



Pre-Application Workshop

Federal Cost Share Under the Electric Program Investment Charge

PON-14-308

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Research and Development Division
California Energy Commission
November 14, 2014



Agenda

Time	Topic
1:30 pm	<p>Welcome and Introductions</p> <ul style="list-style-type: none">• Housekeeping• Background, Policy Drivers• Solicitation Purpose & Goal, Funding• Key Dates• Eligible Applicants and Eligible FOAs
2:00 pm	<p>Submission Process</p> <ul style="list-style-type: none">• Two-stage Process• Stage 1 Requirements• Stage 2 Requirements• Grounds for Rejection• Key Dates• More Information
2:30 pm	<p>Questions and Answers</p>



Housekeeping

- In case of emergency
- Facilities
- Muting of WebEx during presentation
- Q&A protocol
- Updates on Solicitation Documents and today's presentation can be found at:

<http://energy.ca.gov/contracts/PON-14-308/>



Background

- The Electric Program Investment Charge (EPIC) is funded by an electricity ratepayer surcharge established by the (CPUC) in 2011
- The purpose of EPIC is to benefit the ratepayers of three electric investor-owned utilities*
- EPIC funds clean energy technology projects that promote greater electricity reliability, lower costs, and increased safety.
- Funded projects must lead to technological advancement and breakthroughs to overcome the barriers that prevent the achievement of the state's statutory energy goals.
- Annual program funds total \$162 million per year with 80% administered by the California Energy Commission.

*Pacific Gas and Electric Co., San Diego Gas and Electric Company and Southern California Edison



Policy Drivers for EPIC RD&D

- Assembly Bill 32 (Global Warming Solutions Act of 2006)
- Integrated Energy Policy Report
- California Clean Energy Jobs Plan
- California Public Utilities Commission, Energy Efficiency Strategic Plan





Purpose & Goal of Solicitation

The purpose of this solicitation is to provide cost share funding to applicants that apply for and receive an award under an eligible federal Funding Opportunity Announcement (FOA) and meet the requirements of this solicitation.

The goal of this solicitation is to leverage future federal investments that provide significant benefits to the California IOU ratepayers



Funding

- Up to \$10 million available
 - \$5 million for Applied Research and Development
 - \$5 million for Technology Demonstration and Deployment

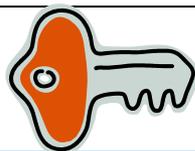




Funding Range

- Applicants may request up to **10 percent** of the federal amount requested or the maximum award amount listed below, **whichever is less**.

Funding Initiative	Minimum award amount	Maximum award amount
S11.1: Applied Research and Development	None	\$3,000,000
S15.1: Technology Demonstration and Deployment	None	\$5,000,000



Key Dates

Activity	Action Date
✓ Solicitation Release	November 4, 2014
Pre-Application Workshop	November 14, 2014
<u>DEADLINE FOR WRITTEN QUESTIONS</u>	<u>November 18, 2014 by 5p.m.</u>
Post Answers to Questions to Website	December 1, 2014
<u>DEADLINE TO SUBMIT PROPOSALS (Stage 1)</u>	<u>See Table 1 and Table 2</u>
Posting Stage 1 Results	Specific to the FOA
<u>DEADLINE TO SUBMIT PROPOSALS (Stage 2)</u>	<u>Specific to FOA</u>
Post Notice of Proposed Award	60 Days after submission of Stage 2
Anticipated Energy Commission Business Meeting Date	90 Days after release of NOPA
Anticipated Agreement Start Date	30 Days after Energy Commission Business Meeting
Agreement Termination Date	3 to 4 years (36 to 48 months) after to project start date, no later than March 31, 2020



Eligible Applicants

- This is an open solicitation for public and private entities and individuals; with the exception of publicly-owned utilities
- Business Applicants are required to register with the California Secretary of State and be in good standing in order to enter into an agreement with the Energy Commission. <http://www.sos.ca.gov>
- All applicants must agree to the terms and conditions located at: www.energy.ca.gov/research/epic



Eligible FOAs

- Applicants must apply for a FOA that is listed in Tables 1 or 2. These tables also list the due date for submitting applications to the Energy Commission. This is a continuous solicitation and the Energy Commission may update Tables 1 and 2 as new FOAs are released. Applicants must sign up for the Energy Commission's Opportunity List Serve at <http://www.energy.ca.gov/listservers/> in order to be notified of updates.



