter in Columns (e), (f), and (g) the appropriate amounts of funds needed to support the project for the first funding period (usually a year).

For continuing grant program applications, submit these forms before the end of each funding period as required by the grantor agency. Enter in Columns (c) and (d) the estimated amounts of funds which will remain unobligated at the end of the grant funding period only if the Federal grantor agency instructions provide for this. Otherwise, leave these columns blank. Enter in columns (e) and (f) the amounts of funds needed for the upcoming period. The amount(s) in Column (g) should be the sum of amounts in Columns (e) and (f).

For supplemental grants and changes to existing grants, do not use Columns (c) and (d). Enter in Column (e) the amount of the increase or decrease of Federal funds and enter in Column (f) the amount of the increase or decrease of non-Federal funds. In Column (g) enter the new total budgeted amount (Federal and non-Federal) which includes the total previous authorized budgeted amounts plus or minus, as appropriate, the amounts shown in Columns (e) and (f). The amount(s) in Column (g) should not equal the sum of amounts in Columns (e) and (f).

Line 5—Show the totals for all columns used.

### Section B. Budget Categories

In the column headings (a) through (4), enter the titles of the same programs, functions, and activities shown on Lines 1-4, Column (a), Section A. When additional sheets are prepared for Section A, provide similar column headings on each sheet. For each program, function or activity, fill in the total requirements for funds (both Federal and non-Federal) by object class categories.

Lines 6a-i—Show the totals of Lines 6a to 6h in each column.

Line 6j—Show the amount of indirect cost.

Line 6k—Enter the total of amounts on Lines 6i and 6j. For all applications for new grants and continuation grants the total amount in column (5), Line 6k, should be the same as the total amount shown in Section A, Column (g), Line 5. For supplemental grants and changes to grants, the total amount of the increase or decrease as shown in Columns (1)-(4), Line 6k should be the same as the sum of the amounts in Section A, Columns (e) and (f) on Line 5.

Line 7—Enter the estimated amount of income, if any, expected to be generated from this project. Do not add or subtract this amount from the total project amount. Show under the program narrative statement the nature and source of income. The estimated amount of program income may be considered by the federal grantor agency in determining the total amount of the grant.

### Section C. Non-Federal Resources

**Lines 8-11**—Enter amounts of non-Federal resources that will be used on the grant. If in-kind contributions are included, provide a brief explanation on a separate sheet.

**Column (a)**—Enter the program titles identical to Column (a), Section A. A breakdown by function or activity is not necessary.

**Column (b)**—Enter the contribution to be made by the applicant.

**Column (c)**—Enter the amount of the State's cash and in-kind contribution if the applicant is not a State or State agency. Applicants which are a State or State agencies should leave this column blank.

**Column (d)**—Enter the amount of cash and in-kind contributions to be made from all other sources.

**Column (e)**—Enter totals of Columns (b), (c), and (d).

**Line 12**—Enter the total for each of Columns (b)-(e). The amount in Column (e) should be equal to the amount on Line 5, Column (f) Section A.

### Section D. Forecasted Cash Needs

**Line 13**—Enter the amount of cash needed by quarter from the grantor agency during the first year.

**Line 14**—Enter the amount of cash from all other sources needed by quarter during the first year.

**Line 15**—Enter the totals of amounts on Lines 13 and 14.

### Section E. Budget Estimates of Federal Funds Needed for Balance of the Project

**Lines 16-19**—Enter in Column (a) the same grant program titles shown in Column

(a), Section A. A breakdown by function or activity is not necessary. For new applications and continuation grant applications, enter in the proper columns amounts of Federal funds which will be needed to complete the program or project over the succeeding funding periods (usually in years). This section need not be completed for revisions (amendments, changes, or supplements) to funds for the current year of existing grants. If more than four lines are needed to list the program titles, submit additional schedules as necessary.

**Line 20**—Enter the total for each of the Columns (b)-(e). When additional schedules are prepared for this Section, annotate accordingly and show the overall totals on this line.

### Section F. Other Budget Information

**Line 21**—Use this space to explain amounts for individual direct object-class cost categories that may appear to be out of the ordinary or to explain the details as required by the Federal grantor agency.

**Line 22**—Enter the type of indirect rate (provisional, predetermined, final or fixed) that will be in effect during the funding period, the estimated amount of the base to which the rate is applied, and the total indirect expense.

**Line 23**—Provide any other explanations or comments deemed necessary.



*Leading the Way to a Brighter Future*

A program of the Maine Public Utilities Commission

Subject: Required Assurances – DE-FOA-0000148

Davis Bacon Act

This is to certify that all laborers and mechanics on projects funded directly or assisted in whole or in part by and through funding appropriated by the ARRA of 2009 will be paid wages at rates not less than those prevailing on projects of a character similar in the locality as determined by subchapter IV, Chapter 31 of title 40, United States Code.

Assurances

I hereby designate Michael Bardon, Program Manager, Maine State Energy Program, as the authorized official to apply for and receive funding based on Title V, Subtitle E, Energy Efficiency and Conservation Block Grants, Sections 541(3) or 541(3)(B) of IASA 2007, Public Law 110-140.

  
John Brautigam, Director  
Energy Programs Division

12/17/09  
Date

**Appendix C – NEPA FORM For Completion**  
**U.S. DEPARTMENT OF ENERGY**  
**ENVIRONMENTAL SUMMARY**  
**(To Be Completed by Potential Recipient)**

The Department of Energy (DOE) is required by the National Environmental Policy Act (NEPA) of 1969 as amended (42 U.S.C. 4332(2), 40 CFR parts 1500-1508) and DOE implementing regulations (10 CFR 1021) to consider the environmental effects resulting from federal actions, including providing financial assistance. Please provide the following information to facilitate DOE's environmental review.

**PART I: General Information**

Title: Maine Home Performance retrofit ramp up  
FOA Number: DE-FOA-0000148

1. Please describe the intended use of DOE funding in your proposed plan. For example, would the funding be applied to the entire project or only support a phase of the project? Describe the activity as specifically as possible, i.e. planning, feasibility study, design, data analysis, education or outreach activities, construction, capital purchase and/or equipment installation or modification.

This is a revolving loan for home weatherization.

2. Does any part of your project require review and/or permitting by any other federal, state, regional, local, environmental, or regulatory agency? No

3. Has any review (e.g., NEPA documentation, permits, agency consultations) been completed?

No

4. Provide information about the potential environmental issues, concerns, and impacts associated with your proposal. Please provide as much detail as possible in the following areas: specifics of proposed activities, project locations, size, layout, commitments to waste management and historic preservation. If project specific information is unknown, describe your plan for obtaining this information.

The project includes financing home retrofits. No construction will be undertaken by the applicant.

## Project Impact Table

Project Impact Metrics	During Project Years			Post Project Years		
	Year 1	Year 2	Year 3	Year 4	Year 5	Year 6
1 Number of Buildings Retrofitted	3,175	4,000	4,000	4,000	4,000	4,000
2 Total square footage of buildings retrofitted	4,762,500	6,000,000	6,000,000	6,000,000	6,000,000	6,000,000
3 Average utilities savings (e.g. cost and fuel savings) achieved per unit retrofitted	\$652	\$690	\$723	\$765	\$795	\$818
4 Jobs created or retained	460	474	482	344	344	344
5 Average emissions reductions (MMT CO21) per unit	2.567E-06	2.567E-06	2.567E-06	2.57E-06	2.567E-06	2.567E-06
6 EECBG Funds Expended	\$39,977,412	\$34,422,207	\$0	\$0	\$0	\$0
7 Leveraged Funds and In-Kind Resources Expended	\$2,834,005	\$9,675,604	\$76,855,340	\$433,623	\$64,534,023	\$1,032,678

- Line 1: The average square footage of a house in Maine is 1500.
- Line 2: Based on an average of 25% savings per home weatherized
- Line 3: Based on the price of home heating oil as forecasted by EIA's Annual Energy Outlook, March 2009
- Line 4: Based on DOE's assumption the \$93,000 is equivalent to one job.
- Line 4: Half of the bond proceeds (\$32,000,000) sold in years 3 and 5 will be used in year 4 and 6.
- Our retrofit program will target homes heated with #2 oil (22.384 pounds of CO2 per gallon).
- Line 7: Sources of leveraged funds;
  - Principle and interest payments from the revolving loan fund.
  - Revenue bond issued in year 3 and 5 selling the loans made in the previous two years.
  - Private match from the Years 2 and 3.
  - Sale of carbon offsets in year 3-6.

## **Professional Summary**

### **Lynn S. Kinney**

Lynn Kinney is an experienced professional with over 30 years in Information Technology, including project management, business process analysis and design, business and technology strategic planning, mainframe/client server/web application development, data modeling and database design, technology planning and integration.

Ms. Kinney has extensive experience in Law Enforcement Systems, Insurance, Call Center, Banking, and Health Care technology. She currently serves as Chief Information Officer for a Maine based financial institution and Executive Consultant to directors of several State of Maine agencies.

Prior positions include:

- Vice President of Technology for Lending, Risk Management and Government Banking, TD Banknorth, a large commercial bank.
- Senior Project Manager, UNUM Insurance, the world's largest disability insurer.
- Technology Manager, Maine Medical Center, a 600 bed teaching hospital.

Ms. Kinney holds several professional certifications, including Fellow, Life Management Institute and a certification in Project Management from Boston University. She has been a featured speaker at many Technology seminars throughout the New England area and was an instructor at the University of Southern Maine, teaching network design, data modeling, and systems analysis and design.

Lynn was educated at the University of Maine, Wright State University in Ohio and Boston University and was a National Merit Scholar.

## **Samuel Nutter**

**Experience** 2009-Present, Conservation Services Group, Inc.

*New England Business Development Director*

- Work with CSG's New England clients, partners, allies and internal delivery teams to maximize CSG's success in delivering well-designed programs
- Participate in relevant industry forums such as regulatory proceedings and advisory council meetings
- Monitor state energy legislation to ensure CSG's program delivery builds upon, and does not conflict with, local policies
- Coordinate CSG's regional planning efforts

2002-2005; 2006, The Massachusetts Renewable Energy Trust

*Senior Project Manager*

- Led the organization to develop, launch, and operate the successful \$68 million Commonwealth Solar Rebate Program
- Developed and launched Massachusetts' first photovoltaic program: the Solar-To-Market Initiative
- Supported local solar PV industry including PV module manufacturers, ancillary equipment suppliers and service providers
- As the agency's only LEED AP, led all efforts related to green buildings and sustainable design practices for public buildings in Massachusetts such as the Green Schools Initiative/ partnerships with agencies developing projects at courthouses, prisons, state colleges and other state owned facilities
- Served as Founding Board Member and as Technical Committee Chair for the National Collaborative for High Performance Schools

2005-2006, NSTAR Electric & Gas Corporation

*Commercial Energy Efficiency Program Manager*

1999-2002, KeySpan Energy Delivery

*Program Manager; Energy Efficiency Engineer*

1991-1999, Harris Energy Systems – International energy firm

*Associate Vice President; Project Manager*

1985-1990, GTE Sylvania Lighting Services

*Branch Manager* - Designed and implemented major lighting retrofits

1979-1984, Cambridge Alternative Power, Inc.

