



Pre-Application Workshop

PON-13-302

**Developing Advanced Energy Storage Technology
Solutions to Lower Costs and Achieve Policy Goals**

Wednesday, April 30th, 2014

10:00 AM - 12:00 PM

Hearing Room A

California Energy Commission

1516 9th Street

Sacramento, CA 95814

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Energy Systems Research Office

Energy Research and Development Division



Agenda

• Introductions and Housekeeping	15 minutes	10:00am
• CEC Presentation	60 minutes	10:15am
Workshop Purpose		
Purpose of Solicitation		
Applicants' Admonishment		
Background		
Funding		
Key Activities Schedule		
Eligibility Requirements		
Applicant Requirements		
Project Requirements		
Application Organization and Submission Instructions		
Grounds for Rejection		
Evaluation and Award Process		
Standard Terms and Conditions		
• Questions and Comments	45 minutes	11:15am



Housekeeping

- In case of emergency
- Facilities
- Updates on Solicitation Documents and today's presentation can be found at:

<http://www.energy.ca.gov/contracts/epic.html#PON-13-302>

- If you have a question, please use microphone, state your name and affiliation, and ask brief question.



Workshop Purpose

- **Present Application information for the solicitation, PON-13-302 - “Developing Advanced Energy Storage Technology Solutions to Lower Costs and Achieve Policy Goals”**
- **Discuss all items listed on the agenda and more.**
- **Address stakeholders’ questions and comments.**
- **Encourage Applications from a broad stakeholder base, with diverse project teams for each proposal.**



Purpose of Solicitation (Page 1)

- To fund applied research and development* projects that meet the following objectives:
 - Optimize grid-level energy storage deployment with respect to location, size, and type; and
 - Develop innovative utility-scale and generation energy storage technologies and applications to mitigate intermittent renewables and meet peak demand.
- * Applied Research and Development: Development of new technologies, methods, and approaches from early bench-scale up to pilot-scale prototype demonstration.



Applicants' Admonishment (Page 2)

- Applicants are responsible for carefully reading the solicitation, asking appropriate questions in a timely manner, ensuring that all solicitation requirements are met, submitting all required responses in a complete manner by the required date and time, and carefully rereading the solicitation before submitting an application.
- In particular, carefully read the Screening/Scoring Criteria and Grounds for Rejection in Part IV, and the terms and conditions in Attachment 13.
- Applicants are responsible for the cost of developing applications. This cost cannot be charged to the State. All submitted documents will become public records upon the posting of the Notice of Proposed Award.



Background (Pages 2 - 5)

- 1. Electric Program Investment Charge (EPIC) Program -**
An electricity ratepayer surcharge (program) established by the CPUC in December 2011. The purpose of the EPIC program is to benefit the ratepayers of three IOUs, including Pacific Gas and Electric Co., San Diego Gas and Electric Co., and Southern California Edison. The EPIC funds clean energy technology projects that: promote greater electricity reliability, lower costs, and increased safety. The EPIC funded projects must lead to technological advancement and breakthroughs to overcome the barriers that prevent the achievement of the state's statutory energy goals.



Background (Pages 2 - 5) contd..

2. **Program Areas, Strategic Objectives, and Funding Initiatives: The EPIC program areas identified by the CPUC are:**

- **Applied research and development;**
- **Technology demonstration and deployment; and**
- **Market facilitation**

The solicitation PON-13-302 targets the following program area, strategic objective, and funding initiatives:

- **Program Area A: Applied Research and Development**
- **Strategic Objective S8: Integrate Grid-Level Energy Storage Technologies and Determine the Best Applications that Provide Locational Benefits**
- **Funding Initiative S8.1: Optimize grid-level energy storage deployment with respect to location, size, and type**
- **Funding Initiative S8.2: Develop innovative utility-scale and generation energy storage technologies and applications to mitigate intermittent renewables and meet peak demand.**



Background (Pages 2 - 5) contd..