Current Eligible FOAs

Table 1: Eligible FOAs for Applied Research and Development Projects (S11.1) and Energy Commission Application Due Date

Funding Opportunity Announcement (FOA) Number and Title	Energy Commission Application Due Date
DE-FOA-0001166: Building Energy Efficiency Frontier & Innovation Technologies	December 4, 2014
DE-FOA-0001171: Solid-State Lighting Advanced Technology Research and Development	December 4, 2014
DE-FOA-0001108: Sustainable and Holistic Integration of Energy Storage and Solar PV (SHINES)	January 15, 2015

Table 2: Eligible FOAs for Technology Development and Deployment Projects (S15.1) and Energy Commission Application Due Date

Funding Opportunity Announcement (FOA) Number and Title	Energy Commission Application Due Date
DE-FOA-0001168: Advancing Solutions to Improve the Energy Efficiency of U.S. Commercial Buildings	December 4, 2014



Link to the Eligible FOAs

Table 1: Applied Research and Development

Funding Opportunity Announcement (FOA) Number and Title	Link
DE-FOA-0001166: Building Energy Efficiency Frontier & Innovation Technologies	http://energy.gov/eere/buildings/articles/apply-building-energy-efficiency-frontiers-and-innovation-technologies
DE-FOA-0001171: Solid-State Lighting Advanced Technology Research and Development	http://energy.gov/eere/buildings/articles/apply-solid-state-lighting-advanced-technology-rd-2015-funding-opportunity
DE-FOA-0001108: Sustainable and Holistic Integration of Energy Storage and Solar PV (SHINES)	http://energy.gov/eere/sunshot/sustainable-and-holistic-integration-energy-storage-and-solar-pv-shines

Table 2: Technology Demonstration and Deployment

Funding Opportunity Announcement (FOA) Number and Title	Link
DE-FOA-0001168: Advancing Solutions to Improve the Energy Efficiency of U.S. Commercial Buildings	http://energy.gov/eere/buildings/articles/apply-funding-opportunity-advancing-solutions-improve-energy-efficiency



Two Stage Process

- **Stage One: Preliminary Application Screening and Scoring (Pre-Federal Award)**
 - Screen applications for compliance with the Screening Criteria in **Section E** of this solicitation. **Applications that fail any of the screening criteria will be rejected.**
 - Applications that pass Stage One screening will be submitted for review and scoring based on the Scoring Criteria in **Section E** of this Solicitation.
 - Applications that pass Stage One screening and scoring will receive a **Letter of Intent** from the Energy Commission that specifies the Commission's intent to fund the project if it passes Stage Two screening and scoring



Two Stage Process

- **Stage Two: Final Application Screening and Scoring (Post-Federal Award)**
 - Applications that pass Stage One and receive a federal award will be evaluated in two stages
 - **Final Screening:** Screen applications for compliance with the Screening Criteria in Section F of this Solicitation. **Applications that fail any of the screening criteria will be rejected.**
 - **Final Scoring:** Applications that pass Stage Two screening will be submitted for review and scoring based on the Scoring Criteria in Section F of this Solicitation.



Stage One Requirements

Every Applicant must complete and include the following Attachments:

1. Application Form (Attachment 1)	7. Reference and Work Product Form (Attachment 9)
2. Executive Summary Form (Attachment 2)	8. Contact List (Attachment 10)
3. Fact Sheet (Attachment 3)	9. Commitment and Support Letter Form (Attachment 11) (Requirement will be removed in future Addendum)
4. Project Narrative Form (Attachment 4)	10. Proof of Federal Application (Requirement will be removed in future Addendum)
5. Project Team Form (Attachment 5)	
6. California Environmental Quality Act (CEQA) Compliance Form (Attachment 8)	



How will my Proposal be Evaluated? Stage 1 Proposal Screening

Application Screening Process (page 24 of the Application Manual)

- 1. Energy Commission staff screens applications per criteria listed in the Application Manual on pg. 24**
- 2. Criteria is evaluated on a pass/fail basis.**
 - ✓ Applicants must pass all screening criteria or the applicant will be disqualified**
 - ✓ Applicants must review the Evaluation and Award Process section of the solicitation and ensure that the Project Narrative provides a clear and complete response to each screening criteria.**



Project Narrative (Attachment 4)

- Complete the form by providing a detailed description of the proposed project(s) and respond to the information requested in each of the following areas:
 1. Technical Merit and Need
 2. Technical Approach
 3. Impacts and Benefits for California IOU Ratepayers
 4. Team Qualifications, Capabilities and Resources
 5. EPIC Federal Funds Spent in California
 6. Budget and Cost-Effectiveness
- Provide enough detail so that reviewers will be able to evaluate the proposal against each of the scoring criteria.
- Limit the response to 30 pages



5. EPIC and Federal Funds Spent In CA

Projects that spend either EPIC funds or federal funds (i.e., funds awarded by a federal agency under an eligible FOA) in California will receive points as indicated in the table below. “Spent in California” means that: (1) Funds under the “Direct Labor” category and all categories calculated based on direct labor are paid to individuals who pay California state income taxes on wages received for work performed under the agreement; and (2) Business transactions (e.g., material and equipment purchases, leases, rentals, and contractual work) are entered into with a business located in California.

