

Buildings UP

The Buildings Upgrade Prize

AMERICAN
MADE
U.S. DEPARTMENT OF ENERGY



Informational Webinar

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BUILDING TECHNOLOGIES OFFICE

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Introductory Webinar Agenda

- 1 Buildings UP Overview

- 2 Prize Goals

- 3 Pathways , Prizes, & Eligibility

- 4 Application Support Bonus Prize

- 5 Get Involved

The Buildings Upgrade Prize (Buildings UP)

Launched in January 2023, Buildings UP is designed to rapidly scale energy efficiency and efficient electrification building upgrades in communities across the country. The prize is envisioned to consist of four phases over approximately five years.

Application support prizes available for new and under-resourced teams.

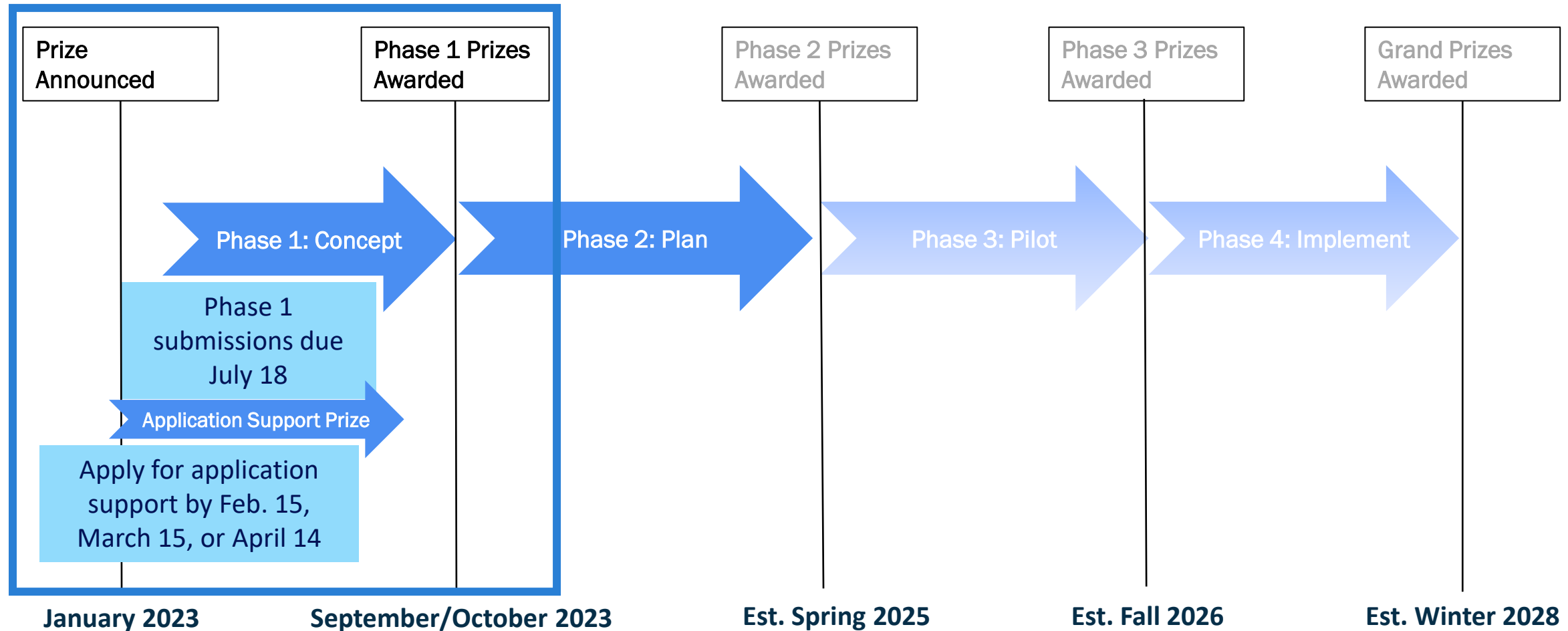
Phase 1: Concept

- \$22M+ in Prizes to Teams + Technical Assistance
- Applications due by July 18, 2023
- Seeking 20–60 teams to join the “coopetition.”



www.heroX.com/buildingsUP

Buildings UP: 4 Phases, 5 Years*



*Subsequent phases are envisioned to offer similar prizes and are subject to the availability of funds.

Grants vs. Prizes

Financial Award Process

Write and submit concept papers

Concept paper review

Applicants write and submit full applications

Full applications review

Selections and negotiations

Begin performing

Prepare and submit reimbursement request

Request reviewed and reimbursement issued

Prize Award Process

Begin performing

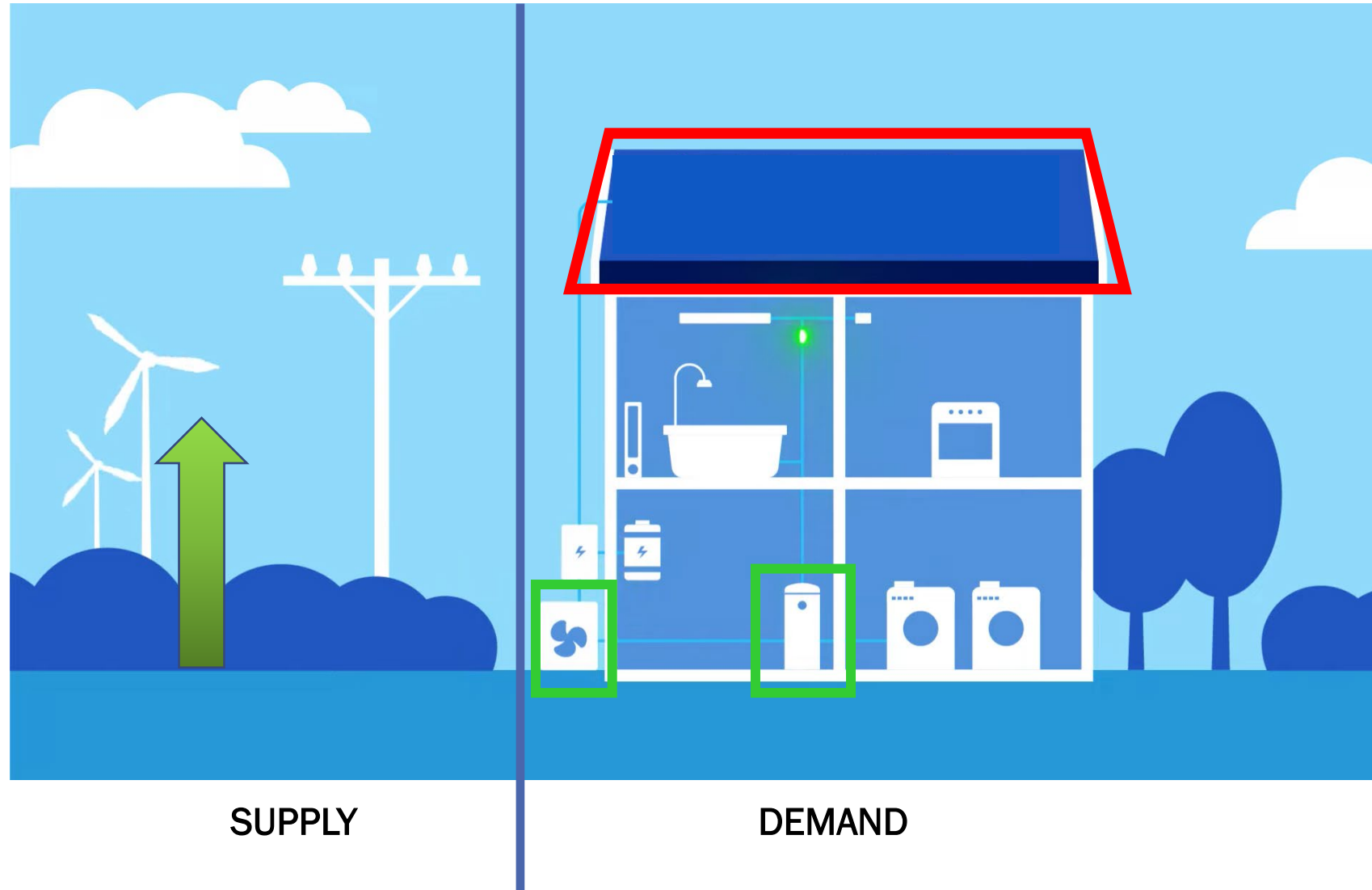
Achieve predefined goal

Complete submission packet

Judges score submissions

Winners receive payment

Why Efficiency + Efficient Electrification?



Prize Goals

Buildings UP aims to address persistent administrative, financial, social, and other barriers to improving building energy efficiency and reducing on-site emissions.

Buildings UP is a capacity-building prize to support teams with solutions that:

- **Accelerate building upgrades** for efficiency and on-site emissions reductions beyond current best practices in the applicant's identified area of focus
- **Demonstrate scalability and replicability** across building type(s), climate zone(s), and/or, community type(s)
- **Advance holistic and lasting energy efficiency and efficient electrification** initiative development
- **Benefit underserved communities** by ensuring that benefits accrue to equity-eligible buildings*, their occupants, and surrounding communities.

*Equity-eligible buildings include buildings in disadvantaged communities; low- and moderate-income (LMI) households; and underserved commercial, nonprofit, and public buildings.

Equity-Eligible Buildings

Geographic Location
(Justice 40 Census
Tracts, Tribal Lands,
Territories)

Affordable Housing
(Subsidized, Naturally
Occurring)

Underserved
Commercial
(including Title 1 Schools,
Community Services,
Non-profits)

Team-Defined

Additional information is in Section 3.5 of the official rules.

Phase 1: Pathways & Prizes

Teams chose one of two pathways and submit an actionable concept plan for energy efficiency and efficient electrification that demonstrates a commitment to further develop and implement the initiative in Phase 2.

Equity-Centered Innovation Pathway

\$400,000 in cash prizes for each winning team

Teams focus on a geographic area or building type that can achieve scalability and replicability of building upgrades AND develop innovative building upgrade initiatives in equity-eligible buildings* (i.e., 80% of implementation would be equity-eligible).

