

CLIMATE CHANGE AND EMISSIONS MANAGEMENT (CCEMC) CORPORATION AND SUSTAINABLE DEVELOPMENT TECHNOLOGY CANADA (SDTC)

June 2016 Invitation for Funding Proposals for Canadian Small and Medium Enterprises Guide and Instructions

Online submissions: <https://www.ccemcadmin.ca/>
Deadline: Wednesday, July 20, 2016, 8:00 PM EDT



CCEMC
Climate Change & Emissions
Management Corporation



Sustainable Development
Technology Canada

Two funders. One process. \$40 million competition.

Alberta
Government

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Legal Notice

By submitting a Funding Proposal (“**FP**”), you declare and confirm to the Climate Change and Emissions Management (CCEMC) Corporation (the “**CCEMC**”) and Sustainable Development Technology Canada (“**SDTC**”) (collectively the “**Funders**”) that you have read, understand and accept the information contained in this FP guideline and that each of you, the applicant (the “**Applicant**”) and any project partners, acknowledge and agree as follows:

- a) The Funders are relying on the information provided in this FP guideline and in the FP for all purposes relating hereto. The Applicant acknowledges that it has reviewed, and that it is in compliance with, all applicable terms and conditions as stated within the FP guidelines.
- b) The Funders may at any time withdraw, suspend, cancel, terminate, amend or alter all or any portion of this Invitation for Funding Proposals (“**Invitation**”), including but not limited to the FP requirements, the FP process and the FP evaluation criteria.
- c) The Funders reserve the unqualified right to accept or reject any or all FPs for any reason. The Funders are not required to accept the highest ranked FP nor are they required to accept any FP recommended for funding by the applicable Funder evaluators.
- d) The final decision with respect to approval of the project described in the FP (the “**Project**”) rests solely with the CCEMC board of directors and the SDTC board of directors (collectively the “**Board of Directors**”). The Board of Directors’ evaluation of FPs may be based on, but is not in any way limited to, the criteria set out in this Invitation. The Board of Directors may consider any additional criteria determined by the Board of Directors to be relevant to the mandates of CCEMC and SDTC, regardless of whether such additional criteria have been disclosed to the Applicant.
- e) FPs that do not comply with the requirements described in this Invitation may be rejected in whole or in part or not considered by the Funders. The Funders reserve the unqualified right to accept or reject a non-compliant FP.
- f) This Invitation is for FPs only. It is not a funding offer and the submission of an FP does not create a contract or agreement of any kind between the Funders and the Applicant.
- g) No conduct, act or omission of the Funders, or their directors, officers, consultants, project advisors, agents, servants and their respective successors and assigns (collectively the “**Funding Parties**”) other than a written notice to the Applicant signed by an authorized person for the Funders, will constitute an acceptance of an FP.
- h) Acceptance of an FP does not create a binding contract between the Funders and the Applicant. The Funders shall not be obligated in any manner whatsoever to any Applicant until a written contribution agreement (“**Contribution Agreement**”) between the Funders and the Applicant has been duly executed relating to an approved FP.
- i) If the Project is accepted for funding, the Project partners will complete an environmental self-assessment to determine if any environmental assessments are required under federal, provincial, territorial or municipal legislation and if it is determined that such an environmental assessment is required, the Applicant shall be responsible for ensuring that such environmental assessments are completed.
- j) As between the parties, the FP and all information, documents and materials submitted to the CCEMC in connection with the FP and this Invitation (collectively, “**Applicant**”

Information”) are the exclusive property of the Funders immediately upon delivery to the Funders. For clarity, this refers to the materials themselves, not to any technology or innovations disclosed or discussed in them. Intellectual property developed during the course of the Project will be addressed through the Contribution Agreement and will normally be owned by the Applicant. For further clarity:

- a. each Funder may share Applicant Information with the other Funder, with the Funding Parties, and with other agencies or third parties who are part of the assessment of the FP; and
 - b. the individuals or organizations referred to in the FP may be contacted directly by the Funders as part of the assessment of the FP.
- k) You, the Applicant and any Project partners will not use, reproduce or distribute this Invitation, any portion of it, or any data, information, drawings, or specifications included in or provided with it except as necessary to prepare an FP in response to it or to apply for additional third party funding for the Project.
- l) Neither the Funders nor any of the Funding Parties will have any liability whatsoever to you, the Applicant or any Project partners, or any of them, in connection with this Invitation or any FP prepared in response to it.
- m) You, the Applicant and any Project partners will not make a claim against the Funders or the Funding Parties for any reason whatsoever or howsoever relating to this Invitation. You are undertaking the expenditures required to prepare and submit an FP entirely at your own risk, and you waive any right and release the Funders and the Funding Parties from any demands, liability, claim or recovery for costs, expenses, or damages incurred whatsoever or howsoever arising out of or relating to this Invitation or any FP prepared in response to it, whether such right or claim arises in contract, negligence or otherwise.
- n) If you, the Applicant generate revenue from the project or project assets during the project, such revenue must flow back into the Project to offset project costs; under no circumstances can the Applicant or other consortium members or related parties profit from the Project or the Project assets during the project period of funding.
- o) The Funders take no responsibility for the accuracy of the information supplied during this Invitation process by the Funders or the Funding Parties.
- p) The Applicant hereby represents and warrants that:
- a. there are no actions, suits, investigations or other proceedings pending or, to the knowledge of the undersigned, threatened against the Applicant, the Project or the Project assets, including any intellectual property forming part of the Project and to the best of the undersigned’s knowledge there is no order, judgment or decree of any court or governmental agency which could materially and adversely affect the activities contemplated by the Contribution Agreement to be entered into between the Funders and the Applicant and the performance by the Applicant of its duties and obligations under such Contribution Agreement;
 - b. all factual matters contained in the FP and Applicant Information are true and accurate, and that all estimates, forecasts and other related matters involving judgment were prepared in good faith and to the best of the Applicant’s ability, skill and judgment;