*General Manager*

**Education/** LEED-AP; Bentley College, Master's in Business Administration;

**Certifications** University of Massachusetts, B.S., Biological

**Andy Meyer**  
**Residential Weatherization Program Manager**  
**Efficiency Maine**  
**Augusta, ME**  
**andrew.meyer@maine.gov.com**

- 10/09-present      Weatherization Program Mgr      Efficiency Maine, Augusta, ME**
- Managing \$10MM program to weatherize 4,000 homes in two years, saving an average of 25% energy use.
  - Working with contractors to train workforce, market and administer program.
- 5/07-10/09      VP of Sustainability      Safe Handling Inc, Auburn, ME**
- Grew biofuel transportation business from \$40k/yr to \$1M/yr.
  - Developed and implemented PR plan that succeeded in achieving 900,000 impressions in 2008, including TV, radio, trade press and presentations
  - Designed, launched, and led a “Green-for-Green” program rewarding employees for energy savings ideas saving over \$85k/yr from 29 projects that cost \$19k.
- 4/05-4/07      Director of Sales      IDEXX Veterinary Div., Westbrook, ME**
- Managed 50-person, inside sales team selling veterinary diagnostics.
  - Increased sales/rep nearly 10X in 2 years, from \$35k to \$311k/rep/qtr (warranties).
  - Developed recruiting and training models used to hire 50 reps in 2 years and fully staff IDEXX’s 200-person field sales team for the 1<sup>st</sup> time in >4 years.
- 4/03-4/05      Director of Marketing      IDEXX Veterinary Div., Westbrook, ME**
- Managed P&L for global veterinary test kit line making ~50% of IDEXX’s profits.
  - Headed team responsible for coordinating R&D, operations, legal, marketing communications, regulatory, and sales functions.
  - Led growth from \$80M/yr to \$100M/yr.
- 10/93 to 4/03      Director of Marketing      IDEXX Water Div., Westbrook, ME**
- Managed global P&L, growing revenue 10X in 10 years (\$4.5M to \$46M) from start-up to world leader, generating 25% of IDEXX profits.
  - Traveled to over 30 countries assessing markets and working with local sales channels as both trainer and expert speaker.
  - Developed global marketing infrastructure and processes (e.g. focus calendars, lead tracking, tradeshow tracking and planning, literature tracking/distribution, etc.)
- 1985 to 1993      Advisory Marketing Representative      IBM, Portland, ME**
- Headed a 5-person technical sales team selling and installing over \$3 million/yr of IBM hardware, software, and services to the Maine State Government (‘87-91).
  - 1988 IBM Golden Circle Award (top 5% in the country), 6 years IBM 100% Club.
- 9/81 to 6/85      BA Chemistry      Bowdoin College, Brunswick, ME**
- Magna Cum Laude, Chemistry
  - Class President



**International**

200 Main Street  
Westbrook, ME 04092  
Tel: 207.854.8500  
Fax: 207.856.1094

email: [info@go-worldlee.com](mailto:info@go-worldlee.com)  
[www.go-worldlee.com](http://www.go-worldlee.com)

## **Catherine A. Lee**

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### *Managing Director*

### **Education**

1978: BA Barnard College, Columbia University  
1981: JD Cardozo School of Law, Yeshiva University

### **Employment**

- 1997 - present: Managing Director, Lee International Business Development LLC, Westbrook, Maine
- 2004 – Oct 2007 Partner, Gallagher, Callahan & Gartrell, Director of Legal Services for the Maine office
- 1989 - 1997: Partner, Bernstein Shur Sawyer & Nelson, Attorneys at Law, Portland, Maine
- 1984 - 1989: Associate, Bernstein Shur Sawyer & Nelson, Attorneys at Law, Portland, Maine
- 1981 - 1984: Assistant District Attorney, Kings County District Attorney's Office-Sex Crimes and Domestic Assault Bureau, Brooklyn, New York

### **Professional Registrations**

Admitted to practice law in the states of Maine, New York and in the federal courts of Maine and New York and the U.S. Supreme Court

### **Relevant U. S. Experience**

- In 2008-2009 consulting services for Maine State Housing Authority on energy efficiency carbon trading under the Voluntary Carbon Standard
- In 2007 consulting services for the California Action Registry.
- In 2007 and 2008, Lee continues to act as technical advisor to the Maine Department of Environmental Protection through NESCAUM on issues related to the Regional Greenhouse Gas Initiative and RGGI Inc, the corporation providing support services to the ten states in the USA that have created the first US cap and trade program.

- In 2006, Lee became an advisor through NESCAUM, to the State of Maine regarding development of the first emissions trading scheme in the United States. Lee works under the direction of the State of Maine Department of Environmental Protection.
- In 2004, Lee joined the regional law firm of Gallagher, Callahan & Gartrell where she acted as director of legal services for one of their three state offices. The firm specializes in regulatory work with particular expertise in energy related cases. Lee handled the firm's environmental work in Maine.
- In 1997 Lee created Lee International, a consulting firm that continues to work primarily with Brazilian and South African businesses with a focus on CDM project development. The firm's work in the US is currently focused on advisory services related to the Regional Greenhouse Gas Initiative.
- Since 1981 and prior to establishing Lee International, Lee practiced law, first as an Assistant District Attorney in New York City investigating and litigating felony cases, then in private practice in a seventy-lawyer firm in the State of Maine and later in the Maine office of a smaller regional law firm.
- As a practicing attorney, acted for municipalities, quasi-municipal entities and private sector clients with a particular focus on solid waste management, water and wastewater issues, and other environmental matters. Structured and re-structured the provision of solid waste collection, transfer, disposal and recycling services between private and public sectors. Involved in the development of policy, the drafting, lobbying, passage and implementation of legislation and regulation including new concepts in the delivery of essential services such as inter-local agreements and waste districts to allow for regionalization of services, tax increment financing to encourage new development in a city, the development of ordinances, tariff setting disputes, property valuation of environmental facilities, land use and other matters. Experience before Federal Courts, Land Use Regulation Commission, the Maine Department of Environmental Protection, the Public Utilities Commission, the Finance Authority of Maine and other state regulatory agencies. Represented public and private sector entities in environmental mediation cases involving hazardous waste, municipal waste, remediation of contaminated property. Drafted contracts in waste projects between public and private sector entities related to delivery of services, disposal of waste by-products, recycling, leachate treatment and disposal, financing, and other matters. Responsible for environmental permitting for a large landfill and two waste to energy facilities.
- From 1984-1997 involved in the Energy Practice Group (the EPG) of law firm and represented domestic and international clients on issues relating to electrical generation and distribution. Through the EPG, involved with acquisitions, power purchase agreements, plant start-ups, waste-to-energy plants, dispute resolution, environmental mediations and arbitrations and regulatory matters.
- In the 1990's chaired the law firms' Legislative Practice Group and handled the firm's advocacy work before the State Legislature and other regulatory and policy making bodies for over a decade. Drafted legislation, identified and secured sponsors for proposed legislative documents, often creating alliances between public and private sector interests in order to get new laws and policies passed. Handled media relations, market research using focus groups and other information gathering tools, acted as public spokesperson, and was generally responsible for the development of strategy in advocacy matters. Heavily involved in the drafting, adoption and implementation of the state's first general franchise law, and overhaul of the state's environmental legislation including safety, health risk and industrial standards, and many other legislative matters.

**Bio of Dale McCormick  
Director,  
MaineHousing**

In January, 2005, Dale McCormick became Director of the MaineHousing, Maine's housing finance agency and one of the state's leading mortgage lenders. MaineHousing provides decent, safe, and affordable housing for low and moderate income Maine residents through a variety of programs, which it funds primarily through the sale of its mortgage revenue bonds or through federal funds it acquires for Maine.

The director is nominated by the Governor and confirmed by the Maine Legislature.

Prior to becoming Director, Dale became the first woman to be elected Treasurer of the State of Maine in 1996. She served as Treasurer for eight years before stepping down because of Maine's term limits. As Treasurer she was very involved with corporate governance issues. She co-convened the first Institutional Investor Summit on Climate Risk at the United Nations in November 2003, and founded the National Coalition on Corporate Reform along with several other Treasurers and Controllers.

In 2006 she was appointed as a member of the Advisory Council for the Federal Home Loan Bank of Boston. She also serves on the Governor's Advisory Council for the Brunswick Naval Air Station, the Governing and Advisory Board for the Capital Area Improvement District and on the Board for LiLA, Lifetime Learning Accounts, which encourages continuing education for a lifetime.

Since becoming the Director of MaineHousing, Dale has received the following recognition:

- 2005 Green Building Leadership Award, presented by the Maine Chapter of the U.S. Green Building Council
- 2006 Crystal Vision Award, presented by the National Association of Women in Construction
- 2007 Induction into the Maine Women's Hall of Fame

Before becoming State Treasurer Dale served three terms in the Maine Senate.

In 1988, Dale founded Women Unlimited, a program that successfully trains women on welfare to compete for high-paying jobs in trade and technical occupations.

She has a BA from the University of Iowa. In 1975 Dale became the first woman to complete a carpentry apprenticeship with the carpenter's union. Following that, Dale founded her own construction and design firm and wrote two books about her experiences, *Against the Grain: A Carpentry Manual for Women*, and *Housemending: Home Repair For The Rest of Us*.

17 Cottage St. 207-582-8313  
Gardiner, ME 04345 iburnes@gmail.com

# Ian G. Burnes

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## Professional Experience

Maine Public Utilities Commission *Hallowell, Maine*  
2009-Present **Efficiency Maine Program Manager**

- Responsible for managing \$9.7 Million competitive grant program with awards between \$100,000 and \$1,000,000.

Governor's Office of Energy Independence and Security (OEIS) *Augusta, Maine*  
2007–2009 **Deputy Director of Policy and Planning**

- Managed two contracts with a technical advisor with the goal of saving energy and jobs:
  - Wrote sole source justification and negotiated contracts.
  - Managed the contractor and ensured deliverables, including site visits to businesses and five technical reports recommending investments.
- Participated in the RFP process with both the MPUC and Bureau of General Services.
- Analyzed and reported on the energy title of the American Recovery and Reinvestment Act (ARRA) for the Director of OEIS and the Governor's staff.
- Analyzed and reported on announcements of funding availability from the Department of Energy and the Treasury Department on ARRA programs.

Participated in the development of a joint application for the Energy and Carbon Savings Trust's Large Custom Projects Fund and Efficiency Maine's ARRA Impact Fund.

Coastal Conservation Association of Maine *Gardiner, Maine*  
2006–2007 **Executive Director**

- Represented CCA Maine in the state legislature.
- Served as public spokesman and press liaison, writing press releases, placing articles and editorials, and appearing on television and radio.
- Raised all the funds for a \$90,000 budget, revitalized three local chapters, recruited 13 new state board members, and increased membership by 50% in a single year.