Airline ticket purchases and payments made to out-of-state workers are not considered funds “spent in California.” However, funds spent by out-of-state workers in California (e.g., hotel and food) are considered funds “spent in California.”

Percentage of EPIC and/or federal funds spent in California (derived from the Project Narrative Form, Attachment 4, item #5)	Percentage of Possible Points
>60%	20%
>70%	40%
>80%	60%
>90%	80%
=100%	100%



Match funds

Matching funding is **NOT** required under this solicitation



How will my application be evaluated?

- Evaluation Committee applies the scoring scale to the scoring criteria
- **A total minimum passing score of 70 out of 100 points is needed for all criteria (1 to 6)**
- Applicants must review the Evaluation and Award Process section of the solicitation and ensure that their application provides a clear and complete response to each scoring criteria in the project narrative.

Scoring Criteria (page 27-30)	Maximum Points
1. Technical Merit and Need	15
2. Technical Approach	10
3. Impacts and Benefits to California IOU Ratepayers	30
4. Team Qualifications, Capabilities & Resources	10
5. EPIC and Federal Funds spent in CA	30
6. Budget and Cost Effectiveness	5
Total	100
Minimum points to pass	70



What is the technical scoring scale?

% of Possible Points	Interpretation	Explanation for Percentage Points
0%	Not Responsive	<ul style="list-style-type: none"> The response does not include or fails to address the criteria. The omission(s), flaw(s), or defects()are significant and unacceptable.
10-30%	Minimally Responsive	<ul style="list-style-type: none"> The response minimally addresses the criteria. The omission(s), flaw(s), or defect(s) are significant and unacceptable.
40-60%	Inadequate	<ul style="list-style-type: none"> The response addresses the criteria. There are one or more omissions, flaws, or defects or the criteria are addressed in a limited way that results in a low degree of confidence in the proposed solution.
70%	Adequate	<ul style="list-style-type: none"> The response adequately addresses the criteria. Any omission(s), flaw(s), or defect(s) are inconsequential and acceptable.
80%	Good	<ul style="list-style-type: none"> The response fully addresses the requirements being scored with a good degree of confidence in the applicant's response or proposed solution. There are no identified omission(s), flaw(s), or defect(s). Any identified weaknesses are minimal, inconsequential, and acceptable.
90%	Excellent	<ul style="list-style-type: none"> The response fully addresses the criteria with a high degree of confidence in the applicant's response or proposed solution. The applicant offers one or more enhancing features, methods, or approaches that exceed basic expectations.
100%	Exceptional	<ul style="list-style-type: none"> All requirements are addressed with the highest degree of confidence in the applicant's response or proposed solution. The response exceeds the requirements in providing multiple enhancing features, a creative approach, or an exceptional solution.



Stage Two

Applications that pass Stage One screening and scoring will receive a **Letter of Intent** from the Energy Commission that specifies the Commission's intent to fund the project if it passes Stage Two screening and scoring



Stage Two Requirements

Every Applicant must complete and include the following Attachments:

1. Application Form (Attachment 1)	7. Energy Commission Budget Forms (Attachment 7)
2. Revised Project Narrative (Attachment 4a)	
3. Proof of Federal Award	
4. Approved Federal Scope of Work	
5. Approved Federal Budget	
6. Energy Commission Scope of Work (Attachment 6 and 6A)	



How will my Proposal be Evaluated? Stage 2 Proposal Screening

Application Screening Process (page 31 of the Application Manual)

- 1. Energy Commission staff screens applications per criteria listed in the Application Manual on pg. 31**
- 2. Criteria is evaluated on a pass/fail basis.**
 - ✓ Applicants must pass all screening criteria or the applicant will be disqualified**
 - ✓ Applicants must review the Evaluation and Award Process section of the solicitation**



Revised Project Narrative (Attachment 4a)

- Check the “Revisions to the Project Narrative Form”;
- Make revisions to the original Project Narrative Form in **underline/strikethrough format**; and
- Submit the revised Project Narrative Form, using this attachment as a cover page.

