NEW ENERGY TECHNOLOGIES ROUND 18 APPLICATION

WHO SHOULD APPLY?

Any Connecticut resident or any company located in Connecticut that has 30 or fewer employees and has a **technology** which:

1. Saves energy or facilitates the use of a renewable energy resource;
2. Has not been commercialized. OPM is looking for products that are in the prototype development stage or have been manually fabricated in limited quantities.

Note that we are not looking to fund experiments using existing technologies. The program is designed to assist in commercializing new technologies.

APPLICATION PROCESS

Fill out the enclosed form, fully addressing all points of information requested **in the order requested**. We recognize that this is a general application, and that proposals will be describing projects in a wide variety of stages of production. Complete answers are required in order to evaluate the merits of your proposal, even if the answer to a particular area is "no" or "no activity". Your completed application **must not exceed 13 pages**. Please submit five applications (the signed original plus four photocopies). Applicants may submit no more than one project. Applications will not be returned. Include a self-addressed, stamped envelope if you would like to be notified of the receipt of the application. Any questions regarding this program should be directed to John Ruckes, at (860) 418-6384 or fax (860) 418-6495, or e-mail john.ruckes@ct.gov .

DEADLINE: All applications must be received by 4:00 p.m., February 8, 2011. Faxed or e-mailed applications are not acceptable.

Applications should be directed to:

John Ruckes
State of Connecticut/Office of Policy and Management
Policy Development and Planning Division
450 Capitol Avenue, MS# 52ENR
Hartford, CT 06106-1379
Tel. (860) 418-6384

REVIEW and SELECTION:

Applications will be reviewed by a team of individuals who are knowledgeable in the areas of energy, environment, and economic development. Each proposal will be evaluated in terms of its:

1. Potential of technology to meet energy conservation/production requirements, environmental benefits, and job creation opportunities -- 50%
2. Status of project and soundness of plans for development -- 20%
3. Qualifications of applicant(s) and ability to successfully carry out a project -- 20%
4. Quality and completeness of the application and associated forms -- 10%

OPM may request additional information from those applicants whose entries appear to have particular merit. Winners will be announced around May 2011. ***Based on anticipated funding, OPM expects to make two $10,000 awards. OPM reserves the right to make no awards or to make fewer awards if, in its opinion, entries do not fully meet the aims and requirements of this program.***

Please respond to all questions. Complete answers are required in order to evaluate the merits of your proposal even if the answer to a particular area is "no" or "no activity". Your completed application must not exceed 13 pages. Place each requested information item <u>in the same order</u> that it is requested in this application, including this sheet as the first page of your submittal.

1. Applicant's Name/Company Name:_____ FEIN # _____

2. Street Address:_____

3. City:_____ 4. State:_____ 5. Zip:_____

6a. Telephone:_____ 6b. Fax:_____

6c. Email: _____

7. If you are a business, are you a: (a) sole proprietorship (b) partnership (c) small business
(d) corporation (e) non-profit (f) limited liability company (LLC)?

8. Number of employees?_____ 9. Years in business?_____
(must be 30 or less)

10. Name of Authorized Officer_____
(Type or Print)

11. Signature of Authorized Officer _____

12. Title_____ Date:_____

13. How did you find out about the New Energy Technologies Program? _____

_____

14. Project Type (must check either Conservation or Renewable Energy):

_____**Conservation**

_____Electricity _____Natural Gas _____Oil
_____Other (explain)_____

_____**Renewable Energy**

_____Direct Solar Thermal
_____Solar Electric
_____Passive Solar
_____Wind
_____Hydro/Tidal/Ocean Thermal/Saline Gradient
_____Geothermal
_____Biomass
_____Other (explain)_____

15. At which stage of development is the project?

_____Conceptual _____Development of prototype _____Demonstration of prototype _____Testing
_____Marketing

Please provide complete answers to all questions and include the headings and numbers at the start of your response. We realize that projects are in a variety of states of development. However, complete answers are required in order to evaluate the merits of your proposal even if the answer to a particular area is "no" or "no activity". Your submitted application must not exceed 13 pages (excluding required forms described in #20 below and business plan).

16. Abstract

Write a brief description of your project, not to exceed one-half page. Make sure that the abstract does not contain any confidential or proprietary information, as the abstract will be made part of the grant award, if selected for funding.

17. Technical Description:

Describe your technology, including the technical aspects of your project (4-page text limit) indicating:

- How is it innovative and/or efficient?;
- Potential energy savings or contribution;
- Projected market for product, including quantification of the size of the market;
- Job creation potential;
- Environmental benefits;
- What is your customer focus, and why is your product different or better than other similar products on the market?;
- Estimate the budget required to bring your concept/project to market;
- Any other pertinent information.

18. Project Status:

Summarize the project in general terms (1 to 2 pages) indicating:

- Prior investments and completed work;
- Independent testing;
- Patents applied for;
- Sales, if any;
- Whether a business plan has been written (if so, please describe or include as an appendix to your application);
- How you would use the OPM award to advance your project toward commercialization.
- How you envision your technology being used in State buildings or on State property.

19. Qualifications of Key People:

List the names and detail the qualifications of all key people involved in the project. In place of this, you may insert a resume for each of the key people (maximum of 5 pages total).

20. Required Forms:

The following forms must be filled out, signed, and returned to OPM *with this application*. Contact John Ruckes at (860) 418-6384 if the forms are missing from your packet.

- Nondiscrimination Certification (either By Corporate or other business entity, or individual)
- OPM Vendor/Bidder Profile Sheet (if a corporation, make sure to include written copy that authorizes the signer to bind the Vendor/Bidder contractually)
- Contract Compliance Package

Application Checklist

Prior to sending us your application, please go over this checklist. Remember, **quality and completeness** of your submitted packet is a factor in the scoring of your application.