Northern Forest Alliance *Augusta, Maine*

2003–2006 **Maine Projects Director**  
2002–2003 **Maine Outreach Coordinator**

- Managed campaign activities and crafted position papers.
- Raised \$75,000 in foundation support for Maine Caucus activities.

Served on the Maine Forest Legacy Committee, a program that has awarded more than \$10 million in grants.

North American Institute *Santa Fe, New Mexico*  
2000–2002 **Communications Director**

Organized conferences on trade and the environment, international volunteer service, and pan-American cooperation.

## Education

Wesleyan University *Middletown, Connecticut*

- B.A. in Economics, 1998

## **John R. Brautigam**

1 Knight Hill Road  
Falmouth, ME 04105  
207-671-6700

### **Summary of Leadership and Management Qualifications.**

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- Passionate advocate for energy efficiency
- Recognized statewide leadership and proven success in energy related policy
- Experienced spokesman for Efficiency Maine and the State Energy Program
- Unsurpassed knowledge of current Maine efficiency programs, operations, budget, statutes, regulations, staff and private sector partners
- Broad understanding of Maine's economic, commercial, demographic and policy landscape
- Excellent management during period of quadrupled program funding and restructuring
- Exceptional communication skills in all forums and media

### **Current Position**

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#### ***Director, Energy Programs Division, Maine Public Utilities Commission.***

- Director of Efficiency Maine with responsibility for all energy efficiency programs at the Public Utilities Commission
- Oversight of professional staff of ten and over \$60 million in energy programs and contracts
- Public spokesperson for Efficiency Maine, managing all outside contacts and presenting to organizations, conferences and businesses across the state
- Accelerated planning for over \$38 million in American Relief and Recovery Act funding
- Regular close coordination with executive and legislative leadership and state agencies and boards on all energy efficiency matters

Projects developed as Director of Energy Programs include the Home Efficiency and Weatherization Program (\$9 million); the Impact Fund Industrial Grant Program (\$9 million); the EECBG Municipal Grant Program (\$5.5 million); and numerous separate initiatives to identify and capture cost-effective energy efficiency in residential, commercial and industrial facilities in all sectors and geographic areas of Maine.

### **Legislative Service**

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***House Chair, Insurance & Financial Services Committee, Elections Committee, 123<sup>rd</sup> Legislature.*** The only second-term Representative appointed as House Committee Chair, leading Committee deliberations and managing legislation on predatory lending, insurance mandates, data breaches, insurance reform, identity theft, financial literacy, and consumer protection.

***Member, Utilities & Energy Committee, Insurance & Financial Services Committee and Ethics Committee, 122<sup>nd</sup> Legislature.***

## Legal Experience

**John Brautigam, Esq. LLC** 2004 to 2009  
Private practice and legal consulting for individual clients and national organizations.

**Assistant Attorney General, Office of the Maine Attorney General** 2000 to 2004  
Legal counsel for Maine in landmark United States Supreme Court case upholding the Maine Rx prescription drug discount law (*PhRMA v. Rowe*); lead attorney in numerous multi-state lawsuits and investigations in consumer protection, antitrust and prescription drugs matters, securing millions of dollars in compensation for Maine consumers and taxpayers; and legal counsel for Maine Department of Health and Human Services.

**Maine Citizen Leadership Fund** 1996 to 2000  
Executive Director and Legal Director of Maine non-profit public interest and public policy advocacy organization.

**United States Securities & Exchange Commission, Appellate Division** 1994 to 1996  
Appellate litigation of insider trading and securities market manipulation cases.

**Donovan, Leisure, Rogovin, Huge & Schiller** 1991 to 1994  
Extensive civil practice at national litigation firm based in Washington D.C.

## Legal Practice Areas

Antitrust	Health Insurance & ERISA
Consumer Protection	Appellate Litigation
Maine Unfair Trade Practices Act	Campaign Finance & Election Law
Medicaid/Medicare	State Administrative Procedures & Rulemaking
Energy/Environmental Law	Discovery and Civil Litigation
Constitutional Law	

## Education

**Stanford Law School, J.D., 1991** Executive Editor, *Stanford Law Review*; Member, *Stanford Environmental Law Journal*; Poverty Law Clinic; Montgomery Grant Recipient; Stanford Public Interest Law Foundation.

**Trinity College, M.A. in History, 1986** Thesis Awarded Distinction.

**Wesleyan University, B.A. in Government, 1982** Chairman, Student Honor Board; Captain Men's Track; Captain Men's Cross Country (Martin Award for Leadership and Achievement).

## Boards and Committees

Board President, Prescription Policy Choices  
Maine Health Care System and Health Security Board  
Nash Foundation  
National Institute on Money in State Politics  
National Legislative Association on Prescription Drug Prices  
NCSL Financial Services Committee  
Maine Telecommunications Infrastructure Steering Committee  
Junior Warden, St. Bartholomew's Church, Yarmouth  
National Conference of Insurance Legislators  
Governor's Committee to Study the Feasibility of the Importation of Prescription Drugs

**JOHN D. BUBIER**  
45 Western Avenue  
Biddeford, Maine 04005  
207-284-9313 - w  
207 751-0247-C  
john.bubier@gmail.com

## **PROFESSIONAL EMPLOYMENT**

### **CITY OF BIDDEFORD, MAINE**

**City Manager**  
2005- Present

Chief Executive Officer for the City of Biddeford, Maine. Biddeford is a regional service center and the 6<sup>th</sup> largest city in the State of Maine. The City is a full service community including fire/EMS, police, waste water and a small airport. The community is a regional service center with a major hospital, a liberal arts college and medical school. The city historically was home to textile manufacturing but is now being led through an economic restructuring. Biddeford has recently been named a National Trust Main Street Community. Biddeford operates on a budget of over \$60 million including schools, wastewater and municipal services.

### **CITY OF BATH, MAINE**

**City Manager**  
1997-2005

Chief Executive Officer for the City of Bath, Maine. Bath is a regional service center and home to General Dynamics Bath Iron Works, Maine's largest employer with 7000 employees. Bath accommodates an additional 5,000 support personnel daily including the Navy Supervisor of Shipbuilding. Bath's daytime population expands to nearly 25,000. Bath is a full service community with a total budget for municipal, educational and capital spending set at over \$30 million annually.

### **GREATER PORTLAND COUNCIL OF GOVERNMENTS**

**Executive Director**  
1990-1997

Chief Executive Officer of a Regional Planning Commission and Council of Governments. Responsible for regional policy development, legislative analysis and implementation in a service area of twenty-one communities including Maine's largest community Portland. GPCOGS service base has a population of nearly 300,000.

**Deputy Director GPCOG**  
1989-1990

### **THE UNIVERSITY OF SOUTHERN MAINE**

**Visiting Speaker/ Adjunct Staff**

Primary responsibilities included assisting in delivery of two courses: The American City and Intergovernmental Relations. Provided oversight for students in the hands-on project experience that showcased municipal problem solving. As part of a two person team with Dr Irving Fischer, developed and taught the American City course using both traditional political philosophy while integrating practical political and functional operational methods.

Taught a full course in The American City for Muskie Institute graduate students in 1993-94 as substitute for professor on sabbatical.

### **TOWN OF LISBON, MAINE**

**Town Manager**  
1979-1989

Chief Administrator for a full service community with a population of 13,000 an annual operating budget of nearly \$12,000,000 including schools. Primary responsibilities were to develop a plan to allow for the community to recover from near bankruptcy. Additional duties include: public and press relations, labor contract negotiations, budget preparation, management of the town water company and management of a wastewater treatment facility.

**TOWN OF BOOTHBAY, MAINE****Town Manager****1977-1979**

Chief Administrator for a community with a year-round population of 3,000 and a summer population of nearly 10,000 and an annual budget of \$1.5 million. Also acted as Code Enforcement Officer, Welfare Director, Highway Superintendent, Tax Collector and Treasurer.

**PRINCE FUNDY CRUSIES****Portland, Maine****Director of Government Liason Operations and Commercial Marketing, Lion Ferry AB****1974-1977**

Provided governmental liaison and operational management of Maine's largest marine facility; coordinated traffic with U.S. Customs and Immigrations; initiated marketing plans for an international shipping service.

**CITY OF PORTLAND, MAINE****1969-1974**

Assistant to City Manager, Special Projects

1971-1974

**PORTLAND MODEL CITIES PROGRAM**

Senior Planner

1970-1971

**WEST SIDE NEIGHBORHOOD CENTER (Portland Model Cities Program)**

Director

1969-1970

**JOHN DONNELLY AND SONS****Portland, Maine****1965-1968**

Provided multi-media marketing consultation to advertising clients having local, regional, and state markets; developed and implemented media mixes to best suit client needs.

**PROFESSIONAL ASSOCIATIONS AND CERTIFICATIONS**

Maine Service Center Coalition 2009-10 Chairman

Past President, Maine Town and City Mangers Association

Institute for Civic Leadership, Alpha Class Fellow, 1993

Past President, American Society of Public Administration, Maine Chapter

Chairman, New England Managers Institute, 1987, 1988, 1989 &amp; 1990

Past President, Maine Association of Regional Councils, 1992-1997

**PROFESSIONAL AND COMMUNITY INVOLVEMENT**

Northern New England Passenger Rail Authority 2004- Present Governors Appointment

PACTS MPO Policy Committee 2009-10 Chairman

PACTS MPO TIP Process Committee 2009-10 Chairman

Maine Commission Regional Governance and Cost Efficiency 2006 Governors Appointment

**EDUCATION**

UNIVERSITY OF MAINE UNIVERSITY OF Southern Maine

BA Government, 1969

Augusta and Portland, Maine Courses in business, economics, and public administration.