OR

- Check the “No Revisions to the Project Narrative Form”; and
- Submit only this attachment. **Do not** resubmit the original Project Narrative Form.



Federal Award Proof

- **Proof of Federal Award**
 - Provide a letter from the awarding federal agency that confirms that the applicant has received an award for the project identified on the application form. The letter must include the name of the project, the FOA number, and the amount of the federal award.
- **Approved Federal Scope of Work**
 - Provide a copy of the Scope of Work approved by the federal awarding agency for inclusion in the federal agreement. Redact any confidential information from the Scope of Work (see the “Confidentiality” provision in Part IV, Section D).
- **Approved Federal Budget**
 - Provide a copy of the federal budget approved by the federal awarding agency for inclusion in the federal agreement. Redact any confidential information from the Scope of Work (see the “Confidentiality” provision in Part IV, Section D).



Energy Commission Scope of Work (Attachment 6 and 6 a)

- Ensure that the problem/Solution Statement and Goals and Objectives are consistent with the Project Narrative
- All task 1 items are mandatory; do not revise
 - Task 1: General Project Tasks that include: Products, Kick-off Meeting, CPR Meetings, Final Meeting, Progress Reports and Invoices, Final Report, Permits, Technical Advisory Committee (TAC), and TAC Meetings
- Task 2 are the technical tasks
 - Indicate specific tasks in the “Recipient Shall” section (these should be major items)
 - “Products” are documents, plans and reports (tangible items that can be submitted to the CAM)
 - “Products” are not equipment and other items that cannot be delivered and stored at the Energy Commission.
- Attachment 6A is the Project Schedule for the Scope of Work



Energy Commission Modified Budget (Attachment 7)

Don't delete sheets or rows;
use the hide/expand function

- **The Prime Applicant and each of the major subcontractors must provide complete budget forms**
 - ✓ Category Budget
 - ✓ Task Budget
- **The Prime Applicant is responsible for the completeness and accuracy of the entire team's Budget Forms**

The Applicant must submit information on **all** of the attached budget forms, and this will be evaluated under the Budget and Cost-Effectiveness criteria



How will my application be evaluated?

- Evaluation Committee applies the scoring scale to the scoring criteria
- **A total minimum passing score of 70 out of 100 points is needed for all criteria (1 to 6)**
- Applicants must review the Evaluation and Award Process section of the solicitation and ensure that their application provides a clear and complete response to each scoring criteria in the project narrative.
- Scores may change in Stage Two if there has been significant changes from Stage One
 - Projective Narrative Changes
 - EPIC and Federal Funds spent in CA Changes

Scoring Criteria (page 27-30)	Maximum Points
1. Technical Merit and Need	15
2. Technical Approach	10
3. Impacts and Benefits to California IOU Ratepayers	30
4. Team Qualifications, Capabilities & Resources	10
5. EPIC and Federal Funds spent in CA	30
6. Budget and Cost Effectiveness	5
Total	100
Minimum points to pass	70



Grounds for Rejection

An application will be disqualified by the Energy Commission for the following reasons:

- ✓ Application contains false or misleading statements
- ✓ Application is intended to mislead the State in its evaluation
- ✓ The application does not comply with the solicitation requirements
- ✓ The application contains confidential information
- ✓ Applicant is not in compliance with royalty provisions from previous Energy Commission awards
- ✓ Applicant has received unsatisfactory evaluations from the Energy Commission or another California state agency
- ✓ Applicant has not demonstrated financial capability to complete the project
- ✓ Applicant is a business that is not in good standing with the California Secretary of State

See complete List of grounds for rejection, Part IV , section C (page 21) of the Application Manual



Key Dates



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More Information

- **Updates on Solicitation Documents and today's presentation:**
<http://energy.ca.gov/contracts/epic.html#PON-14-308>
- **Sign up for the Listserver by selecting "Opportunity:"**
www.energy.ca.gov/listservers/
- **Information on EPIC:**
www.energy.ca.gov/research/epic/index.html
- **Information on other EPIC solicitations:**
www.energy.ca.gov/contracts/epic.html
- **EPIC FAQ**
<http://www.energy.ca.gov/research/epic/faq.html>



Questions and Answers

- Please send all PON related questions in written form to:

Sandra Raymos
Commission Agreement Officer
sandra.raymos@energy.ca.gov

**Deadline to submit questions is
5:00 PM PDT, November 18, 2014!**