3. Applicable Laws, Policies, and Background Documents :

- **Laws and Regulations**

- Assembly Bill (AB) 2514 - Energy Storage Systems (Statutes of 2010)
- Assembly Bill (AB) 32 (“The Global Warming Solutions Act of 2006”)
- Renewables Portfolio Standard (Senate Bill (SB) X1-2, Statutes of 2011-12, First Extraordinary Session)

- **Policies / Plans**

- CPUC Decision 13-10-040, “Decision Adopting Energy Storage Procurement Framework and Design Program” (2013)
- Governor’s Clean Energy Jobs Plan (2011)
- Integrated Energy Policy Report (Biennial)

- **Background / Reference Documents**

- The U.S. Department of Energy’s Grid Energy Storage report (December 2013)
<http://energy.gov/sites/prod/files/2013/12/f5/Grid%20Energy%20Storage%20December%202013.pdf>
- The DOE/EPRI 2013 Electricity Storage Handbook in Collaboration with NRECA (July 2013) <http://www.sandia.gov/ess/publications/SAND2013-5131.pdf>



Funding (Page 6)

1. Amount Available and Minimum/ Maximum Funding Amounts :

Up to \$6,000,000 available for grants awarded under this solicitation.

Funding Initiative	Available Funding	Minimum Award Amount	Maximum Award Amount
S8.1: Optimize grid-level energy storage deployment with respect to location, size, and type	\$1,000,000	\$250,000	\$1,000,000
S8.2: Develop innovative utility-scale and generation energy storage technologies and applications to mitigate intermittent renewables and meet peak demand	\$5,000,000	\$1,000,000	\$3,000,000

2. Match Funding Requirement: Match not required but applications that include match funding will receive additional points during the scoring phase. (Pages 6-7)



Key Activities Schedule (Page 8)

ACTIVITY	ACTION DATE
Solicitation Release	April 16, 2014
Pre-Application Workshop	April 30, 2014
Deadline for Written Questions by 5:00 p.m.	May 5, 2014
Distribution of Questions and Answers	May 8, 2014
<u>Deadline to Submit Applications by 3:00 p.m.</u>	<u>July 1, 2014</u>
Anticipated Notice of Proposed Award Posting Date	September 30, 2014
Anticipated Commission Business Meeting Date	December 10, 2014
Anticipated Agreement Start Date	February 1, 2015
Agreement End Date	March 31, 2017



Eligibility Requirements (Pages 10 - 17)

A. APPLICANT REQUIREMENTS

- 1. Eligibility:** This solicitation is open to all public and private entities and individuals. (Page 10)
- 2. Terms and Conditions:** Applicants must read the terms and conditions (Attachment 13) carefully. Failure to agree to the terms and conditions will result in rejection of the application. The Energy Commission reserves the right to modify the terms and conditions prior to executing grant agreements. (Page 10)
- 3. California Secretary of State Registration:** All applicants are required to register and must do so and be in good standing in order to enter into an agreement with the Energy Commission. (Page 10)



Eligibility Requirements (Pages 10 - 17)

B. PROJECT REQUIREMENTS

1. **Applied Research and Development Stage:** Projects must fall within the “applied research and development” stage which includes activities that support pre-commercial technologies and approaches intended to solve specific problems in the electricity sector. (Page 10)
2. **Funding Initiative S8.1 Projects:** Develop Models for Optimizing Energy Storage Systems by Location, Size, and Type (Pages 11 - 14)
3. **Funding Initiative S8.2 Projects:** Develop and Demonstrate Advanced Distributed Energy Storage Systems (Pages 15 – 16)
4. **Ratepayer Benefits, Technological Advancements, and Breakthroughs:** California Public Resources Code Section 25711.5(a) requirements apply. (Page 17)
5. **Test Plan:** Include a Test Plan in the Project Narrative - Attachment 4. (Page 17)



Eligibility Requirements (Pages 10 - 17)

B. PROJECT REQUIREMENTS

2. Funding Initiative S8.1 Projects: Develop Models for Optimizing Energy Storage Systems by Location, Size, and Type (Pages 11 - 14)

- Projects must involve the development, testing, and validation of one or more computer models for the CPUC's energy storage use cases (shown in Table 1 on Page 11), in order to determine the most optimal energy storage systems by location, size, and type.
- Model Requirements: A set of 15 requirements as described on Pages 12 – 14.
- Development of publicly available analytical tools that are more comprehensive than any similar, existing tools.
- Models must capture the full range of various energy storage technologies, different use cases at various grid point connections, energy storage system performance characteristics, and energy storage costs and benefits.
- Models must also quantify the value of those benefits in developing sustainable business cases for CPUC energy storage use cases.