1980-1985

Graduate Education

THOMAS COLLEGE (Business)

UNIVERSITY OF MAINE (Public Administration; Education)

1985-1987

Institute for Civic Leadership Portland, Maine

Fellow

Alpha Class 1993



**Resume**  
**Peter F. Morelli AICP**  
**88 Mabel Street, Portland, Maine**  
**email Pmorelli@sacomaine.org**

**EDUCATION**

- Tufts University, 2003, Masters of Public Policy, Urban and Environmental Policy Dept.
- University of Southern Maine, 1978, B.A., English

**PROFESSIONAL EXPERIENCE**

**Development Director** (1996 to present) City of Saco, Maine

**Responsibilities:** include all planning, economic development, community development, housing, and historic preservation functions of this progressive city of 18,000

**Activities and Accomplishments:**

- Built Saco Transportation Center for Amtrak service, “America’s first green train station”
- Developed 2 industrial parks, 36 lots total
- Completed downtown plan which led to start up of local National Main Street Program
- Created innovative TIF funding mechanism and completed Main Street rehabilitation
- Obtained and administered numerous federal and state grants – CDBG, EDA, CLG, Preserve America, MITF and many others. (certified CDBG administrator)

**City Planner** (1987 to 1996) City of Saco

**Activities and Accomplishments:**

- Developed Riverfront Park
- Created community development finance corporation for local business lending
- Developed Certified Local Government historic preservation program
- Completed three year comprehensive planning and implementation effort rewriting city’s land use ordinances

**Correspondent, Portland Evening Express** (1980 – 1986)

**Reporter, (Westbrook) American Journal** (1974 - 1980)

**Synergistic Activities**

- Led Saco’s successful effort to build green Amtrak station, with geo-thermal HVAC
- Administered two federal (EDA) grants to build two industrial parks
- Administered numerous federal CDBG (HUD, state) grants, certified administrator
- Administered numerous CLG (Interior) grants

**Memberships, Activities**

American Planning Association, American Institute of Certified Planners  
Southern Maine Regional Planning Commission (current chairman)  
Biddeford Saco Economic Development Corporation (treasurer)  
Dyer Library Association/Saco Museum, Board of Trustees

# LUCILLE VAN HOOK

PO Box 285 Hallowell, ME 04347

518.788.7386 (cell)

[lucy.vanhook@gmail.com](mailto:lucy.vanhook@gmail.com)

[lvanhook@mainehousing.org](mailto:lvanhook@mainehousing.org)

## EDUCATION

- Graduated from Bowdoin College *cum laude*, Brunswick, ME, *May 2006*
- Bachelors of Art degrees in Biology with honors and Environmental Studies

## WORK EXPERIENCE

- Carbon Market Consultant, Project Manager contracted with MaineHousing, *December 2008-Present*
- Maine Conservation Corps, AmeriCorps Environmental Educator serving at MaineHousing, Augusta, ME, *January-November 2008*
- Substitute Teaching, Elementary and High School classes, NY, *2003-2007*
- Tutor for Introductory Biology, Introductory Statistics at Bowdoin College, *2003-2006*

## AWARDS

- Sarah and James Bowdoin Scholar, Bowdoin College, *2003, 2005*
- Phi Beta Kappa membership

## PAST RESEARCH/SCIENCE EXPERIENCE

- Ecological studies in Merrymeeting Bay, a freshwater tidal ecosystem. Field study of snapping turtles, with Dr. John Lichter's research team. Bowdoin College, *Summers 2004-2006*
- Kent Island field station, Bowdoin College. Completed field research on Tree Swallow population under the supervision of Dr. Nathaniel Wheelwright, *Summer 2003*

## SCHOLARSHIPS/FELLOWSHIPS

- Barry M. Goldwater Scholarship, Bowdoin College, *2005-2006*
- Doherty Fellowship to conduct undergraduate ecological research, *Summer 2005, 2006*
- Rusack Fellowship to conduct undergraduate ecological research along the coast of Maine, *Summer 2004*

## PUBLICATIONS/PRESENTATIONS

- "Carbon Markets for Landfill Gas and Waste Sector Projects: Current Status and Post-2012 Opportunities", Twelfth International Waste Management and Landfill Symposium, Sardinia Italy, *October 5-9, 2009*
- Guest lecture on carbon offsets and MaineHousing's Carbon Quantification Project at Bowdoin College, Climate Change and Energy class, Prof. DeWitt John, *April 2009*
- "Connecting Residential Energy Efficiency and Carbon Emissions Reductions" Maine Policy Review, Fall/Winter 2008, Volume 17, Number 2, p120. *March 2009*
- "The Carbon Market, The Carbon Market Project, and HFA Portfolios," Presented at the 38<sup>th</sup> Annual Conference and Tradeshow for NCSHA, Denver, CO. *October 25-28, 2008*
- "The Demography and Movement Patterns of Snapping Turtles, (*Chelydra serpentina*), in a Freshwater Tidal Wetland, Merrymeeting Bay, Maine, USA" Poster presentation at the Ecological Society of America Meeting, Memphis, TN *2006*
- "Nesting status, Size Demography and Movement Patterns of Snapping Turtles (*Chelydra serpentina*) in Merrymeeting Bay" Poster symposium, Friends of Merrymeeting Bay Research Presentation, *Fall 2005*
- "Movement Patterns of Snapping Turtles (*Chelydra serpentina*) in Merrymeeting Bay" Poster Symposium for Summer Fellowships, Bowdoin College, *Fall 2004*

**JAMES W. BOHLIG (PI)**  
335 Tamarack Lane  
Rutland Town, Vermont 05701

Education and Training

- 1980 **Columbia University**, Graduate School of Business Executive Program in Business Administration
- 1964 to 1968 **United States Naval Academy**  
Bachelor of Science in Engineering and Chemistry  
Graduated in top 15% of class. Achieved Superintendent's and Dean's lists
- 1968-1974 **Lieutenant, U.S. Navy Nuclear Program**  
Selected for engineering and instructor duty at the A1W nuclear prototype for the USS Enterprise. Certified by Naval Reactors Division of the AEC as Engineering Officer. Qualified in submarines aboard USS Gato (SSN-615).

Professional Experience

**CASELLA WASTE SYSTEMS, INC.** Rutland, Vermont

- January 2008 to Present **Chief Development Officer; President Casella Renewable Group; Director**  
Chief Development Officer leading Casella's Strategic shift to Resource Optimization which is principally focused on developing Zero Waste Carbon Negative solutions recovering Recyclable and Renewable Energy from waste material.
- Principle innovator of Strategic Plan and advocator to CEO & BOD
  - Key driving force behind technology selection and Intellectual Property
  - Principal Senior Operating Officer for 5 LGC Renewable Energy Projects totaling 25MW; 2 million ton/ \$100 million/yr Recycling Commodity Business; and \$140 million/yr Renewable Cellulose Insulation Business with 70% National Market Share
- July 2001 to Jan 2008 **President and Chief Operating Officer; Chief Development Officer; Director**  
Principal Operating and Development Officer overseeing growth from \$100 million to \$600 million/yr and EBITDA in excess of \$100 million.
- Directly supervised all operating business platforms
  - Developed over 65 Million yds of Landfill capacity in New England
  - Principal architect in the formation and initial strategic growth in USGF
  - Principal sponsor and developer behind Company's Strategic Planning Process, Introduction of Intellectual Property and cultural change embracing Innovation/technology as a key driver to new Waste solutions concepts
- 1992 to July 2001 **Chief Operating Officer; Chief Development Officer; Director**  
Chief Strategic Operating Officer overseeing the growth and development of Casella Waste Systems into a "significant" regional integrated solid waste management company operating in New York, Vermont, New Hampshire, Massachusetts and Maine.
- Principal architect in 3 consecutive Private Equity efforts raising over \$20M
  - Directly supervised the growth of the Company from \$10 million to over \$100 million/year revenue
  - Major contributor to the creation of a dominant provider of integrated solid waste services in rural New England

**JOHN A. RUSSELL CORPORATION**

- 1989 to 1992 **Chief Operation Officer & Executive Vice President**

Responsible for daily management of this \$20 million general contractor and developer, including project development, estimating, project management, field construction, corporate administration and personnel.

- Established productivity and performance program that increased average productivity per job by 16%
- Instituted MC<sup>2</sup> cost estimating and project management program

#### **MERIDIAN DEVELOPMENT CORPORATION**

##### **President**

A coincident responsibility with Russell Corporation entailed managing this separate, but significant development business focused on generating alternate energy projects.

- Purchased \$40 million bankrupt resource recovery project for \$3 million
- Created Vermont Integrated Waste Solutions (VIWS) to promote an integrated waste management system in Vermont.

#### **WESTINGHOUSE ELECTRIC CORPORATION**

1974 to 1989

1986 to 1989

##### **Manager, Project Operations, Resource Energy Systems Division**

Responsible for all division costing, design, construction and plant operating contracts.

- Developed, managed and completed over \$210 million of waste-to-energy and cogeneration facilities
- Managed over \$600 million in division backlog
- Project completed/in operation represented over \$43 million in operating profits

1984 to 1986

##### **Manager, Municipal/Hazardous Waste Programs, Waste Technology Services Division**

Managed development, commercialization and implementation of all Westinghouse waste-to-energy business.

- Extraordinary product line growth resulted in formation of Resource Energy Systems Division
- Key responsibilities included strategic planning, commercial pricing/policy, implementation and technology development for Resource Recovery projects
- During first 18 months realized sales in excess of \$58 million

1981 to 1984

##### **Project Director, Kori II Nuclear Plant, Nuclear Operations Division**

Located in Seoul, South Korea, as Senior Westinghouse Manager for \$2.2 billion turnkey project. Responsible for all engineering, construction, start-up and customer relations associated with this 600 MW project.

- Senior management responsibility for over 560 engineers and managers located in Korea, Britain and United States

1979 to 1981

##### **Manager, Operations Support, Nuclear Operations Division**

Directed all centralized support operations for four turnkey nuclear power projects located in Europe, Asia and Latin America including proposal development, pricing, commercial policy functions, risk management, cash flow management, and the development of consortium and joint venture arrangements.

1974 to 1979

##### **Manager, Engineering Korean Nuclear Units I and II**

Managed all engineering, design, scheduling, and material supply activities for two 600 MW turnkey nuclear power plants with contracts valued at over \$750 million.

**BRIAN G. OLIVER, CIA, MSA**  
10 Dunn Estates Drive  
Scarborough, ME 04074

**Education and Training**

- 1999                   **Saint Michael's College, M.S.A.**  
Program: Administration with a specialization in Planning and Control, including financial and strategic planning.
- 1983                   **Bryant College of Business Administration, B.S.**  
Major: Business Administration; Minor: Accounting.

**Professional Experience**

**Casella Waste Systems, Inc.**

Saco, Maine

1996 to present

**Regional Controller / Regional Vice President**

Manage fiscal affairs for Eastern Region, involving 30 divisions in 3 states, for company providing integrated waste management solutions for communities in VT, NH, ME, upstate NY and northern PA. Provide financial planning consultation to senior management and lead staff of 14 controllers, 12 general managers and 7 support staff to generate financial reporting, ensure internal controls, and facilitate business development. Select, supervise, train, and evaluate staff.

**Budgeting and Reporting**

Perform financial analyses and assist with strategic planning, focusing on cost effective use of corporate resources and appropriate growth in revenue. Complete revenue and earnings projections. Prepare, review, and control budget, including implementing action plans to mitigate budget variances. Oversee cash management and prepare monthly close, quarterly, and annual reports.

- Created and implemented company policies, procedures, and internal controls, consistent with generally accepted accounting principles, to maintain integrity for revenues which increased rapidly from \$25M to \$250M.
- Maximized profits, exceeding budgeted internal growth in each of the past 11 years. Results achieved through formulating pricing models focusing on incremental growth, vertical integration of operations, development of routing/disposal infrastructure, and improvements in personnel selection and retention.
- Formulated and implemented operating/accounting plan to liberate \$13 million in restricted cash to pay down corporate debt.
- Achieved excess in free cash flow budget each fiscal year through working capital improvements, profit maximization and reductions in capital spending.
- Reduced regional accounts receivable from 20% to under 3%. Results achieved through implementing improvements in credit policies, formulation of incentive plans, and use of outside collection agencies.
- Introduced work place initiatives, reducing employee turnover percentage by more than 37% through Fiscal Year 2009. Results achieved through improvements in hiring, training, and compensation practices.