Open Innovation Pathway

\$200,000 in cash prizes for each winning team

Teams focus on a geographic area or building type that can achieve scalability and replicability of building upgrades. Open Innovation Pathway applicants may include a focus on equity but are not required to.

Access to Technical Assistance is awarded to winning teams in both pathways.

*Equity-eligible buildings include buildings in disadvantaged communities; low- and moderate-income (LMI) households; and underserved commercial, nonprofit, and public buildings.

Example Projects*

A rural electric cooperative partners with a local CBO and the county to help LMI single-family home residents transition from propane heat to efficient electric heat pumps.



A CBO in a midsize town in the southeast partners with the local government to bring heat pumps (and air conditioning!) to affordable housing buildings throughout the community.



A business improvement district in a large city neighborhood partners with local houses of worship to bring efficient electric heating and cooling equipment to small businesses.



A K-12 school district and an energy services company partner to electrify district buildings.



A national residential property owner teams up with multiple local governments and utilities on an initiative to electrify its properties in three major markets.



+Innovations!

***Minimum technologies and strategies teams must include in their initiatives:**

- Weatherization and envelope improvements (e.g., insulation, air sealing, window improvements)
- Efficient electric heating and cooling equipment (e.g., heat pumps and/or heat pump water heaters).

Seeking Innovations to Address Challenges

- **Lack of contractor and occupant familiarity** with technologies
- **High first costs for upgrades**, limited short-term payback
- **Lack of retrofit materials** and components
- **Insufficient workforce** to complete upgrades
- **Lack of reach of funding and incentive programs** to historically underserved households and building owners
- **Inconsistent quality of work** and consumer mistrust.

Minimum & Eligible Building Upgrades

The **minimum** technologies and strategies teams must include in their initiatives include:

- **Efficient electric heating and cooling equipment** (e.g., heat pumps and/or heat pump water heaters)
- **Weatherization and envelope improvements** (e.g., insulation, air sealing, window improvements).

Additional strategies and technologies teams may incorporate into their initiatives include:

- Efficient electric appliances
- Electric vehicle chargers
- Geothermal heating and cooling
- On-site and community solar
- Electric panel upgrades
- Building controls
- Energy storage.

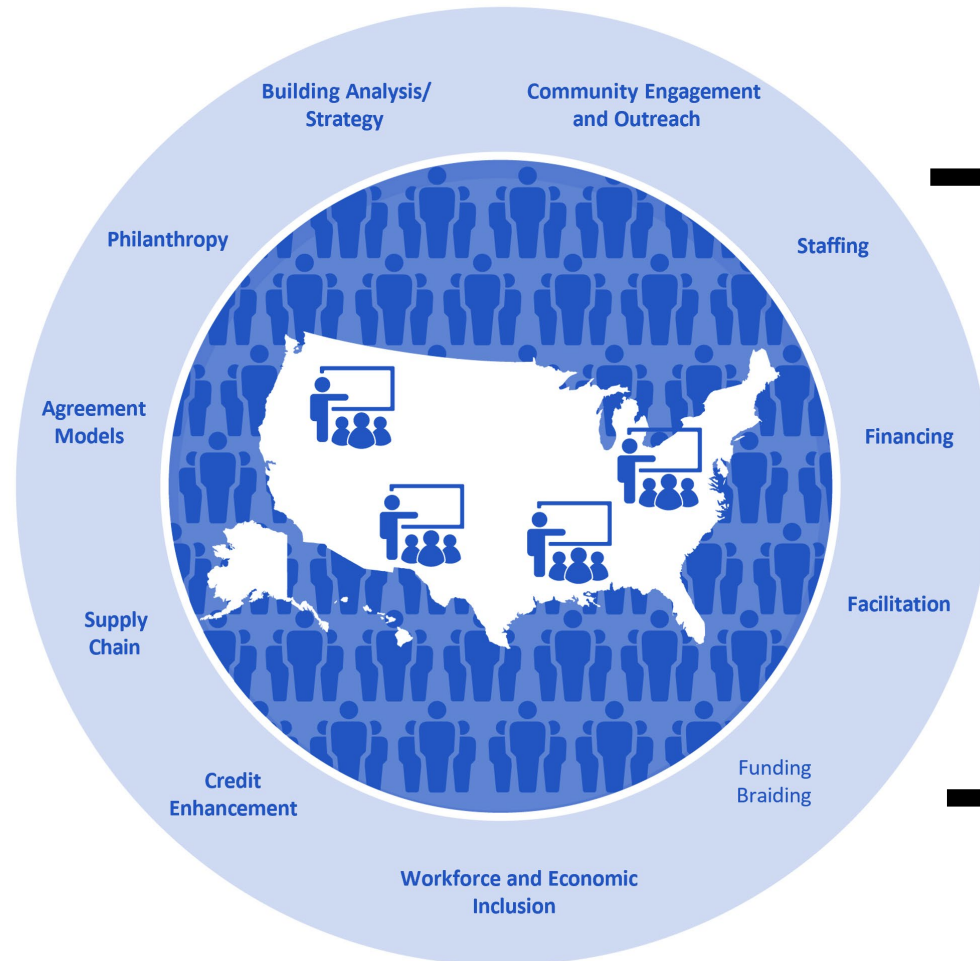
Eligible Building Types

Buildings intended for upgrades may include one or multiple residential or commercial building types, such as:

- Single family
- Multifamily
- Manufactured housing
- K–12 schools
- Higher education
- Commercial real estate
- Hospitality
- Health care
- Retail
- Food service/grocery
- Government buildings (state, local, tribal government buildings)

Note: Identified buildings may be in a single community or include buildings across multiple geographic locations.

Technical Assistance for Phase 1 Winners



Technical Assistance

American-Made Prize Power Connectors, webinars, and 1:1 support

Regional Navigators

Each team assigned a point of contact who meets with teams regularly, tracks progress, provides local connections, guides teams to appropriate TA in prize network

Buildings UP Team Network

20 to 60 teams selected for multi-year cohort. Online platform for teams to share resources and information

Sources Sought Notice

- Seeking subcontractors for Technical Assistance Providers and Regional Navigators for Buildings UP teams
- Sources Sought Notice (SSN) has been publicly posted:
<https://sam.gov/opp/328a53ca17c24677af54de4e3d29683f/view>
- If interested, must respond by **February 9, 2023**
- Only organizations that fill out the form are eligible to receive a formal Request for Proposal (RFP)
- Organizations selected to provide technical assistance may not compete in the prize.

Application Support Prize Overview

The Application Support Prize is available for the first 50 winners.

Award Criteria for Application Support Prize

In addition to the eligibility requirements of Phase 1, applicants must:

- Confirm no organizations on their team have secured funding from DOE's Building Technologies Office in the past 5 years
- Ensure the lead organization represents a community with equity-eligible buildings or its mission is to serve communities with equity-eligible buildings
- Demonstrate that application support would allow them to develop a competitive Phase 1 submission and confirm an intent to apply.

Application Support Prizes

- \$5,000 cash prize
- Up to 10 hours assistance

Support Provider

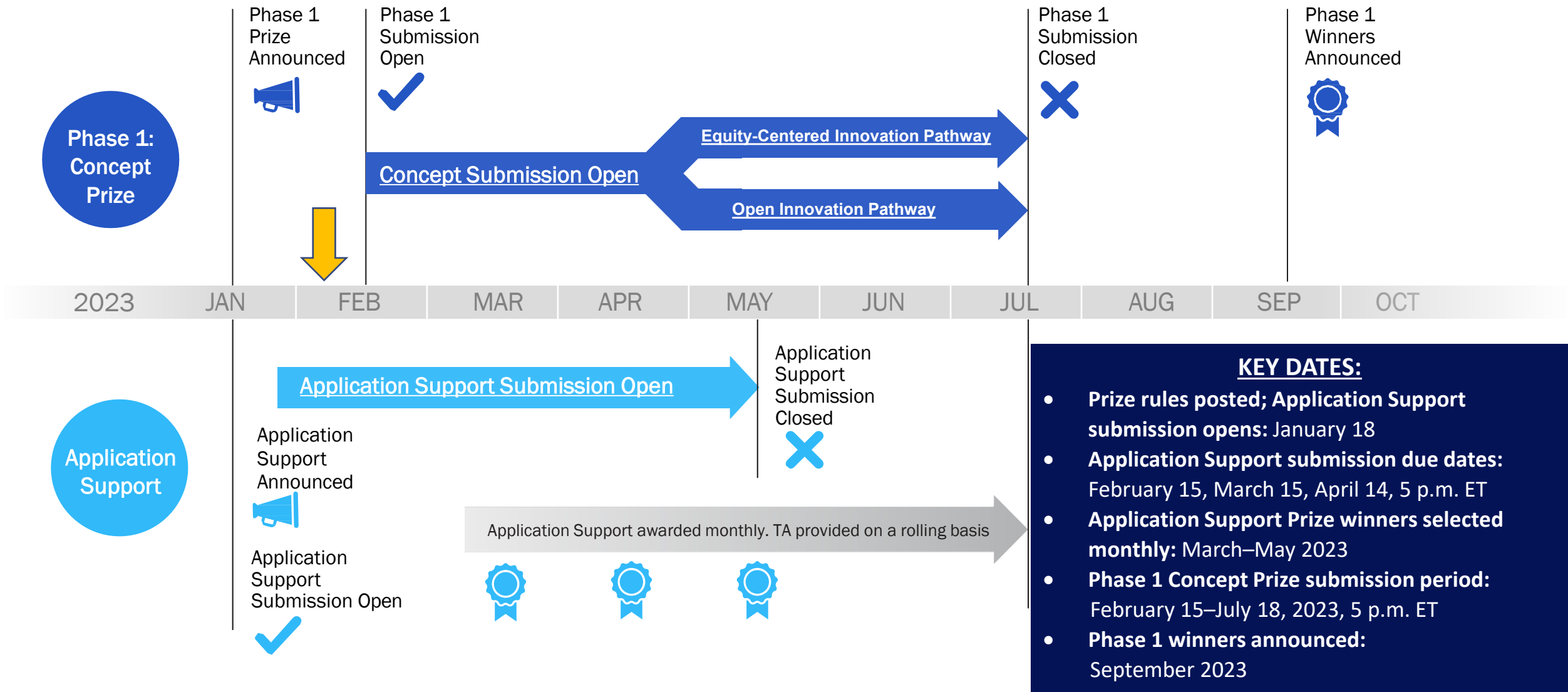
- Elevate
- <https://www.elevatenp.org/about/>

Rolling submission due dates*

- February 15
- March 15
- April 14

*Later submission due dates may be canceled if prize funds are exhausted in earlier rounds. Cancellations will be posted on HeroX.

