



# Department of Commerce

STATE OF WASHINGTON  
DEPARTMENT OF COMMERCE  
STATE ENERGY OFFICE  
OLYMPIA, WASHINGTON

## NOTICE OF FUNDING OPPORTUNITY

|  |   |
|--|---|
| <b>PROJECT TITLE:</b>                  | <b>CEF 3 Research, Development, and Demonstration Grant Program</b> |
| <b>BIDDER CONFERENCE DATE:</b>         | <b>8/7/2018 2:00PM–3:00 PM PST</b>                                  |
| <b>PHASE ONE PRE-APPLICATION DUE:</b>  | <b>8/31/2018</b>  |
| <b>PHASE TWO FULL-APPLICATION DUE:</b> | <b>10/2/2018</b>  |
| <b>CONTRACT PERFORMANCE PERIOD:</b>    | <b>24 – 36 months from contract execution date</b>                  |

**APPLICANT ELIGIBILITY:** This funding opportunity is open to Washington-based entities seeking funds for clean energy technology projects as outlined herein.



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# 1 INTRODUCTION

## 1.1 SUMMARY

The State Energy Office will be accepting grant applications for the Research, Development and Demonstration (RD&D) Program from Washington-based entities seeking funds for clean energy projects. This program is part of the Clean Energy Fund 3 (CEF 3) and appears in Section 1013 of Substitute Senate Bill 6090 of the Capital Budget. In this program, \$7,614,500 will be competitively awarded.

Commerce consulted and coordinated with clean energy institutions of higher learning, national laboratories, and other clean energy organizations to design the grant program. Departments engaged in the consultation process are not eligible to participate in the competitive application process.

Non-state funds being sought will match state RD&D funds at a 1:1 or greater ratio. A higher ratio is desired and will be considered during competitive prioritization and ranking. Program funds must be used to develop and acquire capital assets having a lifespan of 13+ years. It is expected that the projects will be completed within 24 to 36 months of the RD&D match award.

## 1.2 PROGRAM OVERVIEW

The Washington State Legislature created the program to support Washington's research institutions, organizations and clean energy technology companies. Primary goals are to:

- Provide a public benefit to the citizens of Washington State through development, demonstration and deployment of clean energy technologies that save energy and reduce energy costs, reduce harmful air emissions or otherwise increase energy independence for the state.
- Increase the competitiveness of Washington-based research and development organizations by providing a required cost-share or match funding assistance.
- Bring in new non-state funding to help grow Washington's clean technology sector.
- Develop and strengthen relationships and new technologies in the clean energy sector.

The legislation mandates that eligible projects include, but are not limited to:

- Advancing energy storage and solar technologies
- Advancing bioenergy and biofuels
- Development of new earth abundant materials or lightweight materials
- Engineering advanced energy storage materials
- Implementing innovative approaches for recycling of battery components
- Developing new renewable energy and energy efficiency technologies

## 1.3 THIS ROUND OF FUNDING

- There will be one round of funding totaling \$7,614,500, which will be open for competition July 18, 2018.
- The **minimum** grant award that may be requested is \$50,000.
- The **maximum** grant award that may be requested is \$2,500,000.
- Commerce, at its sole discretion, may waive the maximum or minimum grant amount in order to enable a particularly compelling project or package of interrelated projects from collaborating entities.



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- Contracts executed for awarded projects will be performance based, with negotiated milestones, tasks and deliverables. Budgets must be specifically tied to the deliverables for purposes of reimbursement.
- Commerce reserves the right to fund project at or below the requested amounts.
- No more than 100% of the requested RD&D grant amount will be provided in any instance.

### 1.4 MATCH REQUIREMENTS

RD&D funds must be matched by the applicant with non-state dollars at a 1:1 or greater ratio. A higher ratio is desired and additional consideration may be given during the application review process based on this. Matching funds may be sought from lending institutions, investors, federal awards, non-state awards, or the applicant.

- Applicants are expected to notify Commerce of all applicable non-state award decisions.
- Applicants who do not receive their non-state match funding within 12 months of receipt of their award letter may apply for future funding pending new opportunity announcements.
  - An additional six months to secure required match, for a total of 18 months following the date on the award letter, may be provided on a case-by-case basis.
- Successful applicants that secure less than 1:1 match will have the award reduced to the secured match amount.

## 2 GENERAL INFORMATION FOR APPLICANTS

### 2.1 NOTICE OF FUNDING OPPORTUNITY (NOFO) COORDINATOR

The NOFO Coordinator is the sole point of contact in Commerce for this procurement. All communication between the Applicant and Commerce upon receipt of this NOFO shall be with the NOFO Coordinator, as follows:

|                                     |   |
|-------------------------------------|---|
| Name                                | Kristin Ramos   |
| Mailing Address:<br>Street Address: | P.O. Box 42525, Olympia WA 98504-2525<br>1011 Plum Street SE, Olympia WA 98504-2525   |
| Phone Number:                       | 360-515-6504  |
| NOFO Website:                       | <a href="https://www.commerce.wa.gov/growing-the-economy/energy/clean-energy-fund/energy-rdd-clean-energy-fund/">https://www.commerce.wa.gov/growing-the-economy/energy/clean-energy-fund/energy-rdd-clean-energy-fund/</a> |
| E-Mail Address:                     | <a href="mailto:energy_policy@commerce.wa.gov">energy_policy@commerce.wa.gov</a><br>SUBJECT LINE naming convention:<br>CEF 3 RD&D, applicants name, topic   |

#### Applicants:

- May submit only one application per funding round. Each submission will contain a single project.
  - For institutions of higher learning, one application per department may be submitted, unless there is a collaborative project being submitted from joint institutes among universities and research institutions. In these cases, the projects must be separate and distinct, with one department serving as the



## Department of Commerce

project lead and secondary departments may participate in more than one application.