**Business Development**

Collaborate with management in regional business planning to develop new markets, densify existing markets, and maximize profitability. Evaluate potential

acquisitions and divestitures, including completing proformas and due diligence examinations. Handle related negotiations, involving coordinating approval process with local, state, and federal governments.

- Negotiated, closed on contracts, and integrated financial functions, information systems, and operations for 4 landfill and 30 hauling and recycling acquisitions.
- Negotiated 2 landfill expansions, 3 transfer station permit increases, and 1 new transfer station.
- Negotiated 5 Host Community Benefit Agreements.

**S-K-I Ltd.**

Killington, Vermont

1987-1990 and 1993-1996

**Senior Internal Auditor**

Directed internal audit function and provided financial planning consultation for company operating major ski resorts. Led team of 3 auditors to plan, manage, and perform financial, information system, and operational audits for revenues of up to \$100M. Completed financial analyses, evaluating integrity of internal controls and formulating recommendations to alleviate weaknesses and inefficiencies. Evaluated potential mergers and acquisitions, including completing proformas and due diligence examinations. Provided consultation on system and product development to ensure value and appropriate internal controls.

**Alderman's Chevrolet**

Rutland, Vermont

1986-1987

**Business Manager**

Oversaw business affairs for large volume vehicle dealership. Sold financing, insurance, and extended service agreements, including advising customers as to contractual and regulatory terms. Developed and maintained accounting system to record and track sales data.

- Enhanced dealership profitability through increasing annual contractual sales revenue from \$50K to 500K.
- Introduced management information systems to generate sales aids, formulate customer payment information, and prepare associated contracts.

**Bass Shoe Outlet**

Rutland, Vermont

1984-1986

**Manager**

Directed operations of high volume chain retail store. Oversaw customer relations, merchandising, inventory control, advertising, cash management, and human resources. Emphasized excellence in service and monitored current regional fashion trends to meet needs of customers and build profitability. Prepared financial reports for corporate management. Selected, trained, supervised, and evaluated 10 associates.

**Synergistic Activities**

Participate in ongoing program of professional development to improve qualifications and maintain status as Certified Internal Auditor.

Certified Internal Auditor, November 1994

Vermont State Certified Toolmaker, April 1993

**KENNETH W. ROBBINS, PE**

26 Sewall Road  
Portsmouth, NH 03801

**Education and Training**

- 1981                    **Rensselaer Polytechnic Institute, M.S.M.E.**  
Program: Masters Degree in Mechanical Engineering
- 1978                    **University of New Hampshire, B.S.**  
Major: Mechanical Engineering.

**Professional Experience**

**Maine Energy Recovery Company**

Biddeford, Maine

1997 to present

**General Manager**

Responsible for overall management of a 22MW waste to energy facility. The facility employs 80 people and processes approximately 290,000 tons of Municipal Solid Waste (MSW) per year. Management responsibilities include fiscal oversight, operations and maintenance oversight, environmental and safety management, public relations, political activities, human resources, and union relations.

**KTI Operations**

Saco, Maine

1991 to 1996

**Director of Technical Services**

Provided engineering services for KTI's operating companies: Maine Energy Recovery Company; Penobscot Energy Recovery Company (25 MW waste to energy facility), and KTI BioFuels (waste wood processing facility). Performed engineering due diligence for KTI's major acquisitions including additional powerplants (wood fired and tire fired) and recycling companies.

**KTI Energy**

Saco, Maine

1988 to 1991

**Application Engineer**

Performed project development work on various waste to energy projects in the US and abroad. Work consisted of developing project proformas, project management systems, and working with vendors for both engineering and permitting activities.

**Stone and Webster**

Boston, Massachusetts

1983 to 1988

**Mechanical Engineer**

Work in the Heat Balance Group consisted of performing engineering performance analyses of various powerplant systems. Most work involved thermodynamic, heat transfer and fluid flow calculations. Work in the Plant Services Group involved traveling to operating facilities to inspect various systems. Continued with engineering analyses of powerplant systems.

**Pratt and Whitney**

East Hartford, Connecticut

1978 to 1983

**Research Engineer**

Worked in the Acoustics Research Group which modeled atmospheric effects on noise propagation. Specifically developed a model which calculated the effect that vortices shed from wingtips had on noise propagation. Worked on modeling the effect that various ground surfaces have on noise measurements.

*Synergistic Activities*

Registered Professional Engineer, NH

Participates in various programs related to waste to energy issues as required to maintain NH PE license.

Participated in ASME's 2009 Leadership Technology Conference in Los Angeles

Two term president of Maine's Renewable Energy Association (formerly IEPM)

Margaret N. (Peggy) Daigle, City Manager  
City of Old Town  
265 Main Street  
Old Town, Maine 04468

**Professional Experience**

City of Old Town, Maine  
September 2004 to present      City Manager  
Town of Houlton, Maine  
July 2001 to August 2004      Town Manager  
Town of East Millinocket, Maine  
May 1995 to December 1999      Town Administrator  
Town of Enfield, Maine  
March 1991 to May 1995      Town Manager  
Town of Patten, Maine  
January 1990 to March 1991      Town Manager

**Synergistic Activities**

**Past Memberships**

Past President of Maine Municipal Association      1999  
Director, Southern Aroostook Development Corporation 2001-2004  
Director, Northern Maine Development Commission      2001-2004  
Member, Maine Town and City Managers Association      1998 to 2000  
Member, Job Opportunity Zone Commission      1987  
Member, Maine Economic Development Task Force      1987

**Current Memberships**

Eastern Maine Development Corporation, Finance Committee Member  
Mobilize Maine Initiative, Member  
Bangor Area Broadband Committee  
University of Maine Advisory Committee-Public Administration 1997 to present  
Bangor Target Area Development Corporation Board of Directors  
Bangor Target Area Development Corporation Investment Committee Member  
Bangor Regional Development Alliance Board of Directors  
Maine Solid Waste Task Force-2005-06  
Maine Rural Partners, Board of Directors

**Peter B. Mills**  
Citizens Energy Corporation  
88 Black Falcon Avenue  
Boston, MA 02210

**Education**

1996 **Boston University, Boston, MA**  
M.A. Energy and Environmental Policy  
1987 **Middlebury College, Middlebury, VT**  
B.A, Political Science

**Professional Background**

**Citizens Enterprises**

Boston, MA

2008 to present

**Manager – Energy Ventures**

Develop and manage energy efficiency, resource conservation and sustainability consulting projects providing services to private clients in the institutional, commercial, public/municipal sections. Renewable energy project development and management.

**City of Somerville**

Somerville, MA

2006 to 2008

**Office of Sustainability & Environment**

Founded and led the City's Office of Environment. Reporting to Mayor, managed procurement and implementation of a \$7.5 million energy efficiency and resource conservation project involving 16 municipal buildings and schools. Authored City's first Environmental Strategic Plan, which defined sustainability goals and objectives across all functional areas of government.

**RhumbLine Consulting Group**

Milton, MA

2001 to 2006

**Founder and Principal**

Strategic planning and market evaluation services to private clients in the following business areas; recycling and materials recovery, renewable generation, energy efficiency, retail energy markets and wireless applications development.

**Essential .com, Inc.**

Burlington, MA

1999 to 2001

**Director of Regulatory Affairs**

**Massachusetts Dept. of Telecom and Energy**

Boston, MA

1996 to 1999

**Analyst / Regional Planner**

**Woods Hole Oceanographic Institution**

Woods Hole, MA

1989 to 1994

**Technical Staff Researcher – Dept. of Geology & Geophysics**

**The Walton Group**

Wellesley Hills, MA

1987 to 1989

**Technical Writer / Product Manager**

**JOSEPH S. FITZPATRICK**  
43 Derby Lane  
Tyngsboro, Massachusetts 01879

**EDUCATION**

B.A., Boston College  
J.D., Suffolk University Law School

**EXPERIENCE**

- 2002-2009**                    **Consultant, Citizens Energy Corporation**  
**Chief Executive -DG CLEAN POWER LLC**  
Responsible for the development and permitting of the 350mw Billerica Energy Center consisting of six 58MW Rolls Royce Trent 60 gas turbine power projects and the repowering of the 72MW Lenergia combined cycle power plant.
- 1995-2002**                    **Senior Vice President - Chief Development Officer,**  
**American National Power (ANP)**  
Responsible for the development of approximately 8,000 MW of new gas-fired combined cycle generating projects in Massachusetts, New York, and Texas for independent power producer ANP, the US subsidiary of International Power ("IPR"). Served on the original state sponsored panel on deregulation in 1995-96 in Massachusetts as well as representing the company on all regulatory matters in the Northeast.
- 1982-1995**                    **President – EUA Cogenex**  
Founder and President of one of the largest energy services companies in the United States with 1,000 customers nationwide. Cogenex grew to a \$250mm asset level with \$80mm in sales and earnings of \$5mm. (EUA Cogenex was established as a subsidiary of Citizens Energy in 1982.)
- 1979-1982**                    **Secretary of Energy, Commonwealth of Massachusetts**  
Responsible for the overall policy and management of a 150 person state agency and a member of the Governor's cabinet. Initiated new state programs in conservation and renewable energy and emergency preparedness.
- 1978-1979**                    **Manager, Government Relations, Massachusetts,**  
**General Electric Company**  
Responsible for the overall lobbying and public affairs effort in the State.

Married to the former Mary Ellen Pollard for thirty nine years with two children, Matthew and Erin, and two grandchildren, Kailee and Nicole. Served as member of the Lowell City Council from 1988-1990.

**JOHN D. BUBIER**  
**29 Portland Street**  
**Yarmouth, Maine 04096**  
**207-846-1515-H**  
**207 751-0247-C**  
**john.bubier@gmail.com**

**EDUCATION**

1969 **University of Southern Maine**  
B.A., Government  
1980-1985 **University of Maine, Augusta and Portland**  
Courses in business, economics and public administration

***Graduate Education***

THOMAS COLLEGE (Business)  
UNIVERSITY OF MAINE (Public Administration; Education)  
1985-1987  
Institute for Civic Leadership Portland, Maine  
Fellow  
Alpha Class  
1993

**PROFESSIONAL EMPLOYMENT**

**CITY OF BIDDEFORD, MAINE**

**2005 to Present** **City Manager**  
Chief Executive Officer for the City of Biddeford, Maine. Biddeford is a regional service center and the 6<sup>th</sup> largest city in the State of Maine. The City is a full service community including fire/EMS, police, waste water and a small airport. The community is a regional service center with a major hospital, a liberal arts college and medical school. The city historically was home to textile manufacturing but is now being led through an economic restructuring. Biddeford has recently been named a National Trust Main Street Community. Biddeford operates on a budget of over \$60 million including schools, wastewater and municipal services.