Phase 1 Timeline



Phase 1 Summary

Phase 1 Prize Description		Submission Due Date	Anticipated Number of Awards	Cash Prize per Winning Team
Phase 1 Concept	Equity-Centered Innovation Pathway	July 18, 5 p.m. ET	20-60 awards	\$400,000 per winning Team + access to regional navigators/technical assistance
	Open Innovation Pathway			\$200,000 per winning Team + access to regional navigators/technical assistance
Phase 1 Application Support		February 15, 5 p.m. ET March 15, 5 p.m. ET April 14, 5 p.m. ET	Up to 50 awards	\$5,000 Cash Prize and 10 hours of technical assistance to help new and under-resourced applicants develop Phase 1 Concept submissions

HeroX Demonstration

Eligibility & Teaming

Applicant Eligibility: Overview

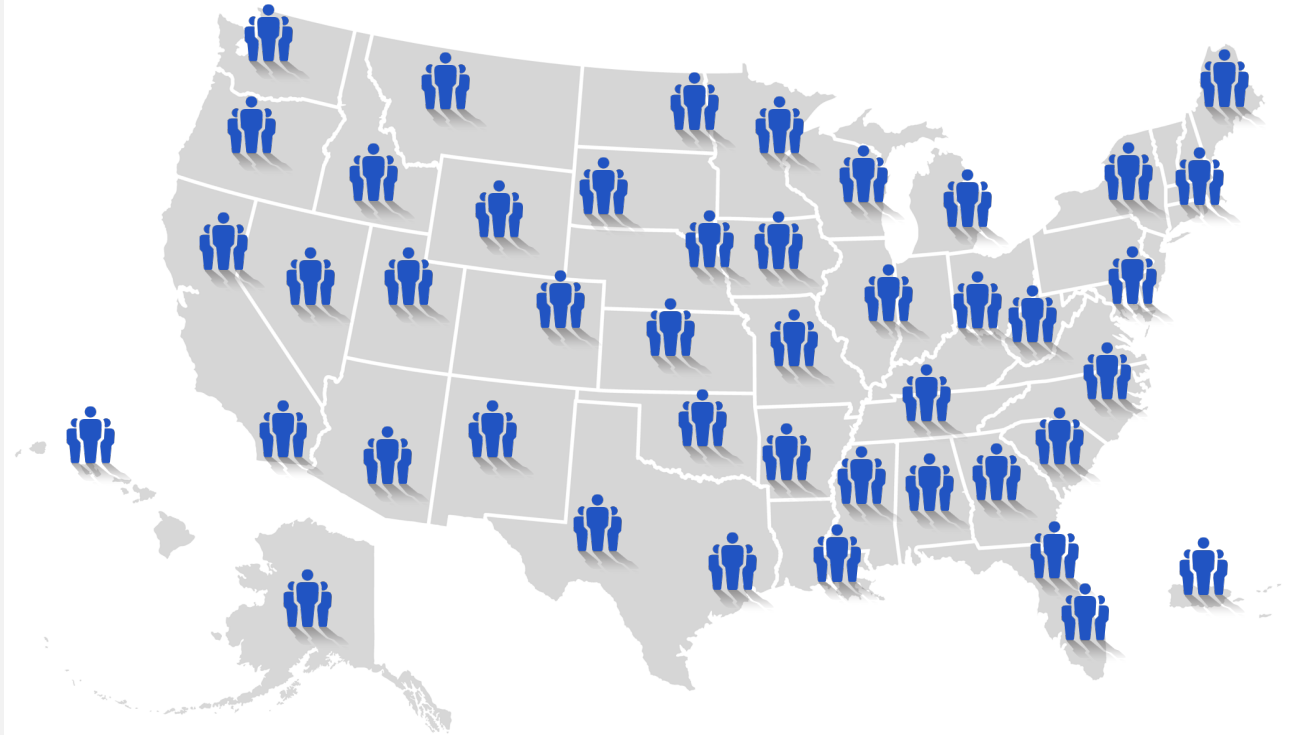
Organization Types

- Non-federal government and tribal entities
- Nonprofit organizations
- For-profit organizations
- Community-Based Organizations (CBOs) with its own nonprofit legal status OR utilizing a fiscal sponsor with a nonprofit legal status.

Primary Place of Business

Entities must be incorporated in and maintain a primary place of business in the United States with majority domestic ownership and control.

Additional eligibility information can be found in the official rules.



Teams must enter in Phase 1.
Subsequent Phases are only open to Phase 1 awardees.

Applicant Eligibility: Definitions & Examples

- **Non-federal-government entities** such as municipalities, states, counties, tribal governments, territories, public housing authorities, and/or regional planning organizations.
- **Indian Tribes.** For the purposes of this prize, the term “Indian Tribe” includes both federally recognized and non-federally recognized (e.g., state-recognized) Indian tribes.
- **Community-based organizations (CBOs).** For this prize, DOE defines community-based organizations as “nonprofit organizations that are representative of a community or segments of a community, defined by place or population, and provides financial, educational, cultural, and/or other resources aimed at enhancing health, wealth, and overall community well-being.” For-profit entities and large nonprofits with a particular area of focus beyond the local level are typically excluded from this definition. Ideally, CBOs are physically based in the communities they serve, though in some cases CBOs can be effective even without a physical presence. CBOs range from formal organizations with legal nonprofit status (501(c)(3), 501(c)(4), etc.) to informal, grassroots community groups that are mission-driven and headed by respected community leaders. **To be eligible for this Prize, a CBO must have its own nonprofit legal status OR utilize a fiscal sponsor with a nonprofit legal status.**
- **Nonprofit or for-profit organizations** such as portfolio building owners/operators, utilities, building upgrade service providers, unions, faith-based organizations, and other entities.

Team Composition

	Equity-Centered Innovation Pathway	Open Innovation Pathway
Required Team Members	<ul style="list-style-type: none"> Lead Organization (demonstrates at least 1 full-time equivalent [FTE] staff member available for the initiative) Designated Prize Recipient (up to 2 per team) Community Engagement expertise representing communities to be served (e.g., Community Based Organization). 	<ul style="list-style-type: none"> Lead Organization (demonstrates at least 1 FTE available for the initiative) Designated Prize Recipient (1 per team)
Encouraged Team Members	<ul style="list-style-type: none"> Expertise in accessing and/or combining multiple sources of funding to fully resource building upgrade initiatives. 	<ul style="list-style-type: none"> Community engagement expertise Expertise in accessing and/or combining multiple sources of funding to fully resource building upgrade initiatives.

All Teams Must Include:

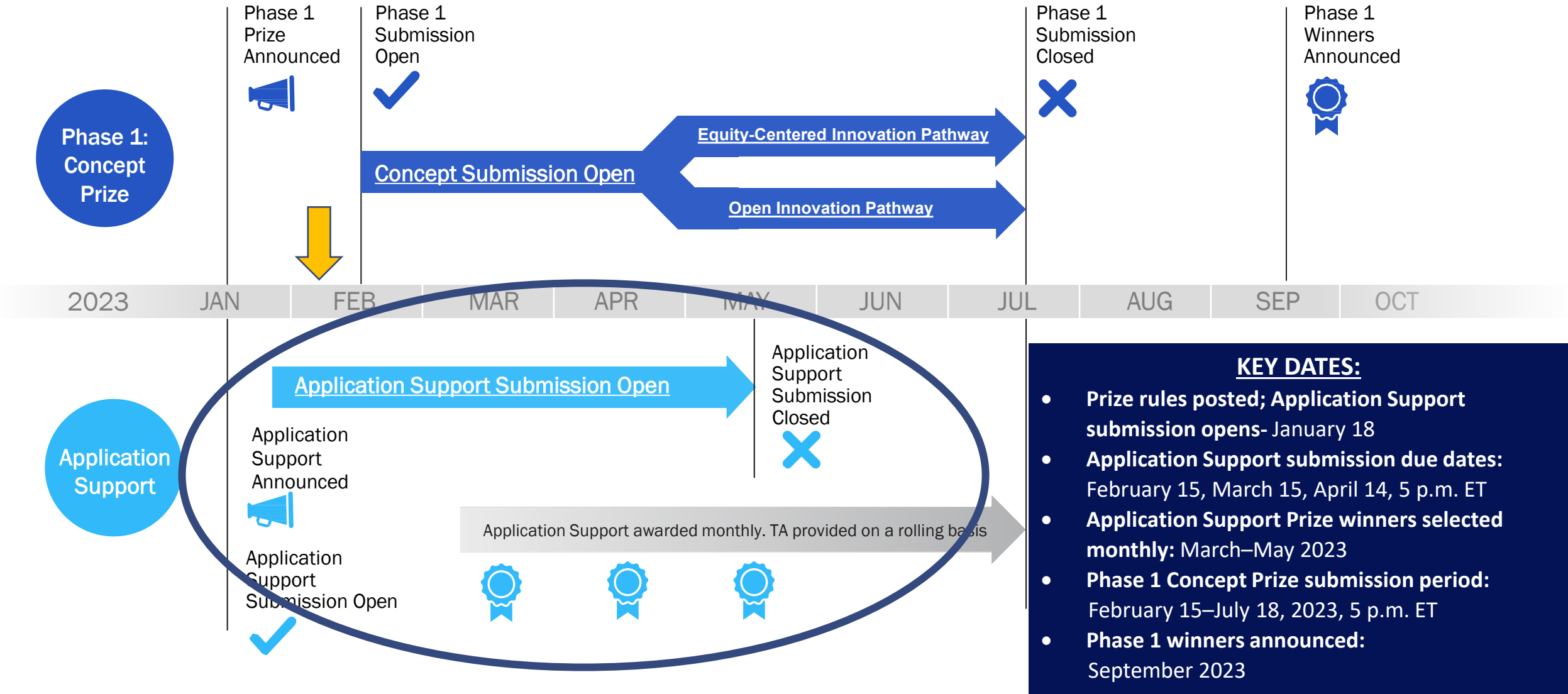
- A Lead Organization** that commits at least one full-time equivalent (FTE) staff person for the duration of their involvement in Buildings UP.
 - This FTE may be hired after Phase 1 awards are announced.*
- A Designated Prize Recipient** that is a legal entity and can receive prize funds. The Designated Prize Recipient can be a fiscal sponsor for a participating organization that is not a legal entity. The Lead Organization may also be the Designated Prize Recipient.