- May submit applications under other CEF Notices of Funding Opportunity; however, projects must be discreet and independent of each other and cannot duplicate funding. Please note that application rounds for other programs may not run concurrent to this application process.
- Must submit applications through the Notice of Funding Opportunity (NOFO).
- Must download documents required to accompany the application from the Commerce website.

### Two Phase Application Process:

- A Phase 1 Pre-Application is required. Applications that pass established thresholds will be eligible to apply in the Phase 2 Full Application round. Established thresholds are based on the Mandatory Eligibility Criteria, as cited in the following section. Applications that do not meet minimum threshold requirements will not be considered for the Phase 2 Full Application process.
- Submitting a project in Phase 1 Pre-Application project does not obligate the applicant to submit a Phase 2 Full Application project.
- The Phase 2 Full Application document shall adhere to the following guidelines and not exceed 15 pages in total length. A template will be provided in the Notice of Funding Opportunity (NOFO).
  - Margins may not be smaller than one inch.
  - The font for this application is Arial 11 point.
  - Paragraph spacing must follow the established template as provided.
- Commerce will determine all final funding award decisions.

### Awardees must:

- Conform to all state laws, regulations and policies.
- Report on all pass-through funding using the Commerce provided reportable expense template under the Governor's Diverse Spend Initiative.
- Comply with State Cultural and Historic Resource requirements and Tribal consultation as required by Governor Executive Order 05-05.
- Complete a Risk Assessment Survey provided by Commerce.
- Comply with audit and monitoring requirements, including scheduled site visits.
- Utilize the online invoicing process for reimbursement.



2.2 ESTIMATED TIMELINE

| Clean Energy Fund #3 – Research, Development, & Demonstration                              |                         |  |
|--|-------------------------|--|
| Estimated Date   | Task Category           | Subtask Description  |
| 07/16/2018   | Required Documents      | Post required documents to website   |
| 07/16/2018   | FAQ                     | FAQ document updated daily from email and posted weekly on website, starting on 07/16/2018 |
| 07/20/2018   | NOFO Released           | NOFO released, appropriate press release & web posting                                     |
| 7/30-8/3   | Outreach                | RD&D Outreach Opportunities  |
| 08/07/2018   | Bidders Conference      | Host and record Bidders Conference   |
| 8/14/2018  | Pre Application Opens   | Phase One Pre Application Opens  |
| 08/31/2018   | Pre Application Closes  | Phase One Pre Application Closes   |
| 09/11/2018   | Applicants Notified     | Notify successful and non-successful initial applicants                                    |
| 09/12/2018   | Full Application        | Phase Two Full Application Opens   |
| 10/02/2018   | Full Application Closes | Phase Two Full Application Closes  |
| 11/06/2018   | Final Decisions         | Evaluation and analysis of scoring and award decisions made                                |
| 11/15/2018   | Awards                  | Awardees and non-awardees notified   |
| 11/25/2018   | Debriefing Conference   | Hold debriefing conferences, if requested  |
| <i>Commerce reserves the right to modify dates as required for program implementation.</i> |                         |  |

2.3 BIDDERS CONFERENCE

Commerce will host a bidders conference via Skype to review the application process and to respond to questions from potential applicants. The online bidder conference will be held August 7, 2018 2:00PM - 3:00 PM Pacific Standard Time via Skype for Business meeting. The link will be posted on the [Commerce Website](#) by August 1, 2018.

Questions regarding the application process may only be submitted in writing, either on the “Conversation” feature on Skype for business during the webinar, or via email to [energy\\_policy@commerce.wa.gov](mailto:energy_policy@commerce.wa.gov). All questions and responses will be published on a “Frequently Asked Questions” (FAQ) document, which will be updated a minimum of weekly on the Commerce Website.

2.4 APPLICATION STEPS

**Step 1:** Review guidelines and Notice of Funding Opportunity (NOFO) thoroughly and note any items for clarification. Ask for clarification via the webinar bidder’s conference, or [energy\\_policy@commerce.wa.gov](mailto:energy_policy@commerce.wa.gov). Review posted questions and answers (Q&A) at the Commerce’s Clean Energy Fund [webpage](#).

**Step 2:** Attend or review the Bidders’ Conference webinar, which will be recorded and published on [Commerce’s Clean Energy Fund webpage](#).