**CITY OF BATH, MAINE**

**1997-2005** **City Manager**  
Chief Executive Officer for the City of Bath, Maine. Bath is a regional service center and home to General Dynamics Bath Iron Works, Maine's largest employer with 7000 employees. Bath accommodates an additional 5,000 support personnel daily including the Navy Supervisor of Shipbuilding. Bath's daytime population expands to nearly 25,000. Bath is a full service community with a total budget for municipal, educational and capital spending set at over \$30 million annually.

**GREATER PORTLAND COUNCIL OF GOVERNMENTS**

**1990-1997** **Executive Director**  
Chief Executive Officer of a Regional Planning Commission and Council of Governments. Responsible for regional policy development, legislative analysis and implementation in a service area of twenty-one communities including Maines largest community Portland. GPCOGS service base has a population of nearly 300,000.

**GPCOG**

1989-1990

**Deputy Director**

The position required oversight of all day-to-day operations including financial, budgeting and personnel. The GPCOG operates a joint service division, a community planning division, a data service department, an environmental management department, and a full-scale mapping and printing cooperative. GPCOG's current mission is to implement a state mandated comprehensive planning strategy and to develop a regional plan for the future.

**THE UNIVERSITY OF SOUTHERN MAINE**

**Visiting Speaker/ Adjunct Staff**

Primary responsibilities included assisting in delivery of two courses: The American City and Intergovernmental Relations. Provided oversight for students in the hands-on project experience that showcased municipal problem solving. As part of a two person team with Dr Irving Fischer, developed and taught the American City course using both traditional political philosophy while integrating practical political and functional operational methods.

Taught a full course in The American City for Muskie Institute graduate students in 1993-94 as substitute for professor on sabbatical.

**TOWN OF LISBON, MAINE**

1979-1989

**Town Manager**

Chief Administrator for a full service community with a population of 13,000 an annual operating budget of nearly \$12,000,000 including schools. Primary responsibilities were to develop a plan to allow for the community to recover from near bankruptcy. Additional duties include: public and press relations, labor contract negotiations, budget preparation, management of the town water company and management of a wastewater treatment facility.

**TOWN OF BOOTHBAY, MAINE**

1977-1979

**Town Manager**

Chief Administrator for a community with a year-round population of 3,000 and a summer population of nearly 10,000 and an annual budget of \$1.5 million. Also acted as Code Enforcement Officer, Welfare Director, Highway Superintendent, Tax Collector and Treasurer.

**PRINCE FUNDY CRUSIES**

**Portland, Maine**

1974-1977

**Director of Government Liason Operations and Commercial Marketing, Lion Ferry AB**

Provided governmental liaison and operational management of Maine's largest marine facility; coordinated traffic with U.S. Customs and Immigrations; initiated marketing plans for an international shipping service.

**CITY OF PORTLAND, MAINE**

1969-1974

1971 to 1974

**Assistant to City Manager, Special Projects**

Worked under the direct control of the City Manager on projects for industrial and commercial development; land acquisitions for municipal use; development of a foreign trade zone; authoring of grant applications; managed research on intermodal transportation; coordinated designing and development of industrial and business parks.

**PORTLAND MODEL CITIES PROGRAM**

1970-1971

**Senior Planner**

Plan, design, and implement programs involving employment and job training, economic growth and housing.

**WEST SIDE NEIGHBORHOOD CENTER (Portland Model Cities Program)**

1969-1970

**Director**

Directed efforts to effect positive change in Portland's most economically disadvantaged neighborhood. Promoted better information to produce better understanding of issues. Developed issues and caused solutions to be initiated.

**JOHN DONNELLY AND SONS**

Portland, Maine

1965-1968

Provided multi-media marketing consultation to advertising clients having local, regional, and state markets; developed and implemented media mixes to best suit client needs.

**PROFESSIONAL ASSOCIATIONS AND CERTIFICATIONS**

Maine Service Center Coalition 2009-10 Chairman

Past President, Maine Town and City Managers Association

Institute for Civic Leadership, Alpha Class Fellow, 1993

Past President, American Society of Public Administration, Maine Chapter

Chairman, New England Managers Institute, 1987, 1988, 1989 & 1990

Past President, Maine Association of Regional Councils, 1992-1997

**PROFESSIONAL AND COMMUNITY INVOLVEMENT**

Northern New England Passenger Rail Authority 2004- Present Governors Appointment

Maine Service Center Community Board of Directors 2003-

PACTS MPO Policy Committee 2009-10 Chairman

PACTS MPO TIP Process Committee 2009-10 Chairman

Maine Commission Regional Governance and Cost Efficiency 2006 Governors Appointment

Board of Directors Biddeford City Theater 2007-Present

PACTS Transit Subcommittee 2005-

Biddeford Regional Transit Committee Vice Chair 2005-

Biddeford Saco Chamber of Commerce Board of Directors 2005-

MMA Policy Committee Sub Committee on Transportation 2005-

MMA Policy Committee Sub Committee on Taxation 2005-

Advisory Committee Grow Smart Maine 2005-

Midcoast Center for Higher Education BOD 2000-2005

ICMA 2000 Planning Committee

Midcoast Business Development Commission MCCOG 1997-2005

Maine Municipal Association Legislative Policy Committee

Past Member, ICMA Committee on Regional Governance

Casco Bay Estuary Committee

Governor's Recycling Advisory Council

## **RICHARD R. MICHAUD**

### **EDUCATION:**

MASTER OF PUBLIC ADMINISTRATION (1977) - University of Maine  
BACHELOR OF ARTS, POLITICAL SCIENCE (1975) - University of Maine  
DALE CARNEGIE COURSE (1998)

### **PROFESSIONAL EXPERIENCE:**

CITY ADMINISTRATOR (1999 To present) – City of Saco, ME

CITY MANAGER (1996 to 1999) - City of Rockland, Rockland, ME

TOWN MANAGER (1982 to 1996) - Town of Madison, Madison, ME

COMMUNITY DEVELOPMENT DIRECTOR (1979 to 1982) - Town of Houlton, ME

COMMUNITY DEVELOPMENT COORDINATOR (1978 TO 1979) - Town of Eagle Lake, Eagle Lake, ME

### **PROFESSIONAL MEMBERSHIPS AND VOLUNTEER EXPERIENCE:**

- International City Management Association Member (since 1985).
- Maine Town and City Management Association Member (since 1985), President (1994).
- Biddeford Saco Elks Lodge Member.
- Biddeford - Saco Chamber of Commerce Board of Directors
- Maine Municipal Employee Health Trustee (1988 to 1996), Vice Chairman (1992 to 1996), (reelected in 1998 to 2001).
- Moderator for Annual Town Meetings in Towns of Anson, Embden, Norridgewock, and Solon and for Annual Meeting of Maine School Administrative District No. 74.
- Biddeford, Saco, Old Orchard Beach Transit Committee member 2004 to 2006.
- Southern Maine Medical Center Board of Corporators member since 2003.
- Eastern Trail Management District 2003 to 2005, Chair
- Portland Area Comprehensive Transportation Committee (PACTS) member since 2002, Chair of Policy Committee 2006
- Maine Service Center Coalition executive board member since 2001, secretary/treasurer since 2007.

**PUBLICATIONS:** co-author "*The Manager Plan in Maine*", (1993)

## **Susan B. Inches**

346 ROYAL ROAD \* NORTH YARMOUTH \* MAINE 04097  
207-846-4405 \* sue.inches@maine.gov

### **CAREER SUMMARY**

- Twenty-five years experience developing policy, building partnerships, leading change
- Senior management experience, focusing on policy and strategy
- Excellent and experienced communicator, marketer and promoter
- MBA, University of NH, 1993.

### **CAREER HIGHLIGHTS**

#### **2004-Present: Deputy Director, Maine State Planning Office, Augusta ME**

- Co-manage 50 person state agency that provides policy analysis, research, and municipal assistance
- Design public engagement processes, conduct research, draft legislation, build coalitions and lobby for statutory changes.
- Leader on policy initiatives including: Developed and passed legislation establishing Uniform Statewide Building and Energy Codes; led year long change process resulting in revising Growth Management Act in statute and in rule; chaired Governor's Task Force on Solid Waste; designed communication strategy and lobbied for Quality of Place legislation; passed legislation establishing an Endangered Building Fund.
- Wrote Gov's omnibus energy bill and transition plan establishing Efficiency Maine Trust, bill passed in 2009.
- Board Member, Maine Technology Institute (R&D grant-making for start up companies)
- Vice-Chair, Coastal Enterprises, Inc. (Community Development Finance Institute)

#### **1997-2004: Director, Industry Development, Dept of Marine Resources, Augusta, ME**

- Developed and directed programs to support Maine's fishing, aquaculture and seafood processing industries.
- Distributed and managed \$6m in unrestricted federal funds for Maine fisheries
- Managed five agencies under contract to implement programs
- Founding member, Working Waterfront Coalition. Coalition passed legislation establishing current use taxation and bond funding to support Maine's working waterfronts.

#### **1993-1997: Independent Consultant, North Yarmouth, ME**

- Facilitated strategic planning retreats, consensus building and focus groups for clients including Bates College, Portland Public Library, Maine Children's Alliance, etc.
- Taught graduate level marketing courses at Antioch New England Graduate School, Portsmouth, NH.

