

UC/CSU/Utility 2021 Energy Efficiency Partnership PROGRAM INFORMATION PACKAGE

Version 1

APRIL 2021





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A. Executive Summary

The UC/CSU/Utility Energy Efficiency Partnership was created to encourage energy efficiency investments and foster best practices in California's Higher Education Systems. The state's four investor-owned utilities (IOUs), including Pacific Gas & Electric (PG&E), Southern California Edison (SCE), Southern California Gas (SCG), and San Diego Gas & Electric (SDG&E), and Los Angeles Department of Water and Power (LADWP)¹ a municipality utility, have partnered with the University of California (UC) and the California State University (CSU) systems to provide financial incentives and project support for energy efficiency improvements on the 33 campuses participating. Currently, the program contains the following elements:

- Energy Efficiency Retrofits
 - Lighting and controls
 - HVAC systems
 - Energy Management Controls
- New Construction (Savings by Design)²

This Partnership was initially formed as an innovative new program within the 2004-2005 Energy Efficiency Program Cycle administered under the auspices of the California Public Utilities Commission (CPUC). Due to the Partnership's success, the program was renewed for the 2006-08 Cycle, the 2009 Bridge Period, the 2010-12 Cycle, the 2013-14 Cycle, 2015 Cycle, the 2016-17 Cycle, and then annually for years 2018, 2019 and 2020. The most recent renewal started in 2021 and will be in effect until the program transitions to a new Statewide Higher Education Energy Efficiency program, currently under procurement and expected to start in mid-2022.

The utilities and campuses each contribute personnel, resources, infrastructure, and technical, administrative and financial skills to achieve the program goals. The Program Administrative Manager (PAM) manages and coordinates the Partnership's activities statewide. A hierarchy of teams with representatives from each partner organization delivers the program:

- Executive Team
 - Sets overall vision and policy
 - Executes program contracts and agreements
- Management Team
 - Manages day-to-day issues
 - Approves projects and monitors progress

Participating campuses may receive financial incentives from the appropriate utility for implementing energy efficiency projects. These incentives are based on the energy savings resulting from each project and break down by project type as follows:

¹ As of Q1 2021, LADWP is on hiatus from the program as they renew their overall partnership agreement with SCG. Their involvement is currently estimated to continue in Q2 2021.

² The Savings by Design Program will transition from the Partnership to a new Statewide New Construction program in 2021.

- Retrofit and RCx Projects current rates are as follows³:

Utility	Retrofit	RCx
PG&E	\$0.24/kWh \$1.25/therm	\$0.24/kWh \$1.25/therm
SCE	\$0.24/kWh	\$0.24/kWh
SCG	\$1.50/therm	\$1.50/therm
LADWP	\$0.24/kWh	\$0.24/kWh
SDG&E	\$0.24/kWh \$1.25/therm	\$0.24/kWh – Equipment \$0.06/kWh – Behavioral \$1.25/therm

- Lighting projects capped at 50% of total project cost
- All other projects capped at 80% of total project cost
- New Construction Projects: \$0.10/kWh above standard SBD rates, \$1.00/therm, and \$100/kW, until new program (see footnote 2, previous page)
 - Existing SBD cost caps and eligibility requirements apply

The goals for the 2021 Partnership cycle are (*Note: These figures are subject to revision*):

	kW	kWh	Therms	Funding
PG&E	347	1,605,064	54,000	\$452,715
SCE	-	79,608	-	\$24,000
SCG	-	-	300,000	\$450,000
SDG&E	418	2,923,397	18,672	\$724,955
LADWP	-	2,000,000	-	\$480,000
Total	765	6,608,070	372,672	\$ 2,131,671

However, the Partnership will endeavor to provide incentives for all qualified energy efficiency projects.

To receive incentives the campuses must use the applications, templates, forms, and processes provided herein. A further description of each item is provided in the following pages. A copy of each document is attached and is also available electronically on the Partnership website (<http://uccsuioee.org/>)

Forms and schedules should be completed and submitted electronically through the respective University contact. For CSU, the contact is Mike Clemson. For UC, the contact is Eric Eberhardt. (*See Key Contacts and Roles*)

³ Projects completed through NMEC or HOPPs programs follow an incentive rate and structure which differs from the UC/CSU Partnership incentive rates.