Eligibility Requirements (Pages 10 - 17)

Table 1

(from CPUC Decision 13-10-040, Table 1, p. 14)

Storage Grid Domains (Grid Interconnection Point)	Regulatory Function	Use-Case Examples
Transmission-Connected	Generation/Market	(Co-Located Energy Storage) Concentrated Solar Power, Wind + Energy Storage, Gas Fired Generation + Thermal Energy Storage
		(Stand-Alone Energy Storage) Ancillary Services, Peaker, Load Following
	Transmission Reliability (FERC)	Voltage Support
Distribution-Connected	Distribution Reliability	Substation Energy Storage (Deferral)
	Generation/Market	Distributed Generation + Energy Storage
	Dual-Use (Reliability & Market)	Distributed Peaker
Behind-the-Meter	Customer-Sited Storage	Bill Mgt/Permanent Load Shifting, Power Quality, Electric Vehicle Charging



Eligibility Requirements (Pages 10 - 17)

B. PROJECT REQUIREMENTS

3. **Funding Initiative S8.2 Projects:** Develop and Demonstrate Advanced Distributed Energy Storage Systems (Pages 15 – 16)
- Development and pilot testing of advanced energy storage technologies and systems that provide high-value, cost-effective ancillary services and load following for the CPUC’s energy storage use cases as shown in Table 1 on Page 11.
 - Help achieve the CPUC AB 2514 energy storage procurement targets (1,325 MW by 2020) as shown in Table 2 on Page 15.
 - Projects goals include: Reduce cost, improve performance, demonstrate cost-effectiveness and sustainable business case, successfully demonstrate the use of energy storage systems to cost-effectively augment the energy storage techniques to integrate variable generation resources on the grid and maintain or improve the grid reliability, and show the operating value of the energy storage in a pilot testing.



Eligibility Requirements (Pages 10 - 17)

Table 2, CPUC Energy Storage Procurement Targets

(From CPUC Decision 13-10-040, Table 2, p. 15)

Storage Grid Domain Point of Interconnection	2014	2016	2018	2020	Total
Southern California Edison					
Transmission	50	65	85	110	310
Distribution	30	40	50	65	185
Customer	10	15	25	35	85
Subtotal SCE	90	120	160	210	580
Pacific Gas and Electric					
Transmission	50	65	85	110	310
Distribution	30	40	50	65	185
Customer	10	15	25	35	85
Subtotal PG&E	90	120	160	210	580
San Diego Gas & Electric					
Transmission	10	15	22	33	80
Distribution	7	10	15	23	55
Customer	3	5	8	14	30
Subtotal SDG&E	20	30	45	70	165
Total - all 3 utilities	200	270	365	490	1,325



Eligibility Requirements (Pages 10 - 17)

B. PROJECT REQUIREMENTS

3. **Funding Initiative S8.2 Projects:** Develop and Demonstrate Advanced Distributed Energy Storage Systems (Pages 15 – 16) contd....
 - **Projects must:** (1) involve the pilot testing of a complete storage system, including storage technology, power conditioning systems (e.g., smart inverters), product integration, and grid interconnection; (2) advance the understanding of which use case assumptions (e.g., technology, size, application, and location) are cost-effective, given the energy storage technology and application(s); and (3) stimulate energy storage use case operation to address ancillary services and load following to maintain grid reliability and service local demand.
 - **Sample Projects** (as described on Page 16) include: Advanced Adiabatic Compressed Air Energy Storage (AA-CAES), Advanced flywheel materials and fabrication techniques, flywheel rotor shape geometry, and Advanced materials and chemistries for batteries.



Eligibility Requirements (Pages 10 - 17)

B. PROJECT REQUIREMENTS

3. **Funding Initiative S8.2 Projects:** Develop and Demonstrate Advanced Distributed Energy Storage Systems (Pages 15 – 16) contd....
 - **Technology and Other Requirements:** (Page 16)
 - The subject technology must meet the following projected goals:
 - o Reduce the capital cost of energy storage to: **less than \$1,000/kW installed; less than \$200/kWh installed; and less than 15 cents/kWh/cycle levelized**
 - o Improve energy storage system performance (system cycle efficiency to **greater than 80%, and system life to greater than 5,000 cycles**)
 - The pilot test must include simulated real-time grid services. Recipients must coordinate the pilot test with applicable stakeholders.
 - Pilot tests must be located within a California electric IOU service territory.
 - Pilot tests must provide ancillary services and load following.



Eligibility Requirements (Pages 10 - 17)

B. PROJECT REQUIREMENTS

4. **Ratepayer Benefits, Technological Advancements, and Breakthroughs:** California Public Resources Code Section 25711.5(a) requirements apply. (Page 17)
 - Benefit electricity ratepayers; and
 - Lead to technological advancement and breakthroughs to overcome the barriers that prevent the achievement of the state's statutory energy goals.
5. **Test Plan:** Include a Test Plan in the Project Narrative - Attachment 4. (Page 17)
 - Include a Test Plan in the Project Narrative (Attachment 4) that describes how actual project benefits will be measured and quantified, such as by pre and post-project energy use (kilowatt hours, kilowatts) and cost. Any estimates of energy savings or GHG impacts must be calculated using the References for Calculating Electricity End-Use, Electricity Demand, and GHG Emissions (Attachment 12).