Phase 1: Application Support Details

Deadlines:

- February 15
- March 15
- April 14

Phase 1 Timeline



Application Support Prize

The **Application Support Prize** is meant to encourage applicants who might otherwise not have the staff capacity, time, or expertise to submit a full Phase 1 submission.

To be eligible for the Application Support Prize, organizations involved must:

- 1. Confirm no organizations on their team have secured for funding from DOE’s Building Technologies Office in the past 5 years
- 2. Ensure the lead organization represents a community with equity-eligible buildings or its mission is to serve communities with equity-eligible buildings
- 3. Demonstrate that application support would allow them to develop a competitive Phase 1 submission and confirm an intent to apply.

Phase 1 Prize Description	Submission Due Date	Anticipated Number of Awards	Dollar Amounts per Winning Team
Bonus Prize: Phase 1 Application Support	February 15, 5 p.m. ET March 15, 5 p.m. ET April 14, 5 p.m. ET	Up to 50 awards	\$5,000 Cash Prize and 10 hours of technical assistance for new and under-resourced applicants

Application Support



American-Made Challenges

973

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Buildings Upgrade Prize

Supports actionable and scalable solutions to advance energy efficiency and efficient electrification upgrades in existing U.S. buildings.

Energy, Environment & Resources

Government

Stage:
Application Support
submission opens

Prize:
\$22,000,000+

www.HeroX.com/BuildingsUP



SOLVE THIS CHALLENGE

Application Support Submission Materials

Teams competing for the Application Support Prize must complete the Application Support Prize Submission Form on the HeroX platform.

Required Submission Materials:

Item	Will Be Made Public	Scored Item
Eligibility Information	No	No
Team Information	Partial	No
Description of Need Narrative*	No	Yes
Intent to Apply Narrative	No	Yes

Narrative Detail and Scoring Criteria:

Criterion 1: Demonstrated Need for Support to Develop Phase 1 Submission	
Suggested Content Team Provides <ul style="list-style-type: none">Describe current challenges your team is experiencing (e.g., lack of staff time, expertise) that make it difficult to complete a Phase 1 submission for Buildings UP.Describe the full-time equivalent (FTE) staff your organization has available to complete a Phase 1 application.Describe the annual budget of your organization.Describe the anticipated impact of a cash and technical assistance award to your team. How would Application Support impact your team's ability to complete a Phase 1 submission?	Each Statement Scored on a 1–6 Scale <ul style="list-style-type: none">The team has significant barriers to completing a Phase 1 submission.DOE funding and technical assistance would significantly improve the likelihood that the team can complete a quality Phase 1 submission.

*The narrative response should be no longer than 500 words (5,000 characters max).

Application Support Scoring

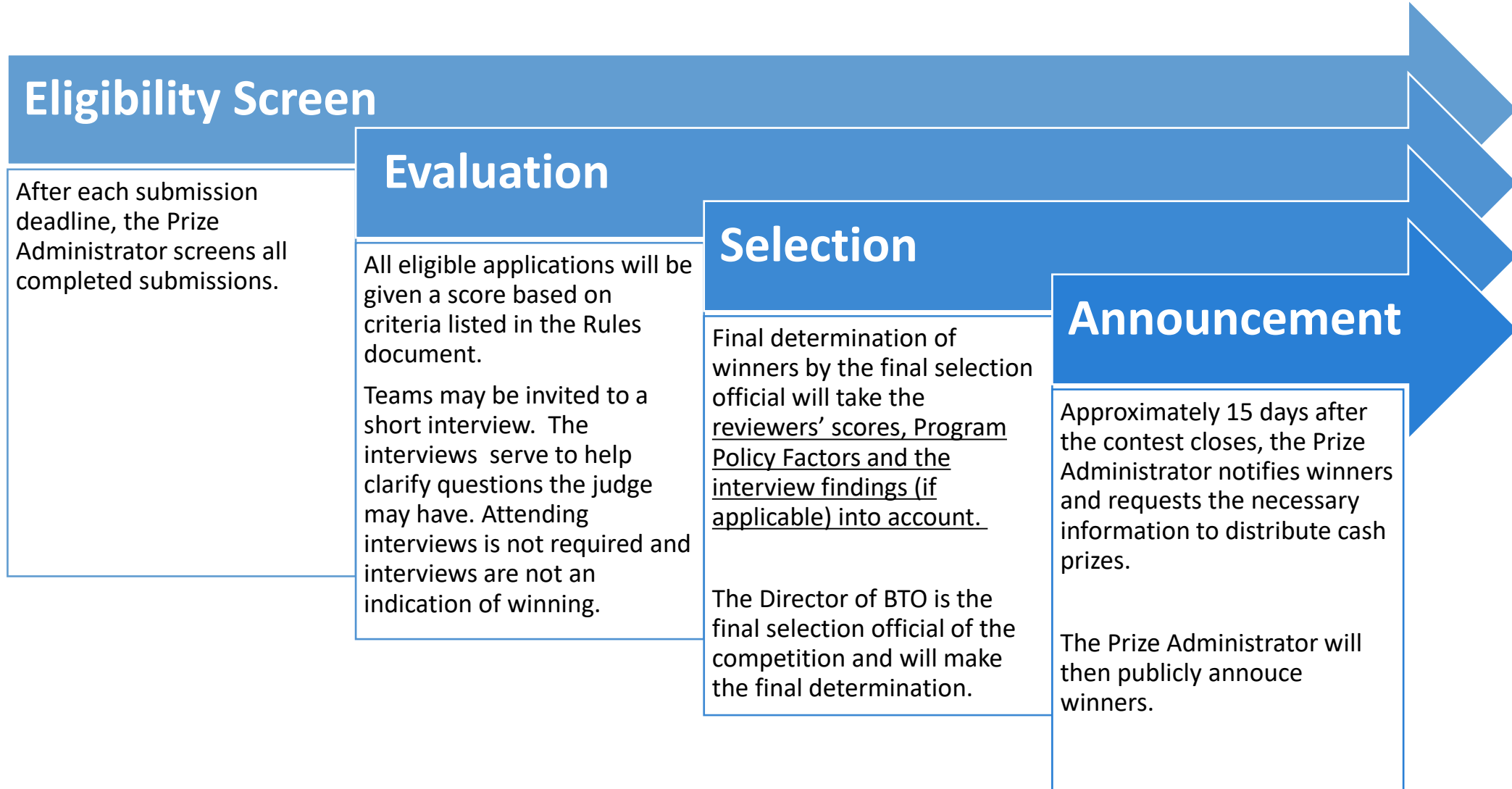
The Narrative Response will be scored from 1–6, as shown here, on how well the applicant addresses the statements in each criterion.

1	2	3	4	5	6
Strongly Disagree	Disagree	Slightly Disagree	Slightly Agree	Agree	Strongly Agree

The following table explains the way the scores for each submission for Application Support will be calculated.

Criteria	Number of Scored Statements	Percentage of Total Score	Total Possible Points
Criterion 1: Demonstrated need for support to develop Phase 1 submission	2	100%	12
TOTAL	2	100%	12

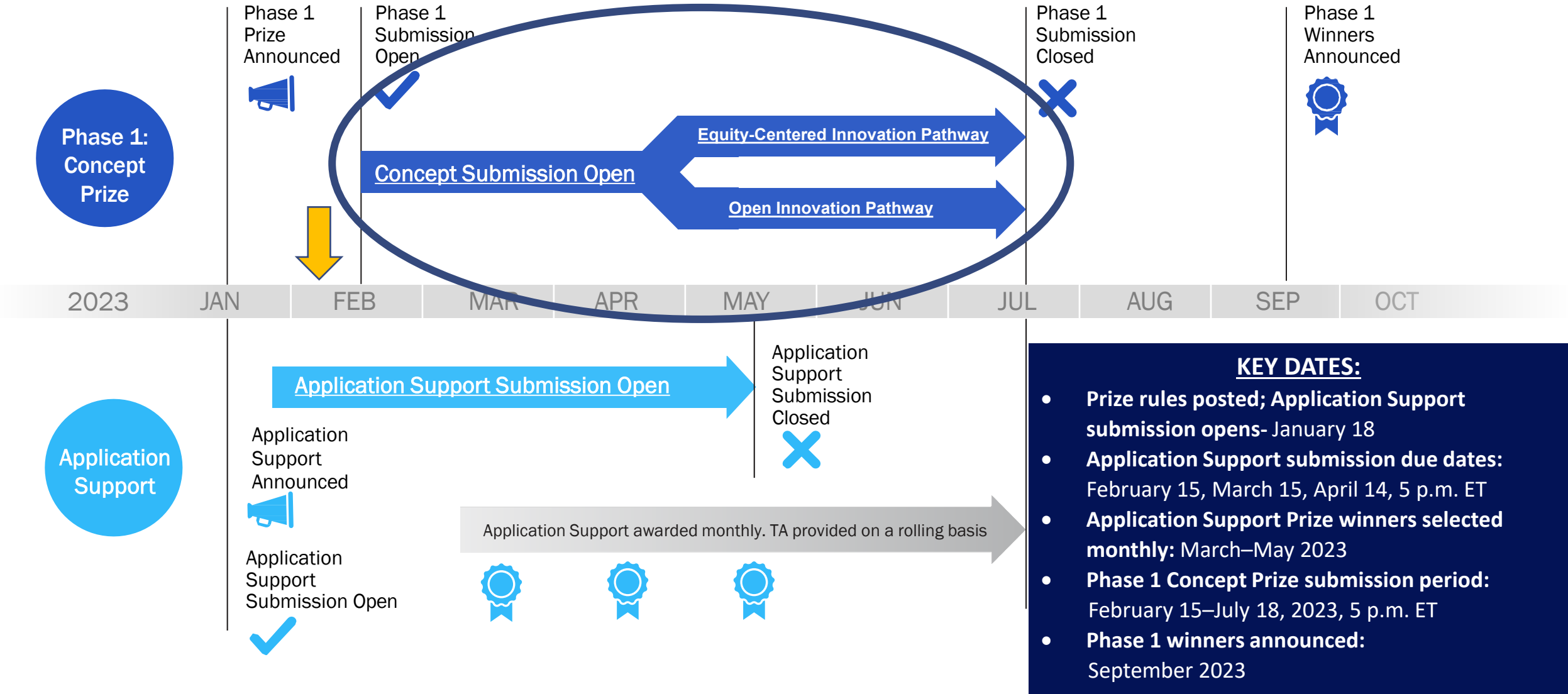
Winner Selection & Announcement Process



Phase 1: Concept Submission Details

Due July 18, 2023, 5 p.m. ET

Phase 1 Timeline



How to Enter Phase 1: Concept

Teams interested in competing in Phase 1 of Buildings UP should go to [HeroX](https://www.herox.com) and follow the instructions for registering and submitting all required materials before the specified deadline.