**Step 3:** Confirm the proposed project is an eligible Research, Development, and Demonstration project.

**Step 4:** If the submitted project is eligible, the applicant completes and submits the Phase One Pre-Application, along with all required support documents.

**Step 5:** If the Phase One Pre-Application is approved, the applicant will be notified via email of authorization to proceed to Phase Two Full-Application. An applicant may appeal an ineligibility



determination within two business days by sending an email and supporting documentation to [energy\\_policy@commerce.wa.gov](mailto:energy_policy@commerce.wa.gov). Please type "CEF RD&D Appeal" in the subject line.

**Step 6:** Applicants authorized to proceed to Phase Two Full-Application will have approximately 30 calendar days to submit their proposals. An internal Commerce review team will assess and prioritize projects. An external evaluation team will review project technical requirements. No supplemental information or documents not directly requested by Commerce will be allowed after the application deadline. Applicants will not be provided an opportunity for project presentations. Commerce will make all final funding decisions.

**Step 7:** Notification of Research, Development, and Demonstration Program grant awards, along with notification of unsuccessful proposals, will take place approximately four to six weeks after the Phase Two application due date.

**Step 8:** Successful applicants will enter into contract negotiations starting December 2018.

## 2.5 MANDATORY ELIGIBILITY CRITERIA

Criteria for the grant will include, but not be limited to, identifying the appropriate technology readiness level of the project. Applicants must self-assess their project at the time of application, clearly articulating progress during the developmental phase of the project. Eligible projects must be past conceptualization but not yet at commercialization. For example, major project elements are confirmed to function as a pilot-scale prototype, and requirements toward commercialization are defined, but the project is not ready for commercialization.

Applicants, including project partners, must:

- Be a Washington State-based research institution, non-profit, private business, or other organization pursuing clean energy technology.
- Be able to demonstrate continuous and intensive engagement with the research community through relevant research, development, and/or demonstration projects.
- Show significant in-state presence by conducting primary research, development, demonstration, and deployment in Washington State.
- Have current registration with the Washington State Department of Revenue and Secretary of State, as applicable.
- Not request RD&D funding to supplant or displace prior or existing match commitments.

Projects must:

- Develop or acquire capital assets with a lifespan of greater than 13 years and be located in the State of Washington.
- Be completed within 36 months of execution of the RD&D contract; however, extensions may be considered on a case-by-case basis.
- Demonstrate benefit to Washington State and its citizens.
- Develop or demonstrate eligible clean energy technologies which:
  - either have demonstrated viability, such as pilot or full scale prototype, but not commercialization,
  - have expanded existing technologies through innovation, such as novel configurations or increased efficiencies,
  - specifically enable access to new non-state funding, and/or
  - involve a clean energy technology (refer to the following table).





**Clean Energy Technology Eligibility Summary**

|                                  |  |  |
|----------------------------------|--|--|
| Clean Energy Technology Category | <input type="checkbox"/> Demand response   | <input type="checkbox"/> Fuel cells  |
|                                  | <input type="checkbox"/> Energy conservation   | <input type="checkbox"/> Carbon capture/sequestration  |
|                                  | <input type="checkbox"/> Solar power   | <input type="checkbox"/> Reduced energy consumption/reduced air emissions  |
|                                  | <input type="checkbox"/> Wind power  | <input type="checkbox"/> Energy monitoring   |
|                                  | <input type="checkbox"/> Geothermal  | <input type="checkbox"/> Demand-side management  |
|                                  | <input type="checkbox"/> Wave/tidal/current energy                                     | <input type="checkbox"/> Combined heat and power   |
|                                  | <input type="checkbox"/> Advanced hydropower   | <input type="checkbox"/> Lightweight materials development   |
|                                  | <input type="checkbox"/> Energy storage  | <input type="checkbox"/> Other technology powered by the sun, wind, water, bioenergy, fuel cells or any other renewable, non-depletable or recyclable fuel |
|                                  | <input type="checkbox"/> Bioenergy (biofuels, biogas, biomass)                         | <input type="checkbox"/> Hydrogen  |
|                                  | <input type="checkbox"/> Renewable, biodegradable feedstocks                           |  |
|                                  | <input type="checkbox"/> New energy conversion technologies                            |  |
|                                  | <input type="checkbox"/> Water/waste water clean-up through reduced energy consumption |  |

**2.6 ADDITIONAL AND SECONDARY SELECTION CRITERIA**

**Life Cycle Cost Analysis (LCCA)**

Life-cycle cost analysis (LCCA) is a method to determine the most efficient and cost-effective option among different competing alternatives to purchase, assemble, operate, and maintain an object or process. A LCCA compares initial investment options as well as least cost alternatives for initial design and long term cost effectiveness. The project application must include life cycle cost analysis tailored to each project, and the criteria used for the Life Cycle Cost Analysis must be specified. Commerce has not established a dedicated process for Life Cycle Cost Analysis.

**Ineligible Projects**

Coal, oil, natural gas, or projects in which the primary focus involves these fossil fuels (except when used in fuel cells, energy storage systems or combined heat and power projects) are not eligible for Clean Energy Fund RD&D grants.