☐ 1. Are items 1 through 15 filled out *completely,* including the signature of the Authorized Officer (The individual who is able to enter into an agreement with the State)?

☐ 2. Have you included an abstract to describe your project?

☐ 3. Do the technical description (item 17) and the project status (item 18) write-ups include information for each of the bullets listed in the application?

☐ 4. Are the qualifications of all key people working on the project included?

☐ 5. Are the following forms signed and dated? (**Original signatures**, copies not permitted)

- Nondiscrimination Certification (either By Corporate or other business entity, or individual)
- OPM Vendor/Bidder Profile Sheet (if a corporation, make sure to include written copy that authorizes the signer to bind the Vendor/Bidder contractually.)
- Contract Compliance Package

☐ 6. Is your submittal, exclusive of the three forms bulleted in item 5, 13 pages or less?

☐ 7. Are you allowing enough time to ensure that your submittal will arrive at OPM prior to 4:00 PM on February 8, 2011? (Make sure you choose a delivery option that guarantees that the application is on time. OPM is not responsible for late submissions and will not review any submissions received after that date and time.)

☐ 8. Have you included the signed original and four photocopies of your application? (Along with one complete set of the forms in item 5, with original signatures).

For Your Information..... How applications are evaluated:

Applications are evaluated in a two-tier process. The tier one evaluation consists of the OPM Program Manager reviewing all applications to make sure they are complete and signed, and that directions are followed. For submittals received by OPM prior to the due date (time permitting), the Program Manager will make every effort to work with the submitter to correct deficiencies in the application, such as missing forms, signature missing, incomplete application, etc. After the due date, all submitted applications are evaluated on an equal basis as to whether they meet the basic requirements and the intent of the program. The proposals are not shared with any other individuals, and all proposals are kept secure under locked conditions. Those **that do not meet those requirements or are sufficiently incomplete so that they cannot be adequately scored are excluded from further consideration**. Proposals that do meet OPM's basic criteria are sent on to the tier-two review team that is made up of individuals in the non-government sector who have energy, environmental, and/or business backgrounds. (All reviewers have agreed to treat the proposals as confidential). Two basic functions are requested from these reviewers. (1) to thoroughly analyze the applications recommended for tier two review, and score them on a 100 point basis with guidelines developed by OPM; (2) and to recommend to OPM how many should be funded A final recommendation is then sent to the Undersecretary of OPM's Policy Development and Planning Division for approval.

Tier two reviewers are looking for specific information that is critical when evaluating a proposal. It is important that you keep this in mind as you prepare your proposal.

Suggestions and Pointers about your submittal-

⇒ Be realistic- For example, claiming that everyone in the world will use your product is not reasonable and will be discounted by the reviewers.

⇒ Be concrete- Give real estimates of budget requirements and of energy, job, and environmental benefits. For example, don't just say your product will save energy. Make an estimate based on per unit savings and realistic market penetration.

⇒ Become familiar with the marketplace- recognize that there may be products out there that are similar or claim to do the same thing your product does. Prove to the reviewers that your product is unique, or is better than that which is currently on the market. Also make sure you explain why your product would be preferable to your customer. Perhaps the best way to approach this issue is to be able to answer four questions:

1. Who is your customer?
2. What need does your product satisfy?
3. How is that need currently being satisfied?
4. Why is your product better?

⇒ Be clear- Although the reviewers have extensive energy backgrounds, they cannot be familiar with all aspects of innovations being explored by entrepreneurs. Explain your project in layman's terms, then include technical backup that supports your project.

⇒ Don't assume- Just because your idea may be a good one, you will have to ***prove*** it to the reviewers. For example, demonstrate the benefits that the product will impart on the Connecticut economy. Just because that fact is obvious to you doesn't mean it is obvious to everyone.

⇒ Check your application- Quality and completeness of the application accounts for 10% of your score and may mean the difference between being funded and not being funded. For a reviewer, a sloppy application makes it difficult to review, and incomplete information makes it impossible to award points toward the scoring of your application.

IMPORTANT NOTE ABOUT CONFIDENTIALITY-

Proposers are encouraged to avoid including in their proposals if possible, any information that is proprietary. Documents associated with this solicitation are subject to the terms of State laws defining freedom of information and privacy and all rules, regulations and interpretations resulting from those laws. The Connecticut Freedom of Information Act (FOIA) generally requires the disclosure of documents in the possession of the State upon request of any citizen, unless the content of the document falls within certain categories of exemption. An example of an exemption category is a "trade secret" defined by Connecticut General Statutes Section 1-210(b)(5):

> "(A) Trade secrets, which for the purposes of the Freedom of Information Act, are defined as information, including formulas, patterns, compilations, programs, devices, methods, techniques, processes, drawings, cost data, or customer lists that (i) derive independent economic value, actual or potential, from not being generally known to, and not being readily ascertainable by proper means, by, other persons who can obtain economic value from their disclosure or use, and (ii) are the subject of efforts that are reasonable under the circumstances to maintain secrecy; and
> (B) Commercial or financial information given in confidence, not required by statute".

Confidential information must be separated and isolated from other material in the proposal, labeled confidential, and enclosed in a separate envelope labeled "confidential".

When confidentiality is requested, a rationale to justify exemption from the FOIA shall accompany the proposal. The explanation shall be simply stated in terms of prospective harm to the competitive position of the proposer that would result from release of information; and include a statement as to the reason why you believe the materials are legally exempt from release under the FOIA. In no event shall OPM or any of its staff have any liability for disclosure of documents or information in the possession of OPM which OPM or such staff believes to be required pursuant to the FOIA.