B. Key Policies

The following outlines key policies and standards for the 2021 Partnership program cycle:

- 100% incentive payment upon completion
- Lighting measures capped at 50% of project cost
- All other projects capped at 80% of total project cost
- Closer coordination with Savings By Design for New Construction element
- UCOP and CSUCO centrally provided financing for state funded capital projects (projects at campus auxiliaries may be funded separately but still channeled through UCOP/CSUCO)
- Projects cannot begin without a countersigned agreement or Offer Letter/NTP issued by the Utility (no construction pre-approvals will be allowed)
- Invoices: Upon project completion, the University needs to provide the Utility with itemized invoices for parts and labor as it relates to the project.

Significant changes from previous program cycle to the 2021 cycle are:

- The Savings by Design Program will transition from the Partnership to a statewide program offering in 2021. SCE and SCG Savings by Design Programs will continue business as usual until the new statewide program is launched. PG&E requires applications under the current program to meet a 1.25 TRC cost effectiveness criteria, excluding admin costs. SDG&E is no longer accepting applications for Savings by Design as of September 2020.
- SCE's Clean Energy Optimization Pilot (CEOP) began at several campuses in 2019 and continued through 2020. CEOP and the Partnership are mutually exclusive, so Partnership activities at CEOP campuses were discontinued.
- Performance based retrofit opportunities were introduced at PG&E, SCE, and SCG via a custom NMEC program at PG&E, and HOPPs programs at SCE and SCG in 2018 – 2019.
- The T&E program was removed from the Partnership beginning in 2019.
- MBCx was discontinued in IOU territories, with no new applications accepted starting in 2017. Legacy MBCx projects were required to complete implementation by 12/31/18.
- On-Bill Financing is available for all projects, however, projects with loans of greater than \$250,000 are not eligible for incentives.

C. Partnership Process Flowchart

This flowchart shows the high-level flow of various activities and the responsibilities of the parties involved in each step of the application, implementation, verification and payment processes.

Responsible parties include individual campuses, the UC Office of the President (UCOP), CSU Chancellor's Office (CSUCO), the Utilities providing service, and the Partnership program management which includes a Management Team and its sub-teams comprising representatives from each Utility, UC, CSU, and the PAM.

The flowcharts cover primary activities – special cases and exceptions are not detailed herein.

Project Development includes the work done on a project up to the point at which an application can be prepared. For UC campuses, Strategic Energy Plans should be used as a starting point for project development. CSU campus projects are driven by Capital Program Plans. Specific project development may start with a preliminary engineering study to explore feasibility, cost-effectiveness, and building prioritization. All UC projects must be assigned an SEP ID before application submittal. For projects not on the original SEP list, campuses must request a new SEP ID from UCOP. This can be done by contacting Eric Eberhardt at UCOP (eric.eberhardt@ucop.edu).

To submit a project application, campuses in PG&E and LADWP territory should use the Form B. LADWP also requires Project Application Parts A&B for CPP/CLIP projects. Campuses in SCG, SCE, and SDG&E territories should use the standard custom project application form specific to these utilities. New Construction projects should be submitted on standard Savings by Design applications. Project applications should contain savings estimates with back-up calculations and costs for each energy efficiency measure in a project. In addition, roles and responsibilities should be assigned to the project manager and other members of the project planning and implementation team at this step. The PAM will set up a schedule in the Partnership's project tracking database based on the information in the project applications.

UCOP/CSUCO, with the assistance of the PAM, will screen applications before they are submitted to the appropriate utility. This screening process will verify that applications are complete in that all required documents are attached and free of obvious errors and omissions. Project Applications will also be screened for eligibility, as well as accurate application of incentive rates and cost caps. During application screening, UCOP and CSUCO funded projects will also be cross referenced to UC SEP list or CSU Capital Projects book to confirm financing approach. Note that projects not centrally financed by UCOP or CSUCO are still screened and submitted through UCOP/CSUCO.

Upon receiving applications, the appropriate Utility will conduct an initial due-diligence review (see *Due Diligence Requirements*). For retrofit projects, a pre-installation site inspection will be performed either by a utility or a utility-contracted engineer. The engineering reviewer will prepare a report summarizing the existing conditions before implementation/installation as well as a revised calculation of savings estimates, if necessary. These final energy savings and incentive estimates will be formally agreed upon in the Campus Payment Form.

The Management Team, consisting of a representative from each utility and campus system, will acknowledge each project based on the due diligence review.

Upon Management Team approval, an agreement will be prepared by the appropriate utility; Campus Payment Form (CPF) for IOUs, an Offer Letter for LADWP CPP projects or an NTP for LADWP CLIP projects (see *Sample Campus Payment Form, Offer Letter and NTP*). The campus must sign and return two copies of the CPF with signatures to the appropriate utility. Once the utility has processed the agreement, an executed copy will be returned to the campus. For projects that have filled out CPP/CLIP Project Applications Part A&B, the Offer Letter/NTP is considered the formal agreement.