Application Organization and Submission Instructions (Pages 18 - 22)

A. APPLICATION FORMAT, PAGE LIMITS, AND NUMBER OF COPIES PROJECT REQUIREMENTS (Page 18)

Follow the application formatting and page limit requirements summarized in Table on Page 18.

B. APPLICATION DELIVERY (Page 19)

Include the following label information on the mailing envelope:

Applicant's Project Manager:

Applicant's Name:

Street Address:

City, State, and Zip Code:

PON-13-302

Contracts, Grants, and Loans Office, MS-18

California Energy Commission

1516 Ninth Street, 1st Floor

Sacramento, California 95814



Application Organization and Submission Instructions (Pages 18 - 22)

C. APPLICATION ORGANIZATION AND CONTENT (Pages 19 - 22)

1. Submit applications in the order specified in the Table on Page 19.
2. **Address only one funding initiative (S8.1 or S8.2) in each application.**
3. Label the proposal application cover “Program Opportunity Notice PON-13-302” and include: (a) the title of the application; and (b) the applicant’s name.
4. Separate each section of the proposal by a tab that is labeled with the tab number and section title indicated in the Table on Page 19.

Use the latest forms for all attachments. Each applicant must complete and include all attachments of the Table on Page 19.



Application Organization and Submission Instructions (Pages 18 - 22)

C. APPLICATION ORGANIZATION AND CONTENT (Pages 19 - 22) Table on Page 19

Tab/Attachment Number	Title of Section
1	Application Form
2	Executive Summary
3	Fact Sheet
4	Project Narrative
5	Project Team
6	Scope of Work
7	Budget
8	CEQA Compliance Form
9	References and Work Product
10	Contact List
11	Commitment and Support Letters



Evaluation and Award Process (Pages 23 - 32)

A. APPLICATION EVALUATION (Page 23)

1. Stage One: Application Screening. Submit applications in the order specified in the Table on Page 19.
2. Stage Two: Application Scoring

B. RANKING, NOTICE OF PROPOSED AWARDS, AND AGREEMENT DEVELOPMENT (Pages 23 – 24)

C. GROUNDS TO REJECT AN APPLICATION OR CANCEL AN AWARD (Pages 24 – 25)

D. MISCELLANEOUS (Page 25)

E. STAGE ONE: APPLICATION SCREENING (Page 26)

F. STAGE TWO: APPLICATION SCORING (Pages 27- 32)



Evaluation and Award Process (Pages 23 – 32) Stage 1 Application Screening (Pages 23 and 26)

Application Screening Process

1. Energy Commission staff screens applications per 12 point criteria in Section E on Page 26.
2. Each 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.

Reasons for Failing Stage 1 Screening

- ✓ Application not submitted by the specified due date and time
- ✓ Application not signed
- ✓ Applicant did not address at least one of the eligible funding areas
- ✓ Requested funding is outside of the specified minimum/maximum range
- ✓ Application does not follow specified format
- ✓ Project completion date beyond the specified agreement end date
- ✓ Proposal contains confidential material



Evaluation and Award Process (Pages 23 – 32) Stage 2 Application Scoring (Pages 27 and 32)

- Evaluation Committee applies the scoring scale to the scoring criteria
- A minimum passing score of 70% is required for criteria 1 to 4 equivalent to a score of 49 in order for to be considered for funding, and
- A total minimum passing score of 70 out of 100 points is needed for all criteria (1 to 7)
- 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 28-32)	Maximum Points
1. Technical Merit and Need	20
2. Technical Approach	20
3. Impacts and Benefits to California IOU Ratepayers	20
4. Team Qualifications, Capabilities & Resources	10
5. Budget Cost Effectiveness	10
6. Funds Spent in California	15
7. Ratio of Direct Labor and Fringe Benefit Rates to Loaded Labor Rates	5
Total	100
Minimum points to pass	70



What is the scoring scale? Answer is on Page 27.

% 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.