**Recipient Reporting**

Recipients of RD&D funding will be expected to report to Commerce no less than quarterly regarding progress of the funded project. A final Fact Sheet summarizing project successes, lessons learned, and other information upon request by Commerce will be required prior to processing the final invoice.

**2.7 PROPRIETARY INFORMATION/PUBLIC DISCLOSURE**

The applicant acknowledges that Commerce is subject to the Public Records Act and that the application and any future contract is a public record as defined in Chapter 42.56 RCW. Any specific information claimed by the applicant to be Proprietary Information must be clearly identified as such by the applicant. "Proprietary Information" means information owned by the





applicant to which the applicant claims a protectable interest under law. Proprietary Information includes, but is not limited to, information protected by copyright, patent, trademark, or trade secret laws.

To the extent consistent with Chapter 42.56 RCW, Commerce will maintain the confidentiality of all such information marked Proprietary Information. If a public disclosure request is made to view the applicant's Proprietary Information, Commerce will notify the applicant of the request and of the date that such records will be released to the requester unless the applicant obtains a court order from a court of competent jurisdiction enjoining that disclosure. If the applicant fails to obtain the court order enjoining disclosure, Commerce will release the requested information on the date specified.

## **2.8 REVISIONS TO THE NOFO**

In the event it becomes necessary to revise any part of this NOFO, addenda will be posted on the [Commerce website](#). Commerce also reserves the right to cancel or to reissue the NOFO in whole or in part, prior to execution of a contract.

## **2.9 DISCLAIMER**

Commerce will not be liable for any costs incurred by the Applicant in preparation of a proposal submitted in response to this NOFO, in conduct of a presentation, or any other activities related to responding to this NOFO.

This solicitation does not commit Commerce to award any funds, pay any costs incurred in preparing an application, or procure or contract for services or supplies. Only responses meeting all Mandatory Eligibility Criteria will be approved for further evaluation in the Phase Two Full Application. Commerce reserves the right to determine at its sole discretion whether the proposer's response to Mandatory Eligibility Criteria in the Phase One Pre Application review is sufficient to pass. Commerce reserves the right to modify award amount from that requested, negotiate with qualified applicants, cancel or reissue at any time without obligation or liability, or change the application guidelines for subsequent funding rounds. If there are changes to the proposed award notification schedule, applicants will be notified via email. Grant and application guidelines, NOFO documents, as well as required documentation for applicant download, will be posted electronically using Commerce's [Clean Energy Fund website](#). Any amendments and addenda to the documents will be posted on the same site.

This solicitation will be distributed electronically to subscribers for Energy [email updates](#) and by posting on Commerce's [Clean Energy Fund website](#). Applicants are responsible for checking the website for updates, amendments, and addenda. Commerce accepts no liability and will provide no accommodation for applicants who submit an application based on out-of-date solicitation documents.

## **2.10 NO OBLIGATION TO CONTRACT**

This NOFO does not obligate the state of Washington or Commerce to contract for services specified herein.



### 3 APPLICATIONS AND ATTACHMENTS

#### 3.1 PHASE ONE PRE-APPLICATION

|   |
|---|
| <b>CLEAN ENERGY FUND 3</b><br><b>RESEARCH, DEVELOPMENT, AND DEMONSTRATION GRANT</b><br><b>PHASE ONE PRE-APPLICATION</b> |
|---|

**Directions:**

1. Please complete the form on this table. Cells will expand to accommodate longer responses.
  - Questions regarding the application process may be emailed to [energy\\_policy@commerce.wa.gov](mailto:energy_policy@commerce.wa.gov).
2. Copy and paste this table into a new Word document.
3. Save the document with this file name structure:
  - <Name of Submitting Entity>\_CEF3\_RD&D PHASE ONE PRE-APP
4. Print [Section 5.2](#), "Certification of Organization Official", then read, sign, scan, and save as:
  - <Name of Submitting Entity>\_CEF3\_RD&D CERT ORG
5. Upon the completion of steps 1 – 4, email the following to: [energy\\_policy@commerce.wa.gov](mailto:energy_policy@commerce.wa.gov)
  - Subject line: <Name of Submitting Entity>\_CEF3\_RD&D PHASE ONE PRE-APP PKG
    - i. Phase One Pre-Application Form
    - ii. Certification of Organization Official
  - *The Phase One Pre-Application must be received by 6:00 PM (PST) on Friday, August 31, 2018. Applicants meeting minimum qualifications will be notified they may proceed with Phase Two Full-Application by close of business September 12, 2018.*