For all CSUCO and UCOP centrally financed projects, the CPF must be submitted with the utility-specific payment assignment clause as an attachment (see *Payment Assignment Clauses*). For UCOP funded projects the attached payment assignment must designate the payee as the Regents of the University of California. For CSUCO funded projects, the attached payment assignment must designate the payee as the Trustees of the California State University. For

UCOP centrally financed projects, the following documentation must be on file or submitted to UCOP at this step in the process:

- IRS Declaration form
- Approval Letter from Budget Office
- Draw Down Schedule
- Private Use Certification

Throughout implementation, project-specific financing will be managed by UCOP/CSUCO in conjunction with the campus receiving funding.

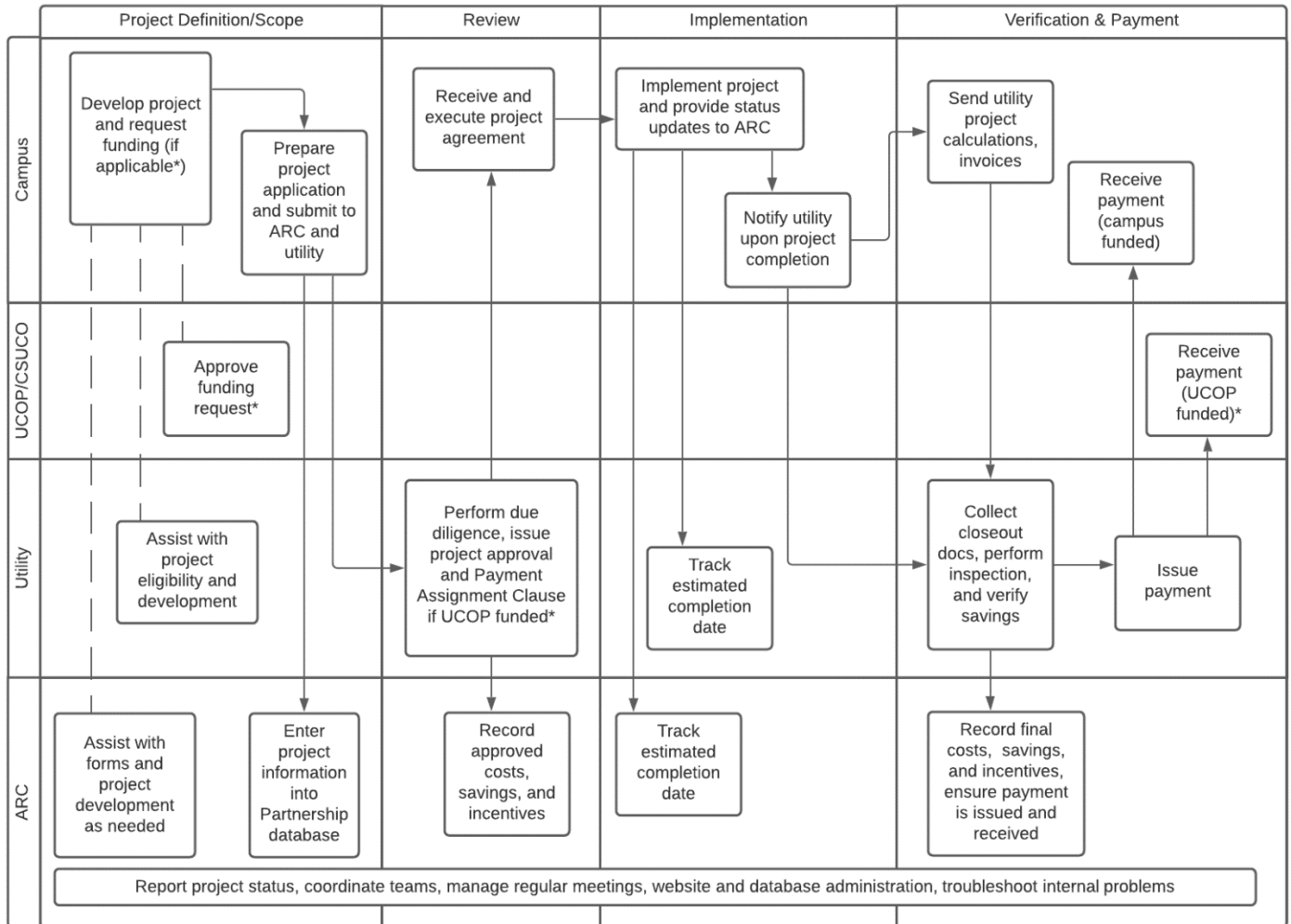
Retrofit projects are considered complete when all measures are installed and operational in a manner such that energy savings can be demonstrated, and a Form E (for IOUs) or the Installation Report (for LADWP CPP projects) has been submitted to the appropriate utility (*see Form E or Installation Report*). To close out LADWP CLIP retrofit projects customers will need to send LADWP the final contractor's invoice, signed by the customer to indicate their approval, and an as-built spreadsheet if their scope of work changed.