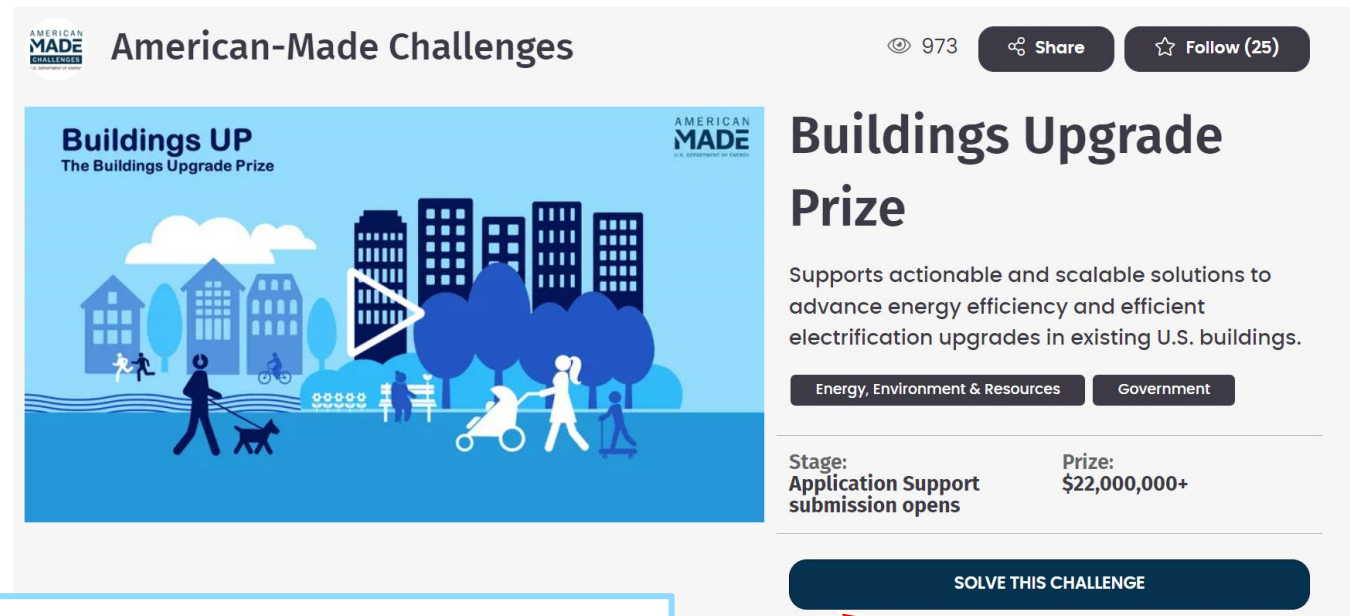
Teams are strongly encouraged to form multidisciplinary, cross-sector teams while developing their Concept Plans.

The HeroX online prize platform provides a space where teams interested in collaboration can post information about themselves and learn about others who are also interested in competing in this Prize.

[www.HeroX.com/BuildingsUP](https://www.herox.com/BuildingsUP)

Phase 1 submissions open: February 18

Phase 1 submissions close: July 18, 2023, at 5 p.m. ET



American-Made Challenges

Buildings UP
The Buildings Upgrade Prize

Buildings Upgrade Prize

Supports actionable and scalable solutions to advance energy efficiency and efficient electrification upgrades in existing U.S. buildings.

Energy, Environment & Resources Government

Stage: Application Support submission opens Prize: \$22,000,000+

SOLVE THIS CHALLENGE

Phase 1: Concept Submission

The following items are required for submission:

Item	Will Be Made Public	Scored Item
Eligibility Information	No	No
Team Information	Partial	No
Concept Plan Narratives <ul style="list-style-type: none">• Criterion 1: Assessing and Prioritizing Challenges• Criterion 2: Addressing Challenges Through Innovation: Initiative Scope and Impacts• Criterion 3: Scaling and Replicating Innovation Through Community Engagement• Criterion 4: Demonstrating Capabilities and Team Characteristics Critical for Success• Criterion 5: Achieving Equitable Building Upgrade Strategies (to be completed only by teams submitting to be selected for the Equity-Centered Innovation Pathway).	No	Yes
Summary Slide	Yes	No
Video Pitch (Optional)	Yes	No
Letters of Support	No	Yes

Concept Plan Narrative

The required narratives constitute your team's building upgrade Concept Plan. There is one narrative for each criterion. Each narrative should be no longer than 500 words (5,000 characters max).

You may upload one page of supporting graphics, figures, or tables with each narrative if desired via the HeroX platform.

Below are the criteria that should be addressed in the narrative responses:

- **Criterion 1:** Assessing and Prioritizing Challenges
- **Criterion 2:** Addressing Challenges Through Innovation: Initiative Scope and Impacts
- **Criterion 3:** Scaling and Replicating Innovation Through Community Engagement
- **Criterion 4:** Demonstrating Capabilities and Team Characteristics Critical for Success
- **Criterion 5:** Achieving Equitable Building Upgrade Strategies (to be completed only by teams submitting to be selected for the Equity-Centered Innovation Pathway).

The narrative responses should collectively describe the upgrade initiative concept and address all applicable criteria.

Concept Plan Narrative

Criterion 1: Assessing and Prioritizing Challenges

Suggested content team provides:

- Describe the building upgrade zone—the area identified for the initial application of the building upgrade innovation. This may be an entire community, neighborhoods within a community, a utility service area, portfolio of geographically dispersed buildings, or another zone. Describe building type(s) to be addressed within the building upgrade zone and any key characteristics of these buildings.
- Describe your team’s understanding of the greatest challenges to building upgrades in your building upgrade zone (e.g., lack of contractor familiarity with decarbonization technologies and integrated building upgrades, high first costs for labor and equipment compared to conventional equipment, lack of retrofit materials/components, limited short-term financial payback, insufficient number of skilled workers to successfully implement retrofits, lack of reach of funding and incentive programs to historically underserved households).
- Explain how your team prioritized these challenges as critical to enabling widespread upgrades in your building upgrade zone.
- Describe initial stakeholder engagement your team has conducted, including engagement with historically marginalized communities, to identify and understand these challenges.

Each statement is scored on a 1–6 scale:

- The team has a clearly defined building upgrade zone and demonstrates an understanding of the buildings to be addressed within it.
- The team demonstrates a comprehensive understanding of the challenges to energy and efficient electrification in the building upgrade zone.
- The team has articulated why addressing these challenges is critical to enabling widespread energy efficiency and efficient electrification upgrades.
- The team has sought out diverse stakeholder perspectives, including with historically marginalized communities, to assess and understand challenges to building upgrades.

Concept Plan Narrative

Criterion 2: Addressing Challenges Through Innovation: Initiative Scope and Impacts

Suggested content team provides:

- Describe the building upgrade initiative scope (i.e., starting a new building upgrade initiative or improving or expanding/improving an existing initiative, etc.).
- What innovative approach(es) does the building upgrade initiative introduce to address key challenges identified in Criterion 1 in a transformative way?
- Describe building upgrade strategies and technologies that may be utilized in the building upgrade initiative. (See Section 2.3 for a list or required and eligible technologies and strategies.)
- Describe how the residents/building occupants, businesses, communities, and/or other populations of focus within the building upgrade zone may be positively or negatively impacted by the proposed upgrades (e.g., increased or decreased energy costs, displacement, improved indoor air quality, improved resilience, local workforce development). What is your plan to minimize negative impacts? **Teams are encouraged to develop initiatives that offer multiple benefits.**
- How will local contractors and businesses participate in and benefit from this work (e.g., through inclusive procurement practices, local workforce development, local hiring)?

Each statement is scored on a 1–6 scale:

- The building upgrade initiative addresses identified challenges with innovations that can deliver significant results, such as:
 - Funding combinations and financing to reduce upfront costs
 - Scalable and replicable models that streamline implementation of upgrades
 - Attractive business models that incentivize manufacturers and contractors to enable upgrades
 - Quantification and marketing of additional co-benefits of upgrades for building owners and tenants
 - Promotion of energy efficiency and efficient electrification solutions among a broader range of stakeholders
 - Ensuring high quality installations and upgrades
 - Other.
- The proposed portfolio of building upgrade technologies and strategies include at a minimum: (1) weatherization and envelope improvements and (2) efficient electric equipment installations (e.g., heat pumps, heat pump water heaters, and electric appliances), that are feasible for the climate zone(s) and building types identified in the building upgrade zone.
- The proposed building upgrade strategies will deliver substantial benefits to residents/occupants.
- The team has identified potential negative impacts to residents/occupants and described preliminary plans to minimize negative impacts.