| Applicant Information                      |  |                  |                                  |
|--|--|------------------|----------------------------------|
| <b>Organization Name:</b>                  | Click or tap here to enter text.   |                  |                                  |
| <b>Project Title:</b>                      | Click or tap here to enter text.   |                  |                                  |
| <b>Dollar Amount of Funding Requested:</b> | Click or tap here to enter text.   |                  |                                  |
| <b>Mailing Address:</b>                    | Click or tap here to enter text.<br>Click or tap here to enter text.<br>Click or tap here to enter text. |                  |                                  |
| <b>Physical Address:</b>                   | Click or tap here to enter text.<br>Click or tap here to enter text.<br>Click or tap here to enter text. |                  |                                  |
| <b>Project Contact Name:</b>               | Click or tap here to enter text.   |                  |                                  |
| <b>Organization Website:</b>               | Click or tap here to enter text.   |                  |                                  |
| <b>Email #1:</b>                           | Click or tap here to enter text.   | <b>Email #2:</b> | Click or tap here to enter text. |
| <b>Phone #1:</b>                           | Click or tap here to enter text.   | <b>Phone #2:</b> | Click or tap here to enter text. |
| <b>Organization Official/Title:</b>        | Click or tap here to enter text.   |                  |                                  |
| <b>Email #1:</b>                           | Click or tap here to enter text.   | <b>Email #1:</b> | Click or tap here to enter text. |
| <b>Phone #1:</b>                           | Click or tap here to enter text.   | <b>Phone #1:</b> | Click or tap here to enter text. |
| Project Information                        |  |                  |                                  |



|                                    |   |                                  |
|------------------------------------|---|----------------------------------|
| 1.                                 | The applicant is a Washington-based research institution, non-profit, private business, or other organization pursuing clean energy technology.   |                                  |
|                                    | Yes <input type="checkbox"/>  | No <input type="checkbox"/>      |
| 2.                                 | Applicant Universal Business Identifier (UBI)   | Click or tap here to enter text. |
|                                    | Applicant Tax Identification Number (TIN)   | Click or tap here to enter text. |
|                                    | The applicant provided a current TIN and/or a UBI number (as applicable and verified)   |                                  |
|                                    | Yes <input type="checkbox"/>  | No <input type="checkbox"/>      |
| 3.                                 | Will the applicant's primary Research, Development, and Demonstration (RD&D) project be conducted in the State of Washington?   |                                  |
|                                    | Yes <input type="checkbox"/>  | No <input type="checkbox"/>      |
| 4.                                 | Does the project fall under one of more of the eligible clean energy technology categories?   |                                  |
|                                    | Yes <input type="checkbox"/>  | No <input type="checkbox"/>      |
|                                    | Clean Energy Categories:  | Click or tap here to enter text. |
| 5.                                 | Other state funding is, or has been, utilized as part of the proposed project.  |                                  |
|                                    | Yes <input type="checkbox"/>  | No <input type="checkbox"/>      |
|                                    | List other funding sources:   | Click or tap here to enter text. |
| 6.                                 | Will the RD&D funding requested be used to develop or acquire a capital asset with a 13+ year lifespan which will be located in the State of Washington?  |                                  |
|                                    | Yes <input type="checkbox"/>  | No <input type="checkbox"/>      |
| 7.                                 | The applicant will use non-state funds to meet the funding match requirement at a minimum of a 1:1 ratio.   |                                  |
|                                    | Yes <input type="checkbox"/>  | No <input type="checkbox"/>      |
| 8.                                 | Provide a detailed description of the proposed project. Include efforts to date, what portion of the project would be from CEF #3 RD&D funds, and what portion(s) of the project are funded by other sources. Keep the narrative to under 1,000 words. <i>(The cell will expand to accommodate the response.)</i> |                                  |
|                                    | Click or tap here to enter text.  |                                  |
| 9.                                 | <b>Preliminary Budget</b>   |                                  |
|                                    | Please provide estimated budget expenditures for the categories as indicated below  |                                  |
|                                    | <b>Budget Amount</b>  | <b>Brief Description</b>         |
|                                    | \$Click or tap here to enter text.  | Equipment                        |
|                                    | \$Click or tap here to enter text.  | Salaries & Benefits              |
|                                    | \$Click or tap here to enter text.  | Contractors (type of work)       |
|                                    | \$Click or tap here to enter text.  | Consultants (type of work)       |
|                                    | \$Click or tap here to enter text.  | Other 1 (define)                 |
|                                    | \$Click or tap here to enter text.  | Other 1 (define)                 |
| \$Click or tap here to enter text. | Other 1 (define)  |                                  |
| \$Click or tap here to enter text. | Other 1 (define)  |                                  |
| 8.                                 | Please provide a clear and concise budget narrative to identify what costs are planned to be funded through this grant. Identify which of the above categories under which  |                                  |



|  |  |
|--|--|
|  | these identified costs fall.<br><i>(The cell will expand to accommodate the response.)</i> |
|  | Click or tap here to enter text.   |
| <b><i>End of Phase One Pre-Application</i></b> |  |



### 3.2 PHASE TWO FULL-APPLICATION

The following application is to be completed ONLY by those entities who have been notified that their submitted project passed the initial threshold requirements as outlined in Phase One Pre-Application and have been approved in writing to proceed to Phase Two Full-Application. Applications submitted without the above cited authorization will be returned.

## CLEAN ENERGY FUND 3 RESEARCH, DEVELOPMENT, AND DEMONSTRATION GRANT PHASE TWO FULL-APPLICATION

### Directions:

General Guidelines:

- Margins may not be smaller than one inch.
- The font for this application is Arial 11 point
- Paragraph spacing must follow the established template as provided.