Upon receiving project completion forms, the appropriate utility will initiate the final post-implementation inspection to verify actual savings (*see Due Diligence Requirements*).

Upon verification of savings, the utility will issue an incentive check to either the campus or UCOP/CSUCO, as indicated in the Payment Assignment Form submitted to the utility. Note that if verified savings and incentive differ from the proposed savings in the Project Agreement, a new CPF or NTP/Project Agreement/Offer Letter may be executed containing the revised savings and incentive amounts. Ultimately, campuses will be paid incentive funds based on actual savings, not those estimated before implementation.

Throughout the operational phase, long-term financing will be managed by UCOP/CSUCO in conjunction with the campus to repay debts incurred to implement the project.

UC/CSU/Utility Partnership Projects - High Level Process Flow



*See process flow for UCOP funded projects

D. Project Applications, Forms and Instructions

Each project application or form incorporates specific instructions on how to complete the various fields within it.

Below are descriptions of the forms, which are available for download off the UC/CSU Partnership Website: <http://www.uccsuiouee.org/HowToApply.html>

- **Form B: Retrofit Application**

Use this form for retrofit type projects. Eligibility of certain project types relative to Title 24 baselines is addressed on page 5 of this application form. Measures should be grouped into projects in a way that facilitates tracking of project implementation progress. For example, a lighting retrofit across multiple buildings is an acceptable grouping, as is combining multiple measures for a single building. However, grouping disparate measures across multiple buildings is not recommended on a single project application. It is also important to keep in mind the 50% cost cap on lighting measures versus the 80% cost cap on all other measures. Because of this difference in cost caps, lighting measures may not be bundled with non-lighting measures. Also note that PC power management projects may no longer be bundled with other measures.

A project schedule must also be submitted with each retrofit application. A preliminary schedule should be created using the Retrofit Project Schedule Tab in the Form B. This information will be used to set up a schedule in the Partnership's web-based project tracking tool.

- **CPP/CLIP Parts A & B: Retrofit Application**

LADWP Application Parts A & B forms will be filled out in addition to Form B listed above, for all LADWP retrofit projects. The CLIP forms will be used for lighting only projects, and the CPP forms for other retrofits. These forms will serve as the acknowledgment of Terms & Conditions for all projects between the campus and LADWP and eliminate the need for a signed/countersigned agreement or CPF for LADWP incentives. These forms will work in parallel to meet all the requirements of the Partnership Program.

- **Installation Report (LADWP)**

Use this form to report summary results and to notify the Partnership and LADWP that a CPP project has been completed and is now ready for utility verification. CLIP projects only require notifying LADWP of project completion and providing contractor's final invoice, signed by the customer to indicate their approval, and an as-built spreadsheet if their scope of work changed.

- **Form E: Project Completion Form**

Use this form to notify the Partnership that a project has been completed and is now ready for IOU verification. Form E also allows the campus to communicate why any measures included in the initial application were not fully implemented.

E. Key Contacts and Roles

The following tables provide contact information for key parties involved in the Partnership, as well as their respective roles in administration, management and implementation.

Partner	Contact	Role
PG&E		
Monika Jesionek	MAJM@pge.com	Program Manager, Management Team, manages and coordinates all Partnership activities in PG&E territory
Sam Zimmerman	SMZ2@pge.com	Account Representative, communicates with campuses about future and existing projects.
Cecilia Tai	CMT8@pge.com	Program administrative and project management support
Colleen Breitenstein	c6bd@pge.com	Executive Team member
SCE		
Bill Rock	william.rock@sce.com	Program Manager, Management Team, manages and coordinates all Partnership activities in SCE territory
Lisa Hannaman	Lisa.Hannaman@SCE.com	Account Representative, communicates with campuses about future and existing projects
Richard Parker	Richard.Parker@sce.com	Program administrative and project management support
Derek Okada	Derek.Okada@sce.com	Executive Team member
SCG		
Gustavo Sevilla	GSevilla@semprautilities.com	Program Manager, Management Team, manages and coordinates all Partnership activities in SCG territory
Michael Kung	MKung@semprautilities.com	Account Representative, communicates with campuses about future and existing projects
Becky Estrella	BEstrella@semprautilities.com	Executive Team member
SDG&E		
Jon Kochik	jkochik@semprautilities.com	Customer Programs Supervisor