Concept Plan Narrative

Criterion 3: Scaling and Replicating Innovation Through Community Engagement	
<p>Suggested content team provides:</p> <ul style="list-style-type: none">• Describe how the innovation(s) addressing key challenge(s) outlined in Criterion 2 may be scaled to realize widespread adoption of building upgrades in the building upgrade zone.• How will your team work to center community members, especially historically marginalized community members, and/or other stakeholders in leadership and decision-making roles as you develop and scale your building upgrade initiative in your building upgrade zone?• Explain how the innovations addressing key challenge(s) described in Criterion 2 may be replicable (e.g., to other communities, building types) by your team or others.• Describe the stakeholders and who would be important to engage in order to replicate the innovative strategy (e.g., to other building types or locations).	<p>Each statement is scored on a 1–6 scale:</p> <ul style="list-style-type: none">• The team articulated a compelling vision for how the innovation(s) can be scaled in the building upgrade zone.• The team demonstrates a commitment to centering community leadership and meaningfully involving other stakeholders in the development and scaling of the building upgrade initiative.• The team has clearly explained how their innovation(s) can be replicated in other communities or building types.• The team has described the stakeholders that would be important to engage in order to replicate the innovation(s) elsewhere.

Concept Plan Narrative

Criterion 4: Demonstrating Capabilities and Team Characteristics Critical for Success	
<p>Suggested content team provides:</p> <ul style="list-style-type: none">• What organizations/departments are on your team and what skills does each bring to the team?• Describe the team’s experience accessing and combining multiple sources of funding to fully resource initiatives or activities. (Note: letters of support from organizations that may provide funding to your building upgrade initiative are optional but encouraged.)• What type(s) of support and technical assistance do you anticipate you will need to further develop and implement a building upgrade initiative?• Describe your team’s proposed budget for the next year if you win a prize award. How do you anticipate funding will be allocated between team members?	<p>Each statement is scored on a 1–6 scale:</p> <ul style="list-style-type: none">• The team includes members with the skills to develop and implement a building upgrade initiative, including members who can effectively lead community engagement efforts.• The team includes expertise accessing and combining multiple sources of funding to resource initiatives or activities.• The team demonstrates an understanding of the support and technical assistance they may need to address the identified key challenges.• The proposed annual budget allocates funding among team members in a manner that will support success.

Concept Plan Narrative

Criterion 5: Achieving Equitable Building Upgrade Strategies

(for teams submitting to be selected for the Equity-Centered Innovation Pathway only)

Suggested content team provides:

- How do the buildings your team proposes to address meet at least one criterion for equity-eligible buildings (see Section 3.5 for criteria)?
- What proportion of total building upgrades performed through your building upgrade initiative do you anticipate will take place in equity-eligible buildings? (Note: to be selected for the Equity-Centered Innovation Pathway, teams should commit to performing at least 80% of total upgrades in equity-eligible buildings.)
- Describe community-based organizations (CBOs) or other organizations on your team that represent and/or serve the occupants of the equity-eligible buildings to be addressed.
- Describe these organizations' history with the building occupants/residents and how they are well-positioned to provide valuable community perspectives to the team's planning and decision-making processes and/or contribute to initiative implementation. (Note: letters of support are required if the team is not led by a CBO or Indian tribe.)

Each statement is scored on a 1–6 scale:

- The proposed buildings to be addressed by the initiative meet at least one criterion for equity-eligible buildings as defined in Section 3.5.
- The team intends to implement at least 80% of building upgrades in equity-eligible buildings.
- The team includes CBOs or other organizations that can represent the equity-eligible building residents/occupants in the building upgrade zone.
- The CBOs or other organizations are well-positioned to provide knowledge of community needs and to help shape overall the building upgrade initiative.

Additional Submission Materials

Summary Slide

Required

Make a public-facing, one-slide submission summary that introduces your team and your building upgrade innovation concept. The summary slide may be made public.

Letters of Support

Required for Equity-Centered Innovation Pathway if CBO or Indian tribe is not lead applicant

Letters of support from team member organizations or other key partners and stakeholders involved in your initiative (e.g., community residents) may be uploaded in .pdf format. Teams applying for the Equity-Centered Innovation Pathway must include at least one letter of support from a relevant CBO or Indian tribe if the CBO or Indian tribe is not the lead applicant. Letters should detail any past work with the team and how the organization will be involved with or benefit from the proposed initiative.

Video Pitch

Optional

Upload a video (up to three minutes) that will familiarize reviewers and the public with your team and your concept. Suggested content for the video includes an introduction to your team, the building upgrade innovation concept, and the anticipated impact. The three-minute video pitch may be made public.

Phase 1: Concept Scoring

The narrative response will be scored from 1 to 6 on how well the team addresses the statements in each criterion.

1	2	3	4	5	6
Strongly Disagree	Disagree	Slightly Disagree	Slightly Agree	Agree	Strongly Agree

Phase 1: Concept Scoring

Criterion 1: Assessing and Prioritizing Challenges

Suggested content team provides:

- Describe the building upgrade zone—the area identified for the initial application of the building upgrade innovation. This may be an entire community, neighborhoods within a community, a utility service area, portfolio of geographically dispersed buildings, or another zone. Describe building type(s) to be addressed within the building upgrade zone and any key characteristics of these buildings.
- Describe your team’s understanding of the greatest challenges to building upgrades in your building upgrade zone (e.g., lack of contractor familiarity with decarbonization technologies and integrated building upgrades, high first costs for labor and equipment compared to conventional equipment, lack of retrofit materials/components, limited short-term financial payback, insufficient number of skilled workers to successfully implement retrofits, lack of reach of funding and incentive programs to historically underserved households).
- Explain how your team prioritized these challenges as critical to enabling widespread upgrades in your building upgrade zone.
- Describe initial stakeholder engagement your team has conducted, including engagement with historically marginalized communities, to identify and understand these challenges.

Each statement is scored on a 1–6 scale:

- The team has a clearly defined building upgrade zone and demonstrates an understanding of the buildings to be addressed within it.
- The team demonstrates a comprehensive understanding of the challenges to energy and efficient electrification in the building upgrade zone.
- The team has articulated why addressing these challenges is critical to enabling widespread energy efficiency and efficient electrification upgrades.
- The team has sought out diverse stakeholder perspectives, including with historically marginalized communities, to assess and understand challenges to building upgrades.

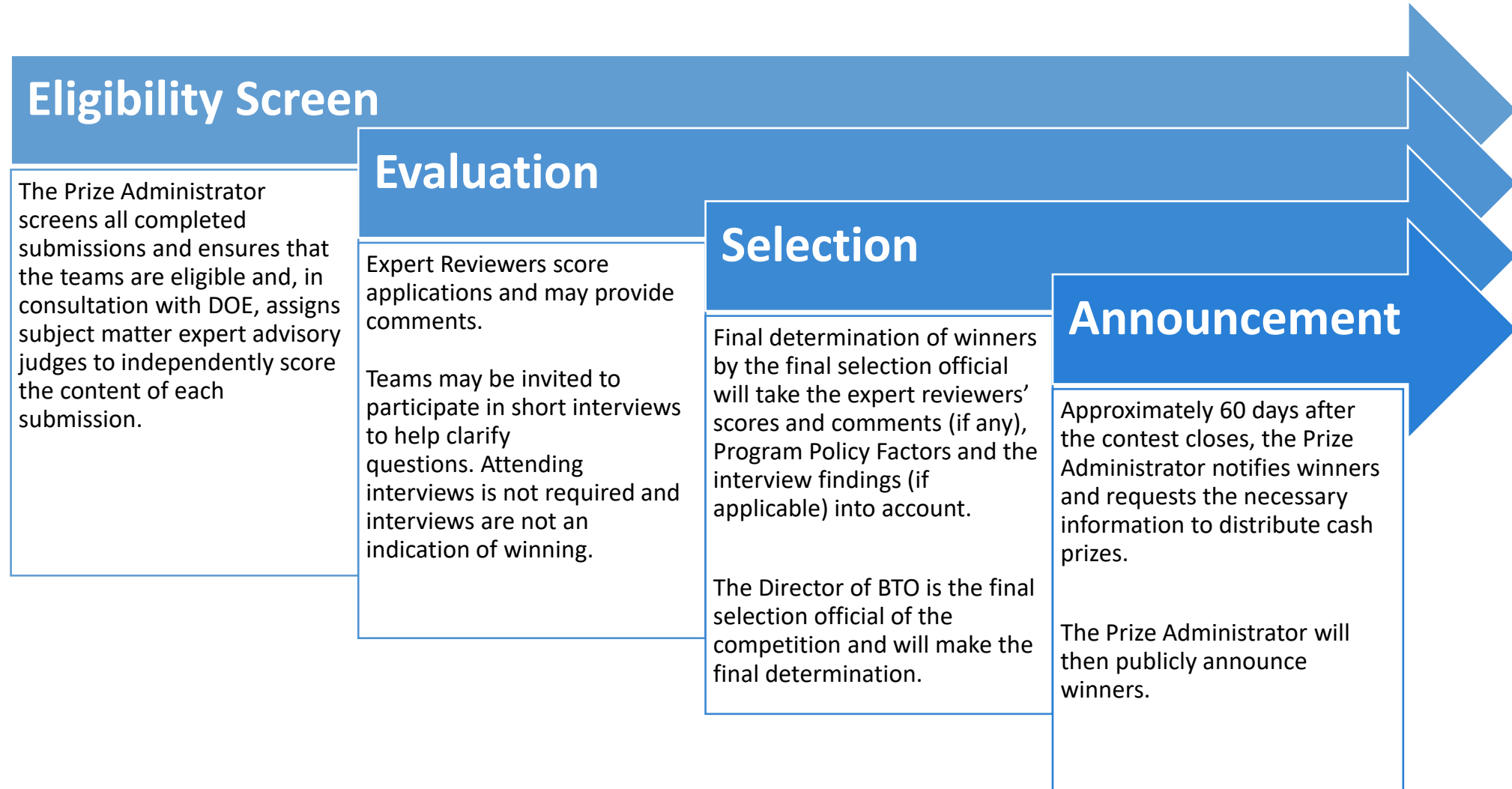
Equity-Centered Innovation Pathway Scoring

Criteria	Number of Scored Statements	Percentage of Total Score	Total Possible Points
Criterion 1: Assessing and Prioritizing Challenges	4	20%	24
Criterion 2: Addressing Challenges Through Innovation: Initiative Scope and Impacts	4	20%	24
Criterion 3: Scaling and Replicating Innovation Through Community Engagement	4	20%	24
Criterion 4: Demonstrating Capabilities and Team Characteristics Critical for Success	4	20%	24
Criterion 5: Achieving Equitable Building Upgrade Strategies	4	20%	24
TOTAL	20	100%	120