1. Please complete the form on this table. Cells will expand to accommodate longer responses.
  - Questions regarding the application process may be emailed to [energy\\_policy@commerce.wa.gov](mailto:energy_policy@commerce.wa.gov).
2. Copy and paste this table into a new Word document.
3. Save the document with this file name structure:
  - <Name of Submitting Entity>\_CEF3\_RD&D PHASE TWO FULL-APP
4. Print [Section 5.3](#), "Application Process Survey", then read, sign, scan, and save as:
  - <Name of Submitting Entity>\_CEF3\_RD&D APP SURVEY
5. Upon the completion of steps 1 – 5, email the following to: [energy\\_policy@commerce.wa.gov](mailto:energy_policy@commerce.wa.gov)
  - Subject line: <Name of Submitting Entity>\_CEF3\_RD&D PHASE TWO FULL-APP PKG
    - i. Phase Two Full-Application Form
    - ii. Screen Shot of the applicant's Department of Revenue current registration
    - iii. Application Survey
    - iv. Resumes, including roles, of principal project participants (no more than three)
  - The Phase Two Full-Application must be received by 6:00 PM (PST) on Tuesday, October 2, 2018. Award decisions will be made, and the applicants notified on Thursday, November 15, 2018.

### Applicant Information

*(This section may be copied and pasted by the applicant from the Phase One Pre-Application.)*

|  |  |
|--|--|
| <b>Organization Name:</b>                  | Click or tap here to enter text.   |
| <b>Project Title:</b>                      | Click or tap here to enter text.   |
| <b>Dollar Amount of Funding Requested:</b> | Click or tap here to enter text.   |
| <b>Mailing Address:</b>                    | Click or tap here to enter text.<br>Click or tap here to enter text.<br>Click or tap here to enter text. |
| <b>Physical Address:</b>                   | Click or tap here to enter text.<br>Click or tap here to enter text.<br>Click or tap here to enter text. |



| <b>Project Contact Name:</b>        |  | Click or tap here to enter text. |                                  |
|-------------------------------------|--|----------------------------------|----------------------------------|
| <b>Organization Website:</b>        |  | Click or tap here to enter text. |                                  |
| <b>Email #1:</b>                    | Click or tap here to enter text.   | <b>Email #2:</b>                 | Click or tap here to enter text. |
| <b>Phone #1:</b>                    | Click or tap here to enter text.   | <b>Phone #2:</b>                 | Click or tap here to enter text. |
| <b>Organization Official/Title:</b> |  | Click or tap here to enter text. |                                  |
| <b>Email #1:</b>                    | Click or tap here to enter text.   | <b>Email #1:</b>                 | Click or tap here to enter text. |
| <b>Phone #1:</b>                    | Click or tap here to enter text.   | <b>Phone #1:</b>                 | Click or tap here to enter text. |
| Project Information                 |  |                                  |                                  |
| 1.                                  | Provide a brief summary of the proposed project as described in the Phase One Pre-Application. Include efforts to date, what portion of the project would be from CEF #3 RD&D funds, and what portion(s) of the project are funded by other sources.<br><i>(The cell will expand to accommodate the response.)</i> |                                  |                                  |
|                                     | Click or tap here to enter text.   |                                  |                                  |
| 2.                                  | Please describe the expertise and track record the project managers will bring to this project to be able to successfully complete the project within the designated timeframe.  |                                  |                                  |
|                                     | Click or tap here to enter text.   |                                  |                                  |
| 3.                                  | Describe how the proposed project will develop or demonstrate the clean energy technologies as indicated on page 20.   |                                  |                                  |
|                                     | Click or tap here to enter text.   |                                  |                                  |
| 4.                                  | Provide the name of the non-state funding source organization and program for which funds are being sought as match. If the proposed funding is from a non-state funding opportunity announcement (FOA), provide the URL where the funding opportunity is located.   |                                  |                                  |
|                                     | Click or tap here to enter text.   |                                  |                                  |
| 5.                                  | How will the RD&D grant enable or expand new non-state funding for the project?  |                                  |                                  |
|                                     | Click or tap here to enter text.   |                                  |                                  |
| 6.                                  | Describe the capital asset the RD&D funding will be used to acquire and the overall purpose of the asset.  |                                  |                                  |
|                                     | Click or tap here to enter text.   |                                  |                                  |
| 7.                                  | Identify how the project will benefit Washington State.  |                                  |                                  |
|                                     | Click or tap here to enter text.   |                                  |                                  |
| 8.                                  | Does the applicant have any employees or governing board members that are currently employed by or hve been employed by the State of Washington within the past 24 months? Provide name, title/position held, agency name, and separation date.  |                                  |                                  |
|                                     | Click or tap here to enter text.   |                                  |                                  |
| 9.                                  | Detailed Project Budget  |                                  |                                  |
|                                     | Please provide estimated budget expenditures for the categories as indicated below. Line items that have not changed since the Phase One Pre-Application may be copied and pasted. Update the remainder as appropriate.  |                                  |                                  |
|                                     | Budget Amount  | Brief Description                |                                  |
|                                     | \$Click or tap here to enter text.   | Equipment                        |                                  |
|                                     | \$Click or tap here to enter text.   | Salaries & Benefits              |                                  |
|                                     | \$Click or tap here to enter text.   | Contractors (type of work)       |                                  |
|                                     | \$Click or tap here to enter text.   | Consultants (type of work)       |                                  |
| \$Click or tap here to enter text.  | Other 1 (define)   |                                  |                                  |