**1987-1993: Marketing and Community Development Specialist, Hannaford Bros. Co., Scarborough, ME**

- Designed community development program for multi-state region
- Designed and executed multi-media promotions for supermarkets

**1980-1984: Marketing Director, Maine Audubon, Falmouth, ME**

- Founded the Store at Maine Audubon
- Organized fund raising events

**PERSONAL STRENGTHS**

- Highly creative, can identify opportunities, often able to find solutions when others cannot
- Outstanding oral and written communication skills, can articulate complex ideas clearly
- Recognized for developing positive relationships and for collaborative leadership skill
- Excellent organizational skills, can lead multiple initiatives simultaneously
- Able to build trust, sell ideas and move people forward, even in a partisan environment
- Tenacious commitment to achieving goals

**EDUCATION AND TRAINING**

- MBA, Whittemore School of Business and Economics  
University of New Hampshire, 1993
- BA, Human Ecology, College of the Atlantic, 1979
- Certificate in Facilitation, University of Southern Maine, 1994
- Institute for Civic Leadership Certificate, 2002

**CURRENT CIVIC LEADERSHIP**

- Board Member, Maine Technology Institute
- Vice Chair, Coastal Enterprises, Inc.
- Deacon, First Parish Church, Yarmouth
- Chair, Tidebrook Conservation Trust

**References supplied on request.**

*Resume for Timothy J. Vrabel*  
*3 Cedar Lane*  
*Bath, Maine 04530*  
*Ph: (207) 443-2628 e-mail: [vrabetb@yahoo.com](mailto:vrabetb@yahoo.com)*

*Professional Experience and Accomplishments*

- **Deputy Director, Energy Division, MPUC:** Responsible for critical input on policy design, presentations before the legislature, managing the marketing and department budget, supervising staff, directing day-to-day operations of programs, and preparing publications and reports.
- **Assistant Vice President, Business Banking Officer, Bangor Savings Bank:** Responsible for new market development in Augusta and Lewiston-Auburn, loan portfolio, lending responsibility and staff management.
- **CMP and E/PRO Engineering:** Represented E/PRO Engineering and Environmental Consulting as their sole business development person in the northeast USA. While at CMP, established lasting relationships at state, regional, and local levels among municipalities and businesses. Initiated and implemented the statewide partnership and transition of CMP's economic development real estate database to a web-based system now named "*Maine Business Works*". Received CMP *Top Performer* award.
- **Supervisor of Community Relations:** Represented CMP at public hearings for key project issues. Developed communication and action plans for key policy issues, tracking progress and reporting results to top management. Initiated internal and external interpersonal networks to optimize my knowledge of the company and the people employed there. Prepared press releases, newsletters, articles and brochures for internal and external audiences. Represented CMP at public meetings and in the Maine legislature on various topics and activities.
- **Manager of Key Accounts:** Managed a team of twelve professionals with responsibility to provide exceptional service among CMP's key industrial accounts. In my two years as manager, we doubled our team goals. Earlier, as an account manager, I had personal responsibility for 28 of CMP's largest industrial customers and managed contractual, sales, and service aspects of these accounts while participating as a member of a leading-edge self-directed work team.
- **Planner/ Energy Resources Advisor:** Administered residential building standards and determined compliance for architects, engineers, builders, and municipal officials for the Maine Office of Energy Resources. Provided technical assistance to the general public concerning energy-efficient construction and appropriate technologies throughout Maine. Implemented conservation programs, led team initiatives and maintained high level of public involvement in many areas of the state. Presented an infra-red research paper at international conference, and developed energy-related public programs including curriculum. Extensive public speaking experience, and provided training services for community organizations.

*Employment History*

**Maine Public Utilities Commission, Energy Division,** Augusta, Maine  
2007 to present, Deputy Director of Energy Programs Division

**Bangor Savings Bank:**

*Resume for Timothy J. Vrabel*

*3 Cedar Lane*

*Bath, Maine 04530*

*Ph: (207) 443-2628 e-mail: [vrabetb@yahoo.com](mailto:vrabetb@yahoo.com)*

2004-2007

Manager, Asst. VP, Business Banking

E/PRO Engineering & Environmental Consulting, LLC, Augusta, Maine

2001 -2004

Manager, Business Development

Central Maine Power Company, Augusta, Maine

1987 - 2001

Manager, Business Development

Manager Key Accounts

Account Manager

Supervisor of Community Relations

Energy Services Advisor

Maine Office of Energy Resources, Aroostook County, Western Maine, and Augusta

1982 - 1987

Building Standards Coordinator, Solar Planner

Energy Conservation Specialist

Pre-1987

Consultant, high school teacher, builder

*Education*

- Masters of Science in Business; Husson College, Bangor, Maine
- B.A., English, German minor; Lake Forest College, Illinois
- Public Policy and Management; University of Southern Maine Graduate Program (one year completed toward masters degree)
- Governmental Relations, Teaching Methods, University of Maine at Presque Isle
- Numerous practical, technical, and academic courses taken at additional universities and colleges. (Course list provided upon request)

*Affiliations*

- Board of Directors, E2 Tech, Portland, Maine (new member)
- Project Review Board, Maine Technology Institute (8 years)
- Board of Directors (past chair), Camp Kawanhee for Boys, Weld (10 years)
- Board of Directors (past member), Center for Environmental Enterprise, (8 years)
- Past member and Chair, City of Bath Planning Board (10 years)
- Notary Public (current)

### **Project Summary/Abstract**

The Maine Public Utilities Commission Energy Programs Division in partnership with MaineHousing are pleased to present this Retrofit Ramp-up proposal on behalf of the State of Maine. Project Directors are Dale McCormick, Director of Maine Housing and John Brautigam, Director, Energy Programs, Maine Public Utilities Commission. The title of the project is the *Maine Home Performance Program*.

This project builds on Maine's existing home weatherization programs, and puts the pieces in place to establish a national model for weatherizing homes in rural states. The project is based on three game changing elements that will multiply the impact of state and local weatherization programs in Maine:

#### **1. Financing Options That Draw On Strong Partnerships**

Grant funds will be used to establish a revolving loan fund that is accessible to partnering cities and towns that want to establish PACE programs, to individuals who want to take out a conventional loan to retrofit their home, and to oil dealers and utilities that wish to establish on-bill financing programs. By using grant funds to seed a revolving loan fund, Maine will achieve economies of scale and be able to offer multiple financing options to the homeowner with no upfront cost.

#### **2. Sustainability**

A key to our long term sustainability strategy is the capacity to accurately document energy savings so as to educate homeowners and investors about the financial advantages of retrofitting. Grant funds will be used to enhance our ability to capture, aggregate and report on financial performance, energy savings and carbon savings. Private investors, whether participating through bonds or equity financing, will be induced to invest once they see documented, verifiable information about the performance of the retrofit program over several years. Once this track record has been established, we anticipate funding the Maine Home Performance Program with bond funds beginning in year 3 of the program.

#### **3. A Carbon Market-Ready Program:**

A final game changing concept is to capture carbon emission savings through our *Methodology for the Weatherization of Single and Multi-Family Buildings* and ECOS, the system of record for Carbon and Carbon savings related data. We have worked over the past several years to build the carbon quantification methodology, infrastructure and understanding to participate in the carbon market. It is no exaggeration to say that Maine stands alone as a leader in the effort to prepare states for the future role of carbon in our energy efficiency economy.

### **Project Outcomes**

In addition to developing a sustainable and replicable model for weatherizing homes, the Maine Home Performance Program will retrofit 12,000 homes over the course of the three year grant. Supported by private financing, an additional 4000 homes will be retrofitted each year after the grant expires, until our statutory goal of *weatherizing all homes and 50% of businesses by 2030* is reached.

## **I. Executive Summary**

The Maine Public Utilities Commission Energy Programs Division in partnership with MaineHousing is pleased to present this Retrofit Ramp-up proposal on behalf of the State of Maine. This grant will allow us to significantly accelerate our weatherization programs and help us achieve the goal announced by the Governor of Maine and affirmed by the State Legislature of *weatherizing all homes and 50% of businesses by 2030.*

### **Maine Has Already Established The Foundation For The Retrofit Ramp-Up.**

Two of the most significant barriers to homeowner participation in retrofit programs are homeowner inconvenience and upfront cost to the homeowner. To complete a retrofit a homeowner must arrange an audit; identify a contractor; make several appointments; choose among confusing retrofit possibilities; and then identify funding to pay for it all. And despite convincing evidence, a homeowner also faces uncertainty about whether the investment in all these steps will pay off in the energy savings as projected.

Driven by the most acute home heating efficiency needs in the country, Maine has already analyzed these barriers and created solutions. Our Maine Home Performance Program, launched on December 1, 2009, offers a one-stop-shopping approach to delivering a cost effective audit/retrofit program. Partnering with national leader Conservation Services Group (CSG), this program is on track to deliver 25% annual energy savings in a number of Maine residences in 2010 and 2011.

Maine is also leading the nation in other initiatives recognized by efficiency policy experts as crucial for long term success:

- Maine was one of the first states to enact mandatory building and energy codes for new structures, taking effect in June, 2010.
- In 2009 the Legislature directed the Public Utilities Commission to establish building energy standards for existing structures and to promote building ratings – another nation-leading initiative.
- Maine also established a 2009 task force to thoroughly examine “on-bill financing” as a tool for delivering energy efficiency, with a report due shortly that will include strong recommendations from participating agencies and supportive utilities in the State.
- Maine is the first state to require green building standards in all new affordable multi-family housing.
- MaineHousing has taken the lead in developing a system to capture and aggregate carbon savings from weatherizing low income homes.

Finally, the Retrofit Ramp-up weatherization goals cannot be separated from the twin objective of creating good jobs that will last into the future. Maine has years of experience developing the retrofit profession, both through MaineHousing’s low income weatherization programs and through Efficiency Maine’s Maine Home Performance program. The workforce, agencies and entrepreneurial community have organized themselves into a strong professional association supporting individual participants and working closely with the State. The Community Colleges and Maine Department of Labor are deeply supportive. In short, Maine is on course to ensure that a major benefit of the Retrofit Ramp-up is sustainable workforce development that provides high quality jobs in the building analysis and retrofit sectors.

## **Three Game-Changing Elements That Will Multiply The Impact Of State Weatherization Programs In Maine**

The missing part in Maine's residential weatherization efforts is a seamless financing option that eliminates up front costs and delivers immediate savings to the homeowner. Retrofit Ramp-up funding presents an enormous opportunity for Maine to fill that void, successfully demonstrating the innovative solutions that will lead the nation in residential efficiency while creating thousands of new high-quality jobs.

The Vice President's Middle Class Task Force, joined by national advocates such as Liuna and the Sierra Club, have articulated a compelling call for innovation in financing. Maine's proposal answers that call with the following game changing elements:

### **1. Financing Options That Draw On Strong Partnerships**

We have spent years in Maine developing strong partnerships with the professional energy auditing and weatherization community, educational institutions, labor, financial institutions, and energy providers. Most recently we have selected Conservation Services Group to deliver our Maine Home Performance Program, through which we offer a one-stop-shopping approach to delivering a cost effective audit/retrofit program.

Although we have already begun to address the financing option in Maine with our innovative Loan Guarantee program, we can significantly expand our retrofit programs if we can access the necessary capital. This Retrofit Ramp-up grant is the final step to make Maine the perfect national laboratory for testing four financial models:

a. Partnering With Communities. The keystone to Maine's proposal is a bold initiative to capitalize local PACE programs. A central revolving loan fund will allow cities and towns of all sizes to participate in a low-cost turn-key approach to property assessed financing and repayment of building retrofit costs. Using the Maine Home Performance program developed by Conservation Services Group as the implementation platform and building on its high-quality retrofit delivery model, many communities are ready to launch PACE programs immediately upon approval of this grant. Even before the Retrofit Ramp-up was announced, Maine's legislature was moving forward with legislation to confirm that all Maine municipalities may use PACE financing. That legislation has strong support and is expected to be enacted shortly after the Second Session of the Legislature convenes on January 5, 2010. (See letters of support from Speaker of the House Hannah Pingree and Senate President Elizabeth Mitchell and from State Representative Patsy Crockett with attached legislation.)

b. Partnering with Homeowners. For towns not yet adopting the PACE approach, a portion of the grant funds will be loaned to customers through our existing Maine Home Performance program. These easy access loans will be made available through our one-stop-shop hotline giving customers the option of a retrofit at no up front cost and a conventional monthly payment.

c. Partnering With Financial Institutions. Maine's existing retrofit initiative includes a loan program in which 50% of the costs of weatherization are backed by a Maine State Housing Authority guarantee. Participating banks and credit unions have agreed to market retrofits as part of their existing home repair, home equity, mortgage and refinance products. Maine's loan guarantee and marketing support for weatherization act together as an incentive for banks to encourage their customers to add a weatherization component to their home loans.

d. Partnering With Unregulated Fuel Suppliers and Utilities. Utilities and sellers of unregulated fuels understand the implications of energy efficiency and greenhouse gas reductions for their business models, and have expressed a strong interest in partnering with the state as we move toward the statutory goal of reducing heating oil consumption by 20% by the year 2030, electricity consumption by 100 megawatts by 2020, and implementing greenhouse gas reduction programs wherever feasible. Maine's Retrofit Ramp-up proposal will include funding to develop on-bill financing pilot projects with willing fuel suppliers to test the application of this option in Maine and to build on the results of the on-bill financing working group established by the legislature.