Sandra Williams	SMWilliams@sdge.com	Program Manager, Management Team, manages and coordinates all Partnership activities in SDG&E territory
Michelle White	MWhite1@sdge.com	Account Representative, communicates with UC campuses about future and existing projects
Elaine Allyn	MAllyn@sdge.com	Executive Team member
LADWP		
Cecille Coronel	cecille.coronel@ladwp.com	CLIP Supervisor, Management Team, manages and coordinates LADWP Partnership activities
Maychelle Yee	Maychelle.Yee@ladwp.com	CPP Supervisor, Management Team, manages and coordinates LADWP Partnership activities
David Jacot	david.jacot@ladwp.com	Executive Team member
UCOP		
Eric Eberhardt	eric.eberhardt@ucop.edu	Program Manager, Management Team, oversees project review and resource allocation for UC
David Phillips	david.phillips@ucop.edu	Executive Team member
CSUCO		
Michael Clemson	mclemson@calstate.edu	Program Manager, Management Team, oversees project review and resource allocation for CSU
Aaron Klemm	aklemm@calstate.edu	Executive Team member
Program Administrative Manager		
Andrew Meiman	Andrew@arc-alternatives.com	Principal, Overall Program Manager, Management Team and Executive Team Chair
Curtis Schmitt	Curtis@arc-alternatives.com	Principal, Lead Engineer & technical resource
Christine Clinton	Christine@arc-alternatives.com	Program management, administrative support, data management & scheduling support

APPENDICES

APPENDIX A: SUPPORTING DOCUMENTS AND GUIDELINES

APPENDIX B: PROJECT AGREEMENT AND PAYMENT ASSIGNMENT CLAUSES

Appendix A

Supporting Documents and Guidelines

Document descriptions are below and attachments enclosed on the following pages.

- **Due Diligence Requirements**

The appropriate Utility conducts the CPUC-mandated due diligence to verify measure savings and cost estimates and ensure program eligibility and other requirements are met.

For retrofit projects, a third party or Utility engineer will inspect each project site before and after implementation.

In order to make the verification process as efficient and cost-effective as possible, the following should be provided by the campus with applications, ahead of the actual inspection.

- Pre-installation inspection:
 - Existing equipment specifics (including manufacturer, model, and operating hours)
 - Proposed replacement equipment specifics (including manufacturer, model, operating hours, and installation counts)
 - Supporting calculations and/or energy modeling software reports/models that are transparent, repeatable and state valid assumptions
- Post-installation inspection:
 - Installed equipment specifics (including manufacturer, model, operating hours, and installation counts)
 - Supporting calculations that are transparent, repeatable and state valid assumptions
 - Invoices documenting total project cost, itemized for parts and labor as it relates to the project.

Appendix B

Project Agreement (“Campus Payment Form” or CPF) or NTP/Project Agreement Letter/Offer Letter (LADWP) & Payment Assignment Clauses

For the 2021 program cycle the Campus Payment Form (formally referred to as RPCP or Project Agreement) will be used for projects in PG&E territory. This form serves as a project-specific contractual agreement between the campus and the utility. For projects under LADWP jurisdiction the NTP (for lighting only projects) or Project Agreement/Offer Letter (for other retrofit projects) will serve as the project-specific contractual agreement between the campus and LADWP. Each agreement is prepared with project-specific information by the appropriate Utility and signed by both parties. The CPF is backed by the Partnership Master Agreement. NTPs and Offer Letters are backed by the terms and conditions signed in the LADWP application forms, Part A. Incentive funds for the project are reserved as a result of this agreement. The Campus Payment Form or LADWP agreement, as applicable, must be executed prior to campus payment.

For all CSUCO and UCOP centrally financed projects outside of LADWP jurisdiction, the Campus Payment Form must be submitted with the utility-specific payment assignment clause as an attachment. Each utility has its own payment assignment clause. This document directs payment from the utility to either CSUCO or UCOP. For UCOP funded projects the attached payment assignment must designate the payee as the Regents of the University of California. For CSUCO funded projects, the attached payment assignment must designate the payee as the Trustees of the California State University. The funds are then distributed internally based upon financial agreements between the campus and CSUCO/UCOP.

For projects within LADWP the NTP/Project Agreement/Offer Letter will serve as the project specific contractual agreement. The LADWP-specific Payment Assignment Form must be submitted with project closeout documents upon project installation.

A template Campus Payment Form and Payment Assignment Clauses for each Utility are enclosed on the following pages.