|  |   |                  |                         |
|--|---|------------------|-------------------------|
|  | \$Click or tap here to enter text.  | Other 1 (define) |                         |
|  | \$Click or tap here to enter text.  | Other 1 (define) |                         |
|  | \$Click or tap here to enter text.  | Other 1 (define) |                         |
| 10.                                      | Please provide a clear and concise budget narrative to identify what costs are planned to be funded through this grant. Identify which of the above categories under which these identified costs fall. Use the table below to identify Scope of Work, Milestones, estimated costs per Milestone, and estimated start/end dates.<br>(The cell will expand to accommodate the response.) |                  |                         |
|  | Click or tap here to enter text.  |                  |                         |
|  | <b>Task</b>   | <b>Milestone</b> | <b>Cost to Complete</b> |
|  |   |                  |                         |
|  |   |                  |                         |
|  |   |                  |                         |
|  |   |                  |                         |
|  |   |                  |                         |
|  |   |                  |                         |
|  |   |                  |                         |
| <b>End of Phase Two Full-Application</b> |   |                  |                         |





**4 EVALUATION AND CONTRACT AWARD**

**4.1 EVALUATION PROCEDURE PHASE ONE PRE-APPLICATION**

The Phase One Pre-Applications will be reviewed by Commerce staff to determine if the mandatory eligibility criteria has been met. Applicants meeting minimum threshold requirements will be invited to apply for Phase Two Full-Application and will be notified by email.

**4.2 EVALUATION PROCEDURE PHASE TWO FULL-APPLICATION**

The Phase Two Full-Applications will be reviewed by technical experts both internal and external to the Department of Commerce. The applications will be scored, rated, and ranked. Recommendations for funding will be made based upon the scoring results and awards will be made via emailed award letters.

Applications determined to meet the mandatory eligibility criteria will be ranked by the requested amount of funding, per unit of generating capacity of the proposed project, with funding to be awarded to the applicants requesting the lowest per-unit amount of funding.

**4.3 EVALUATION WEIGHTING AND SCORING**

The following weighting and points will be assigned to the proposal for evaluation purposes:

|  |                    |                          |
|--|--------------------|--------------------------|
| <b><u>Maximum available points are as follows:</u></b> |                    | <b><u>200 points</u></b> |
| Project Summary  |                    | 25 points                |
| Project Management                                     |                    | 30 points                |
| Clean Energy Technologies                              |                    | 20 points                |
| Identification of non-state funding                    |                    | 20 points                |
| Capital asset being acquired                           |                    | 40 points                |
| Benefit to Washington State                            |                    | 40 points                |
| Clear and concise budget narrative                     |                    | 15 points                |
| Detailed budget category breakdown                     |                    | 10 points                |
|  | <b>Grand Total</b> | <b><u>200 Points</u></b> |

**4.4 DEBRIEFING OF UNSUCCESSFUL APPLICANT**

Upon request, a debriefing conference will be scheduled with an unsuccessful applicant. The request for a debriefing conference must be received by the NOFO Coordinator within three (3) business days after the Notification of Unsuccessful Applicant letter is sent to the applicant. The debriefing must be held within three (3) business days of the request.

Discussion will be limited to a critique of the requesting Applicants proposal. Comparisons between proposals or evaluations of the other proposals will not be permitted. Debriefing conferences may be conducted in person or on the telephone and will be scheduled for a maximum of one hour.



#### 4.5 **PROTEST PROCEDURE**

This procedure is available to Applicants who submitted a response to this solicitation document and who have participated in a debriefing conference. Upon completing the debriefing conference, the Applicant is allowed three (3) business days to file a protest of the acquisition with the NOFO Coordinator. Protests may be submitted by email but must be followed by the original document.

Applicants protesting this procurement shall follow the procedures described below. Protests that do not follow these procedures shall not be considered. This protest procedure constitutes the sole administrative remedy available to Applicants under this procurement.

All protests must be in writing and signed by the protesting party or an authorized agent. The protest must state the grounds for the protest with specific facts and complete statements of the action(s) being protested. A description of the relief or corrective action being requested should also be included. All protests shall be addressed to the NOFO Coordinator.

Only protests stipulating an issue of fact concerning the following subjects shall be considered:

- A matter of bias, discrimination or conflict of interest on the part of the evaluator
- Errors in computing the score
- Non-compliance with procedures described in the procurement document or Commerce policy

Protests not based on procedural matters will not be considered. Protests will be rejected as without merit if they address issues such as: 1) An evaluator's professional judgment on the quality of a proposal, or 2) Commerce's assessment of its own and/or other agencies' needs or requirements.