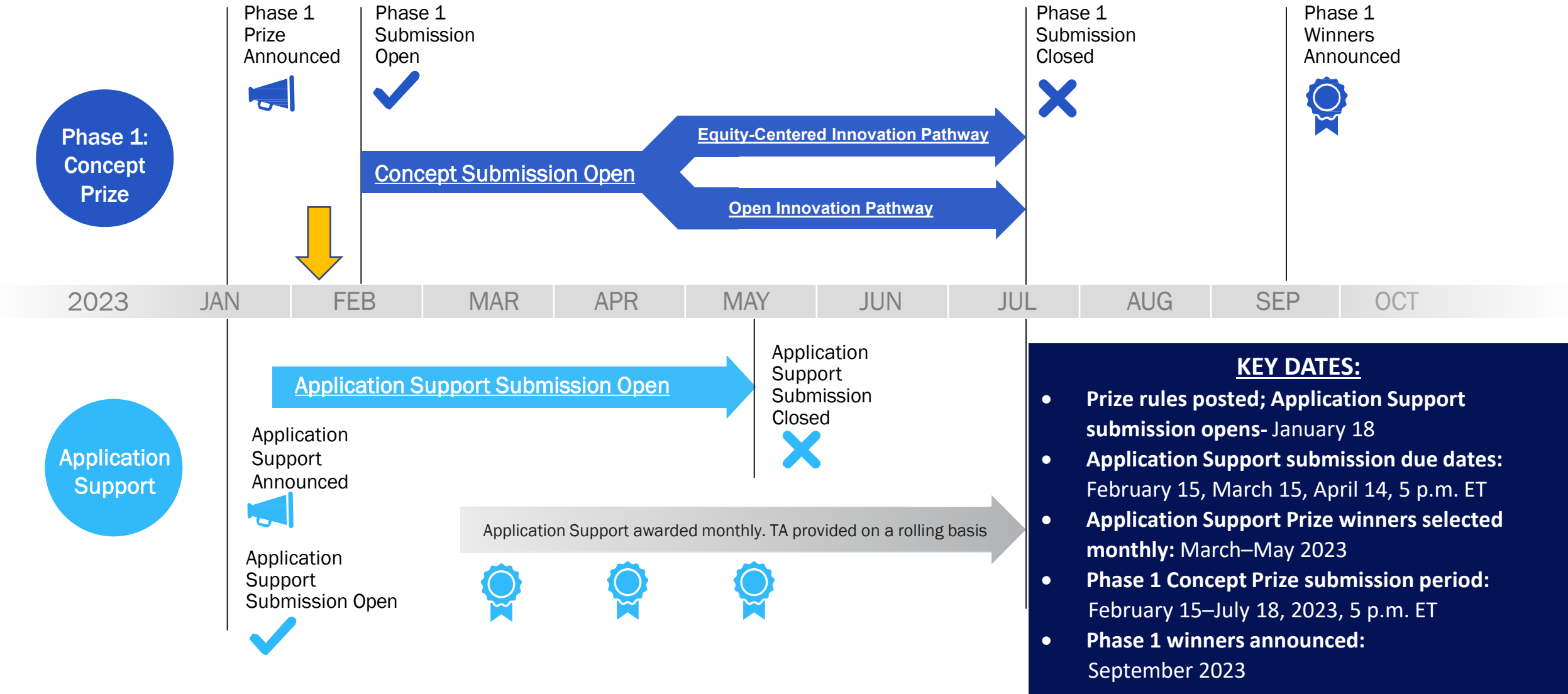
Open Innovation Pathway Scoring

Criteria	Number of Scored Statements	Percentage of Total Score	Total Possible Points
Criterion 1: Assessing and Prioritizing Challenges	4	25%	24
Criterion 2: Addressing Challenges Through Innovation: Initiative Scope and Impacts	4	25%	24
Criterion 3: Scaling and Replicating Innovation Through Community Engagement	4	25%	24
Criterion 4: Demonstrating Capabilities and Team Characteristics Critical for Success	4	25%	24
TOTAL	16	100%	96

Winner Selection and Announcement Process



Phase 1 Timeline

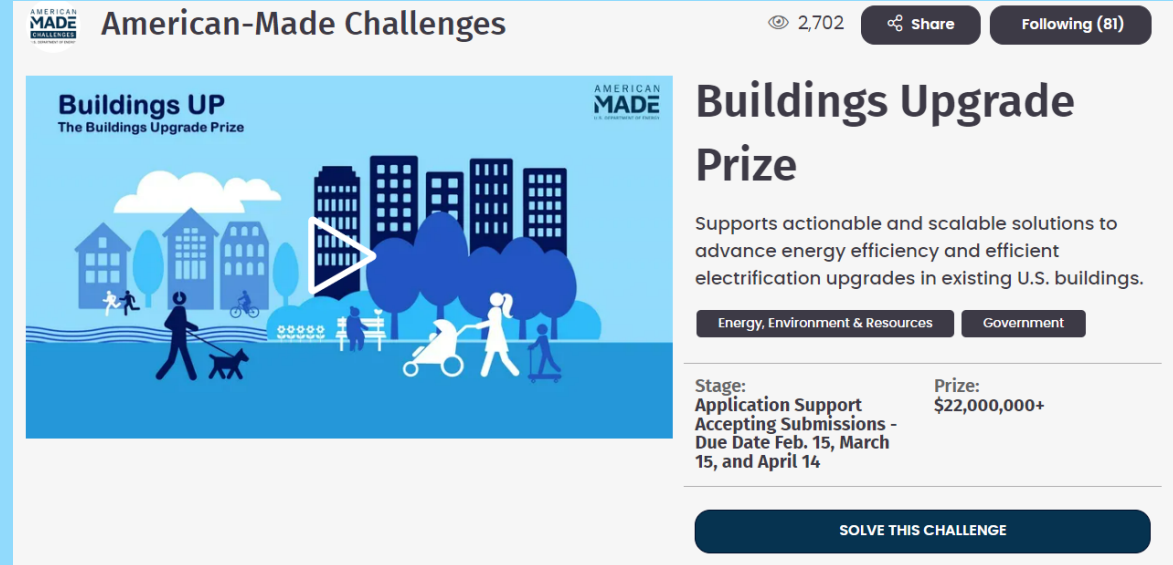


Next Steps

- **Follow Buildings UP** on HeroX for all prize-related news and updates.
- **Read the rules** and review the [FAQs](#) on HeroX.
- **Click on the “SOLVE THIS CHALLENGE” button.**
- **If eligible, apply for application support** by February 15, March 15, or April 14 at 5 p.m. ET
- **Participate in upcoming trainings** (see HeroX)
- **Submit a Phase 1: Concept application** via HeroX by July 18, 5 p.m. ET.

Follow: www.HeroX.com/BuildingsUP

Questions: buildingsUP@nrel.gov



The screenshot shows the 'American-Made Challenges' interface. At the top, it says 'American-Made Challenges' with a view count of 2,702, a 'Share' button, and a 'Following (81)' button. The main challenge is 'Buildings UP: The Buildings Upgrade Prize'. The description states: 'Supports actionable and scalable solutions to advance energy efficiency and efficient electrification upgrades in existing U.S. buildings.' There are two category buttons: 'Energy, Environment & Resources' and 'Government'. The 'Stage' is 'Application Support Accepting Submissions - Due Date Feb. 15, March 15, and April 14'. The 'Prize' is '\$22,000,000+'. A large 'SOLVE THIS CHALLENGE' button is at the bottom.

American-Made Challenges 2,702 Share Following (81)

Buildings UP
The Buildings Upgrade Prize

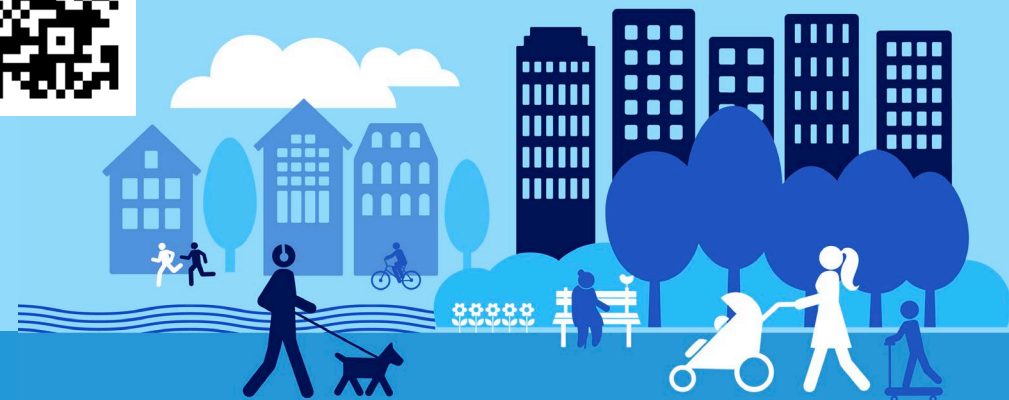
Supports actionable and scalable solutions to advance energy efficiency and efficient electrification upgrades in existing U.S. buildings.