Project Narrative (Attachment 4)

- Project Narrative form follows the Stage 2, application Scoring Criteria
- Include 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. Budget and Cost Effectiveness
 6. Funds Spent in California
 7. Ratio of Unloaded Labor Rates to Loaded Labor Rates
 8. Match Funding (optional)
- Provide sufficient detail so that the evaluation Team members will be able to evaluate the application against each of the scoring criteria.



Scope of Work (Attachment 6)

- Ensure that the problem/Solution Statement and Goals and Objectives are consistent with the Project Narrative
- All task in black are mandatory and do not revise
 - Task 1: General Project Tasks
 - Task TBD-1 Evaluation of Project Benefits
 - Task TBD-2 Technology/KnowledgeTransfer Activites
 - Task TBD-3 Production Readiness Plan-only applicable to agreements that fund the development of proucts that may be commercialized
- Task 2 are the technical task
 - 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.



Budget (Attachment 7)

Please use the updated forms.

Every Applicant must complete and include the budget forms for its team.

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

- ✓ Task Summary - Att B-1
- ✓ Category Summary - Att B-2
- ✓ Prime Labor Rates - Att B-3
- ✓ Labor Rates for each Subcontractor - Att B-3a-z
- ✓ Prime Non-Labor Rates - Att B-4
- ✓ Non-Labor Rates for each Subcontractor - Att B-4 a-z
- ✓ Direct Operating Expenses – Att B-5
- ✓ Match Funding – Att B-6
- ✓ Rates Summary - Att B-7 (for evaluation purposes)

The Applicant must submit information on **all** of the attached budget forms, and this will be deemed the equivalent of a formal Cost Application.



Project Match Funds (Criterion 8)

- Match funding is not required
- Applications with match funds will receive additional points during the scoring phase; points applied only for those that achieve a minimum score of 70.
- Match funding includes cash in hand, equipment, materials, information technology services, travel, subcontractor costs, contractor in-kind labor, advanced practice costs.
 - Refer to Section 1, item E of the Application manual, pages 6-7
 - Advanced practice costs means the incremental cost difference between standard and advanced practices.
- Match funding sources include those from the prime contractor, subcontractors, and pilot test sites (e.g., test site staff services).
- Commitment letters are required from all match fund contributors (see requirements in Attachment 11)



Evaluation and Award Process (Pages 23 - 32)

B. RANKING, NOTICE OF PROPOSED AWARDS, AND AGREEMENT DEVELOPMENT (Pages 23 – 24)

1. Ranking and Notice of Proposed Awards: Applications that receive a minimum score of 70.00 points for all criteria will be ranked according to their score.

- The Energy Commission will post a Notice of Proposed Award (NOPA) that includes: (1) the total proposed funding amount; (2) the rank order of applicants; and (3) the amount of each proposed award. Proposed awards must be approved by the Commission at a business meeting.
- Debriefings: Unsuccessful applicants may request a debriefing after the release of the NOPA by contacting the Commission Agreement Officer.
- The Energy Commission reserves the right to:
 - o Allocate any additional funds to passing applications, in rank order; and
 - o Negotiate with successful applicants to modify the project scope, level of funding, or both.



Evaluation and Award Process (Pages 23 - 32)

B. RANKING, NOTICE OF PROPOSED AWARDS, AND AGREEMENT DEVELOPMENT (Pages 23 – 24)

2. Agreements: Applications recommended for funding will be developed into a grant agreement to be considered at an Energy Commission Business Meeting. Recipients may begin the project only after full execution of the grant agreement. More details such as Resolution Requirement (for government agency recipients only), Agreement Development, Failure to Execute an Agreement, and Agreement Amendment are on Page 24.



Evaluation and Award Process (Pages 23 - 32)

C. GROUND TO REJECT AN APPLICATION OR CANCEL AN AWARD (Pages 24 – 25)

- An application may be rejected 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



Addenda

1. Updated Attachment 7 (Grant Budget Forms)



Other Information

- **Updates on Solicitation Documents and today's presentation:**
<http://www.energy.ca.gov/contracts/epic.html#PON-13-302>
- **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



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Grounds for Rejection		
Evaluation and Award Process		
Standard Terms and Conditions		
• Questions and Comments	45 minutes	11:15am



Questions and Answers

- If you have a question, please use microphone, state your name and affiliation, and ask a brief question.
- Please send all PON related questions in written form to:

Crystal Presley-Willis, Commission Agreement Officer
California Energy Commission

Crystal.Presley-Willis@energy.ca.gov

Deadline to submit questions is

5:00 PM PDT, May 5, 2014!



Key Activities Schedule (Page 8)

ACTIVITY	ACTION DATE
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