Upon receipt of a protest, a protest review will be held by Commerce. The Commerce director or an employee delegated by the director who was not involved in the procurement, will consider the record and all available facts and issue a decision within five business days of receipt of the protest. If additional time is required, the protesting party will be notified of the delay.

In the event a protest may affect the interest of another Applicant that submitted a proposal, such Applicant will be given an opportunity to submit its views and any relevant information on the protest to the NOFO Coordinator.

The final determination of the protest shall:

- Find the protest lacking in merit and uphold Commerce's action.
- Find only technical or harmless errors in Commerce's acquisition process and determine Commerce to be in substantial compliance and reject the protest.
- Find merit in the protest and provide Commerce options which may include:
  - Correct the errors and re-evaluate all proposals
  - Reissue the solicitation document and begin a new process
  - Make other findings and determine other courses of action as appropriate

If Commerce determines that the protest is without merit, Commerce will enter into a contract with the apparently successful Awardee. If the protest is determined to have merit, one of the alternatives noted in the preceding paragraph will be taken.



# Department of Commerce

## 5 ATTACHMENTS

### 5.1 BUDGET PROVISIO SECTION 1013 – SUBSECTION 7 (a) & (b)


17 (7)(a) \$8,600,000 of the state building construction account is  
18 provided solely for strategic research and development for new and  
19 emerging clean energy technologies, as needed to match federal or  
20 other nonstate funds to research, develop, and demonstrate clean  
21 energy technologies.

22 (b) The department shall consult and coordinate with the  
23 University of Washington, Washington State University, the Pacific  
24 Northwest national laboratory and other clean energy organizations to  
25 design the grant program unless the organization prefers to compete  
26 for the grants. If the organization prefers to receive grants from  
27 the program they may not participate in the consultant process  
28 determining how the grant process is structured. The program shall  
29 offer matching funds for competitively selected clean energy  
30 projects, including but not limited to: Solar technologies, advanced  
31 bioenergy and biofuels, development of new earth abundant materials  
32 or lightweight materials, advanced energy storage, battery components  
33 recycling, and new renewable energy and energy efficiency  
34 technologies. Criteria for the grant program must include life cycle  
35 cost analysis for projects that are part of the competitive process.

36 (c) \$750,000 of this subsection (7) is provided solely for the  
37 state efficiency and environmental program.



5.2 CERTIFICATION OF ORGANIZATION OFFICIAL

|   |  |
|---|--|
|  <b>Department of Commerce</b> | <b>Clean Energy Fund 3<br/>       CEF RD&amp;D Program<br/>       Certification of Organization Official</b> |
|---|--|

|   |       |
|---|-------|
| Project Title   |       |
|   |       |
| Project Budget  |       |
| \$  |       |
|   |       |
| <p style="text-align: center;">CERTIFICATION OF ORGANIZATION OFFICIAL</p> <p>I certify, on behalf of (<b>Organization name</b>) that (<b>Organization name</b>) will adhere to all Federal, State, and local laws and regulations that are applicable to the Clean Energy Fund 3 RD&amp;D Program. I will also ensure adherence to the operations of (<b>Organization name</b>) and the scope of the proposed project.</p> <p>(<b>Organization Name</b>) has all necessary, current business licenses and regulatory approvals required in the state of Washington, including but not limited to current registration status with the Secretary of State and Department of Revenue.</p> <p>I have read the OFM Finance Guidelines and will adhere to state prevailing wage laws, as applicable.</p> <p>The project proposed in this application could not go forward at the scale or on the schedule proposed without the requested funding. (<b>Organization name</b>) will use any funds received under this request, to supplement, not to supplant, other funds.</p> <p>(<b>Organization Name</b>) certifies it is not using any other state funds as part of this project.</p> |       |
| Signature   | Date  |
| Print Name  | Title |



### 5.3 APPLICATION PROCESS SURVEY

#### Survey Questions

The following questions are intended to help us improve our application process. Please indicate your agreement/disagreement with the following statements.

Your responses will not impact the evaluation of your application in any way.

- 1: Strongly Disagree
- 2: Disagree
- 3: Neither Agree nor Disagree
- 4: Agree
- 5: Strongly Agree

|   |                  |
|---|------------------|
| <b>Organization/Company Name of Applicant:</b>  |                  |
|   |                  |
| <b>Application Survey Questions</b>   | <b>Responses</b> |
| 1. The guidelines provided enough information on the program.                               |                  |
| 2. The Bidders Conference was helpful introducing the application process                   |                  |
| 3. The Notice of Funding Opportunity (NOFO) application instructions were clear.            |                  |
| 4. The NOFO application process was easy to follow.   |                  |
| 5. I was able to receive the assistance I needed from Commerce to complete the application. |                  |
| 6. Commerce staff was timely in responding to process related inquiries.                    |                  |
| 7. I had adequate time to prepare the application prior to the deadline.                    |                  |
| 8. Given program requirements, the application process was reasonable.                      |                  |
| Please enter general comments and/or suggestions for improvement in the box below           |                  |
| Click or tap here to enter text.  |                  |