Energy, Environment & Resources Government

Stage: Application Support Accepting Submissions - Due Date Feb. 15, March 15, and April 14

Prize: \$22,000,000+

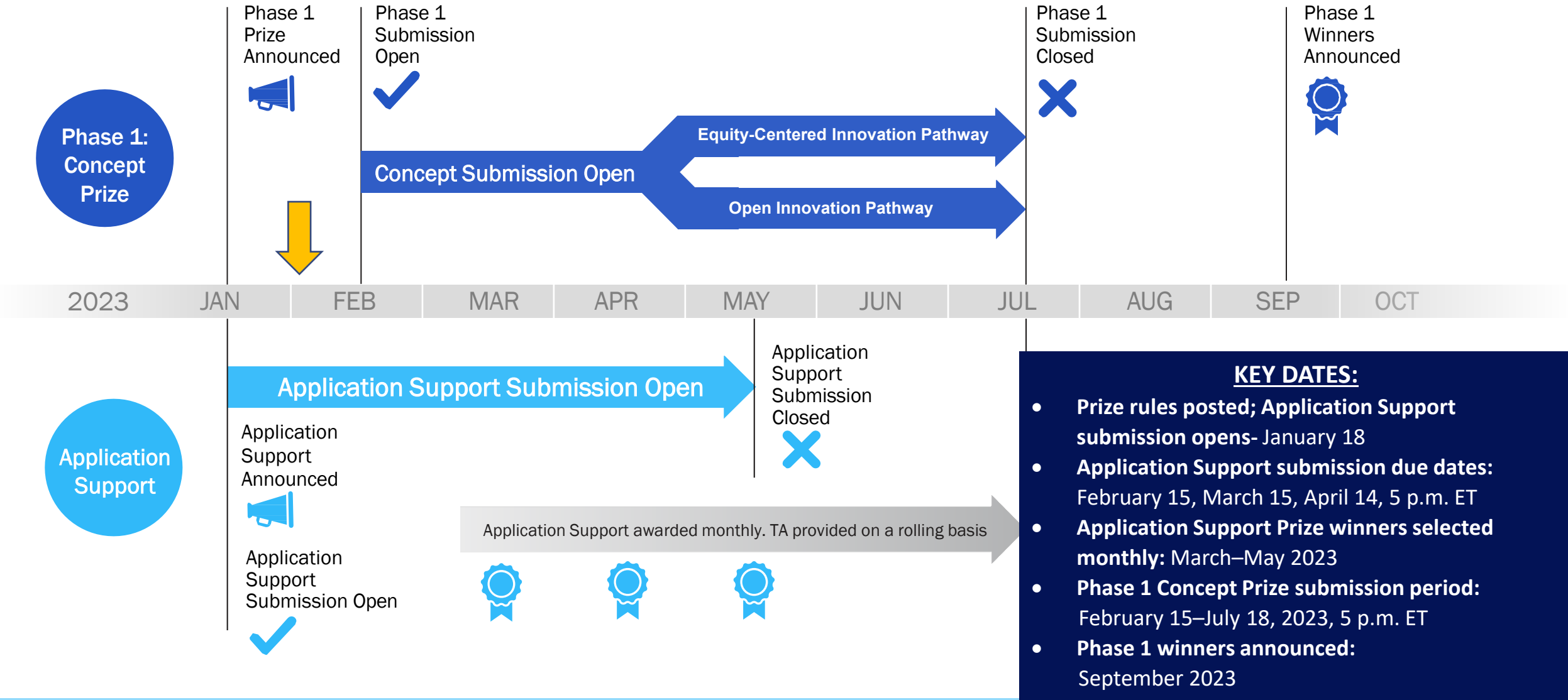
SOLVE THIS CHALLENGE



Phase 1 Summary & Q&A

Please submit questions through the Q&A box.

Phase 1 Timeline



Phase 1 Application Support Details

Deadlines:

- February 15
- March 15
- April 14

Elevate Application Support Team



Henry Love

- Principal Director of Municipal and Community Programs



Gustavo Cordero

- Project Manager and Primary Application Support Contact



Jose Hernandez

- Manager, Community Resources and Spanish Language Support



What to Expect

After you are awarded Application Support...

- **NREL will facilitate a handoff to a representative from Elevate.** This representative will be your single point of contact throughout the Application Support Process.
- **Additional application support will be provided,** based on the initial Listening Session and Follow-up Session.
- **Maximize the impact of your 10 hours of Application Support,** leading to the best possible team composition and program scope for your final submission.

What Application Support Is and Is Not

- ✓ Listening and Feedback Sessions
- ✓ Meetings with Experts on Specific Application Criteria
- ✓ Facilitation of Application Team Meetings Around Priority Issues

- ✗ A Guarantee of Funding
- ✗ Deep Research or Analysis
- ✗ Drafting Application Content
- ✗ A Directive or Requirement for how your Final Application and Team Composition should look
- ✗ Application Support Winners may not send draft application text to Elevate for review or comment

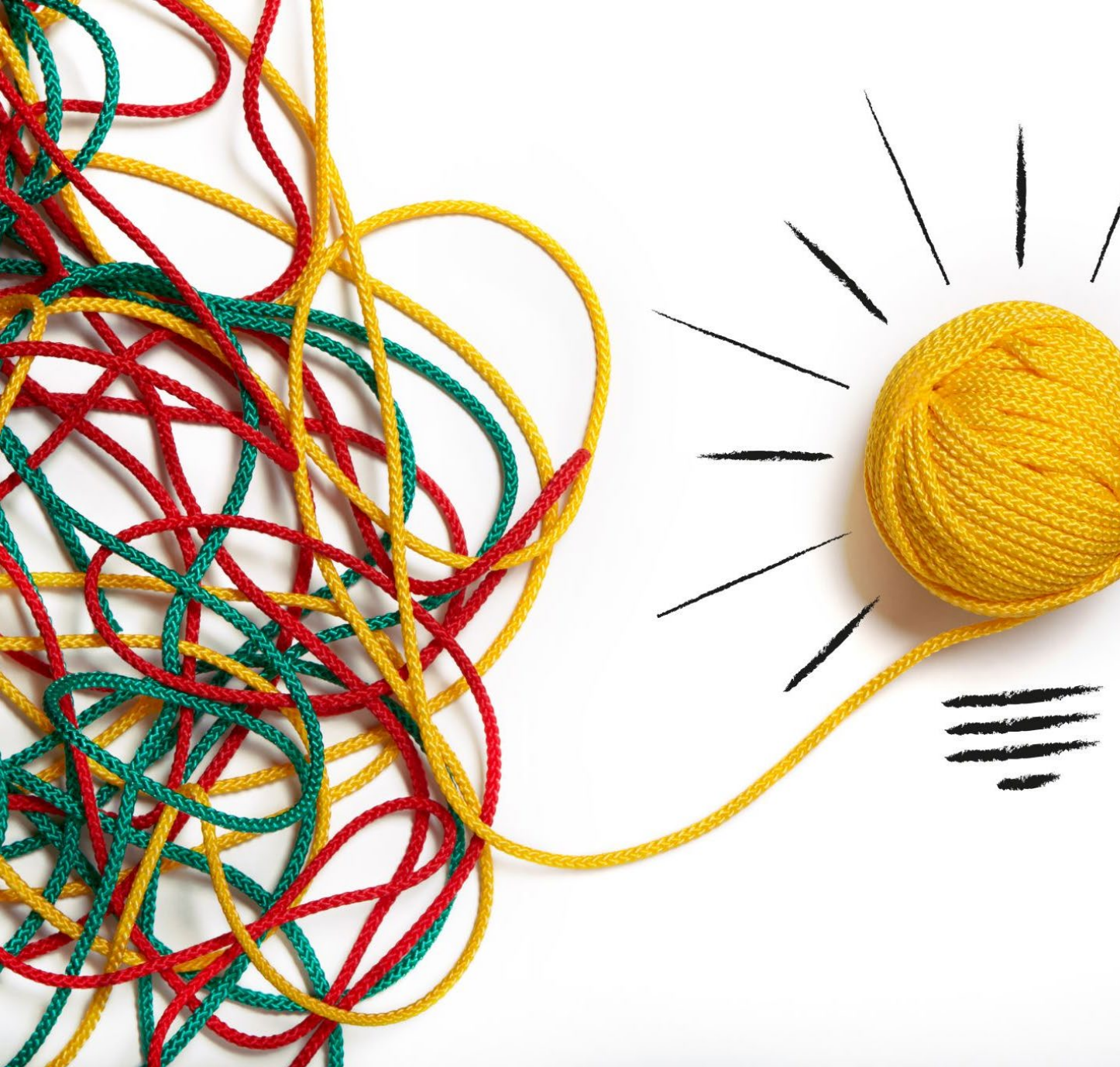
Phase 1: Concept Submission

Due July 18, 2023

Submission Items

- Eligibility Information
- Team Information
- Concept Plan Narratives
- Summary Slide
- Video Pitch (Optional)
- Letters of Support





Phase 1: Concept Submission Elements

1. Assessing and Prioritizing Challenges
2. Addressing Challenges Through Innovation: Initiative Scope and Impacts
3. Scaling and Replicating Innovation Through Community Engagement
4. Demonstrating Capabilities and Team Characteristics Critical to Success
5. Achieving Equitable Building Upgrade Strategies

Application Support Process

Total: 10 hours



Listening Session

Meet Application Team
Understand Community
Priorities
Identify Initial Assets and
Barriers



Follow-Up Session

Provide Initial Feedback
Identify Specific Areas for
Development
Schedule Additional
Sessions



Additional Sessions

Discussion of Overarching
Concept
Specific Application Criteria
Team Composition



Final Consultation

Final Sessions on Targeted
Application Areas
Review of Timeline to
Submit

Listening Session

- Elevate will schedule an initial Listening Session, where we will have your team tell us about:
 - Your current team composition
 - The current scope of your submission
 - Available assets, institutions, and programs in your community
 - Any challenges or barriers you believe will be difficult to overcome
 - Specific areas you believe you will need support on to improve your submission
- At the end of the Listening Session, Elevate will establish a 1:1 contact to coordinate future sessions.



Follow-Up Session

- The Application Support team will prepare an outline of recommended Application Support next steps
- We will work with your team to agree on the Application Support Plan and discuss next steps
- Any interim actions, deliverables, and future sessions will be agreed upon and scheduled





Additional Sessions

Based on the Follow-Up Session and Application Support Plan, additional sessions will be coordinated and scheduled, including:

- Focused sessions on specific areas of the application
- Identify experts and specialists that could provide information that would be beneficial to your submission
- Facilitate sessions to discuss critical issues related to your application team, scope of application, and other priority conversations to help ensure a quality application can be submitted on time
- Other sessions that fit within the scope of application assistance, as mutually agreed upon by Elevate and the application team

Final Consultation

- The Final Consultation includes answering questions, discussing concept and approach, and providing oral feedback.
- Elevate may not provide direct input on the text of Application Support Winners' Phase 1 Concept submissions.
- The Elevate team will request an expected timeline for your application submission and may follow up to confirm your application has been submitted.





Thank You