## **2. Sustainability**

The FOA challenges the nation to identify approaches that will successfully leverage DOE funding to ensure sustainability of the proposed programs beyond the term of the grant. Maine meets that challenge with a clear and compelling solution. We will achieve financial sustainability through a revolving loan fund, called the Maine Home Performance Fund, and homeowner incentives maintained, in part, through revenues generated from quantifying and monetizing greenhouse gas reductions (carbon savings) from the weatherization activities in the program. Our sustainability strategy uses grant funds to subsidize retrofits for the first three years of the program. The fund will be accessible to towns, regions, utilities and unregulated fuel dealers who wish to initiate a PACE or on-bill financing program, who partner with the Maine Home Performance delivery platform, and who can meet basic performance and data gathering criteria.

A key to our long term sustainability strategy is the capacity to accurately document energy and carbon savings so as to educate homeowners and investors about the financial advantages of retrofitting. Private investors, whether participating through bonds or equity financing, will be induced to invest once they see well documented, verifiable information about the value of energy savings, the carbon benefits, and the financial performance of the retrofit program over several years.

By using grant funds as a revolving loan fund, we will generate enough revenue and program performance data to support the issuance of revenue bonds in year three of the program. As set forth in detail below, our conservative financial analysis demonstrates how Maine can continue the program beyond the initial grant period by issuing bonds for sixteen additional years, retrofitting 67,750 homes.

## **3. A Carbon Market-Ready Program:**

A final game changing aspect of our proposal is that we will quantify and monetize carbon emission savings and use the carbon revenue to sustain the homeowner incentives for weatherization. Maine has worked for the past 18 months on the development of the *Methodology for the Weatherization of Single and Multi-Family Buildings*, with input from weatherization experts across the country, including international carbon experts and DOE's Oakridge National Laboratory, which supports the Weatherization Assistance Program. Data required for carbon quantification will be maintained in the ECOS data base which is specifically tailored to capture the data necessary to verify and monetize the carbon savings. We have worked over the past several years to build not only the carbon quantification methodology, but the infrastructure and understanding to participate successfully in the carbon market. It is no exaggeration to say that Maine leads the nation in developing the infrastructure to incorporate carbon into its plan to convert to a low carbon, energy efficient economy.

Being able to provide accurate, verifiable data is a threshold criterion for accessing carbon markets and for gaining private investor support. This grant will enable us to take our data

capture and verification system from the final development stage to full implementation, and from the low income arena to the entire population. The methodology enables us to deploy several different data gathering methods, including pre- and post-audit building analysis, direct fuel consumption sampling, and records of actual fuel utilization. Our experience will establish for the nation a model demonstrating the most accurate and cost effective approach to measuring and monetizing carbon savings for future public benefit.

Importantly, as noted above, revenue from the sale of carbon credits will provide on-going support for the Retrofit Ramp-Up program, making it sustainable and expandable. Although it is impossible to predict the value of carbon emission reductions in the future, estimates indicate as much as ten percent of the cost of weatherization could be supplied by the quantification and sale of carbon emission reductions.

### **How Maine Will Deploy Grant Funds**

Sixty percent of funds will be re-granted to non formula eligible communities to fund retrofits and provide administrative and marketing support. The remaining forty percent will support formula eligible towns and cities; expand our existing bank financing program; and support pilot projects for on-bill financing through regulated and unregulated energy providers. Other uses are as follows:

- A portion of grant funds will build out our existing ECOS data clearinghouse to accommodate the expanded retrofit Ramp-up program. Grant funds will also be used to implement measurement and verification protocols and test data collection and monitoring methodologies in order to establish best practices that can be shared with other jurisdictions.
- Marketing, advertising and outreach are important tools for maximizing homeowner participation in the retrofit program and gaining additional energy savings through homeowner education. Learning from the examples of Marshfield, Massachusetts and elsewhere, we will rely on partnering communities to conduct grass roots public outreach to achieve the depth of penetration in communities envisioned by the FOA. This grant will provide funding to support those communities with marketing materials, public service announcements, a multijurisdictional PACE steering committee, face-to-face engagement of civic leaders and other stakeholders, and an annual energy efficiency conference.
- Maine also has a unique opportunity to use Retrofit Ramp-up grant funds to support an extraordinary pilot project. A consortium of towns in the Biddeford-Saco region has developed a cutting edge package that includes community based energy efficiency retrofits leveraged by renewables and comprehensive cost-savings measures. As described in more detail below and in attached letters of support, the Maine Green Energy Alliance sub-grant will support a partnership among communities, businesses, Citizens Energy, and other collaborators that is completely shovel-ready and perfectly tailored to the goals of the Retrofit Ramp-up FOA.<sup>1</sup>

### **Scalability**

Maine's program has all the features that will enable it to be brought to scale in Maine and expand it to other states.

- Maine's proposal tests four distinct financing models which we will carefully evaluate and analyze for the benefit of other entities contemplating similar programs around the nation. Each model can be expanded to any size market or community.

- Our proposal includes developing and publishing a guidance document (the Carbon Cookbook) that will allow other entities to become “Carbon Market Ready”. As more entities quantify carbon savings, the carbon revenues will become significant.
- Finally, through this grant Maine will establish a solid foundation of experience including delivery models, marketing strategies, financing models, and data collection methodologies. Once this foundation is established, retrofit programs here and in other states can be scaled up without further federal funding to achieve the national carbon reduction and weatherization goals set forth in the Vice President’s report *Recovery Through Retrofit*.

## **Low Income Participation**

Efficiency Maine and MaineHousing are acutely aware of the weatherization needs of low income Maine homeowners. Maine has one of the highest rates of homeownership in the country and 39% of homes are eligible for low income programs. This fact, along with Maine’s aging housing stock and high cost fuel, shows the great potential value of retrofitting low income homes. The re-grants for PACE communities and the one-stop-shopping loan pool are structured to serve all incomes. We incorporate both a 10-year and a 20-year amortization period to allow a broader range of homeowners to participate in these funding mechanisms.

## **II. Project Goals and Objectives**

Our project objectives address each of the major hurdles that home weatherization programs here and elsewhere have faced. Taken together, our project objectives will result in a robust, sustainable retrofit program that is scalable and replicable in other jurisdictions. Our project objectives are:

- 1. Financing:** To launch and implement the Maine Home Performance Fund as a cost-effective source of financing for residential retrofits statewide. The fund will be accessible to communities that initiate PACE programs, to regulated and unregulated fuel suppliers who initiate on-bill financing programs, and to individual homeowners through the Maine Home Performance Program.
- 2. Home Retrofits:** To retrofit 4000 homes per year for 16 years, in addition to the retrofits already offered in our existing programs, with retrofits resulting in an average of 25% energy savings per home. We will accomplish this through marketing, local outreach, homeowner incentives, and a variety of financing options that homeowners can choose from.
- 3. Sustainability:** To sustain funding of \$32m per year for fourteen years beyond the grant period to support home retrofits. We will accomplish this by establishing track record of program performance based on gathering and aggregating data that will prove the value of weatherization and attract investors who will support the program beyond the grant period.
- 4. Scalability and Replicability:** To develop best practices and share guidance with other jurisdictions on how to develop, deliver and document a residential retrofit program that is carbon market ready and private investment ready. We will accomplish this by evaluating the financial performance of homeowner financing options, evaluating the effectiveness of marketing and outreach programs and by establishing best practices for quantifying energy and carbon savings.

### III. Why Federal Funds Are Needed

This Funding Opportunity is perfectly tailored for the weatherization needs of Maine in 2010. As set forth throughout this application, we have already established exactly the necessary platform for proving the “game-changing” financing concepts that will identify the sustainable model that will take the nation into the next generation of residential energy efficiency. As a relatively poor state experiencing a prolonged recession, all that Maine lacks is the necessary start-up capital, and the Retrofit Ramp-up opportunity would fill that gap perfectly. Fund from this grant will enable us to take the platform we have developed and scale it up to a statewide program available to homeowners at every income level. We cannot envision any source of funding that would better enable Maine to play the role of a laboratory for the nation.

### IV. Merit Criteria Discussion

#### Merit Criterion 1. Leverage and Sustainability

##### **Maine Home Performance Fund**

The primary leverage and sustainability of our program comes from the establishment of the Maine Home Performance Fund, a revolving loan fund offered to Maine homeowners through a variety of channels and funded through the EECBG Retrofit Ramp-up. By seeding the fund with grant money, we will be able to establish a track record of performance that will allow us issue public bond funds beginning in year three. Beginning in year three, six bond issues are planned over a fourteen year period, which will generate \$384 million. Additional matching funds will come from investments we have made in our existing home weatherization programs, our ECOS data system and our state loan guarantee. The total grant to match leverage ratio is 1:8.

Item	Grant Budget	Grant Leverage	Related Programs
Maine Performance Loan Fund	\$57,400,000	\$384,000,000	
Banks and Credit Unions			\$100,000,000
State Loan Guarantee			\$5,000,000
Monitoring and Verification	\$2,000,000		
Administration: state	\$5,900,000		
Administration: local	\$1,600,000		
Carbon Management	\$1,300,000	\$299,735	\$1,000,000
Biddeford Sub-award	\$6,499,619	\$64,542,400	
CSG Marketing and Program Support (SEP Funding)			\$9,000,000
WAP and LIHEAP			\$42,000,000
<b>Total Grant Request:</b>	<b>\$74,699,619</b>	<b>\$448,842,135</b>	<b>\$157,000,000</b>

##### **Leverage**

The Maine Performance Loan Fund will be established with \$57.4 million of the Retrofit Ramp-Up grant award. This initial \$57.4 million will fund weatherization loans for 7,175 homes over a two-year period. The revenues from repayments on loans made from this original \$57.4 million asset base (called the Grant Funded Program) will provide the subsidy to generate an additional \$384 million in weatherization proceeds through six bond issues (called the Bond Funded Program) over years three through 14 of this initiative. There will be 4,000 weatherization loans made each year in years three through 14 for a 14-year total of 55,175 weatherization loans. The