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- c. the FP and Applicant Information does not contain any untrue statement of a material fact nor omit to state a material fact necessary in order to make the statements contained herein or therein, in light of the circumstances under which they were made, not misleading:
 - d. to the best of the Applicant's knowledge the Applicant:
 - i. has in respect to the Project assessed trade and competition impacts, including compliance with international agreements; and
 - ii. the Project complies with all applicable federal, provincial/territorial and municipal legislation; and
 - e. neither the Applicant nor to the knowledge of the Applicant, any Project partner, has paid or agreed to pay either directly or indirectly, any contingency fees for the solicitation, negotiation, or obtaining of SDTC or CCEMC funding, to any person including a broker, consultant or advisor. **"Contingency fee"** means any payment or other compensation that is contingent upon or is calculated upon the basis of a degree of success in soliciting or obtaining SDTC or CCEMC funding. **It is SDTC and CCEMC policy that any applications or proposals that involve the payment of a contingency fee will be rejected.**

Neither the Funders nor any of the Funding Parties will have any liability whatsoever or howsoever to any one or more of you, the Applicant and any Project partners, or any of them, in connection with this Invitation or any FP prepared in response to it.

1 Introduction

The Climate Change and Emissions Management (CCEMC) Corporation (“CCEMC”) was created by the Government of Alberta to help the province transition to a low carbon future. By developing the next generation of innovative and clean technology, CCEMC helps Alberta build an open, sustainable and increasingly diversified economy that attracts investment, facilitates diversification, expands market access and delivers improved environmental outcomes. CCEMC’s mandate is to reduce greenhouse gas emissions and adapt to climate change by supporting the discovery, development and deployment of technologies.

Sustainable Development Technology Canada (“SDTC”) acts as a primary catalyst in building a sustainable development technology industry in Canada, funding and supporting Canadian cleantech projects across a number of sectors. SDTC invests in Canadian companies that through their innovative technologies bring positive contributions to Canada: creating quality jobs, driving economic growth, and preserving our environment. SDTC is a foundation funded by the Government of Canada.

1.1 Document Scope

In February 2016, CCEMC and SDTC (collectively the “Funders”) partnered to launch a call for Funding Applications (“FAs”) seeking new and innovative GHG reduction technologies from Canadian small and medium enterprises (“SMEs”). All FAs received by the Funders in response to this call were reviewed, and some applications have been invited to submit a comprehensive Funding Proposal (“FP”).

This document provides information, guidelines, and requirements for submission of FPs in response to the Invitation. Submissions to the FP stage of this funding process are by invitation only; no unsolicited FPs will be accepted.

2 Terms of Funding

Funding through this Invitation is provided for completion of a project with well-defined objectives, milestones, deliverables, and timelines. Applicants must clearly delineate the scope of the project for which the funding is being requested. Any related work completed before the project term or concurrently but outside the scope of the proposed project may be discussed in the proposal but should be clearly indicated as such.

2.1 Total Funds Available

The total funding available for projects supported through this Invitation is up to **\$40 million** Canadian Dollars (\$CAD), subject to the discretion of the Funders and the availability of funds.

2.2 Maximum Contribution

The maximum contribution from the Funders for any project awarded through this FP is \$10 million CAD over the project term.

2.3 Cost Sharing

The Funders will support no more than **66.7%** of an awarded project's eligible expenses. For guidance on eligible expenses and costs, please refer to the CCEMC-SDTC [Eligible Expense and Cost Instructions \(February 2016\)](#) available on www.ccemc-sdtc.ca.

The Funders will only match unencumbered cash contributions to the project for eligible expenses. Furthermore, the maximum contribution will not match other Canadian government funds (federal or provincial), offset credits associated with the project, tax incentives associated with the project (e.g. Canadian SR&ED credits), or non-cash contributions such as sweat equity and costs incurred prior to funding approval. Although the collective maximum contribution will only match cash contributions, any non-cash or other contributions should be noted in the FA, as these will be taken into consideration during the evaluation process.

Note: Applicants must justify the amount of funding requested from the Funders. The Funders may choose at their sole discretion to award project funding for less than the requested amount.

2.4 Project Financing

The Funders will finance approved projects on a project milestone basis. Specific details regarding payment of the Funders' contribution in relation to the project work plan, timing, milestones, deliverables, and reporting will be specified in the Contribution Agreement.

2.5 Project Term

The maximum length of any project funded through this FP invitation is **four (4) years**.

2.6 Project Initiation

Projects may commence **after** the date on which successful applicants are notified that funding has been approved. However, no disbursements will be made prior to execution of the Contribution Agreement. Project costs incurred prior to receiving notification of the Funders' decision will not be considered eligible as matching funds. Furthermore, project costs incurred prior to execution of the Contribution Agreement will not be reimbursed by the Funders in the event that an agreement is not executed.

2.7 Contribution Agreement

Successful Applicants will have three (3) months after receiving the notice of award to enter into a Contribution Agreement with the Funders. The Contribution Agreement will address the following terms, without limitation: project scope, work plan, milestones, deliverables, performance targets, payment schedule, reporting requirements, budget and schedule, as well as any other appropriate aspects of the project on the terms and conditions required by the Funders in their sole discretion.

2.8 Consortium Requirement

This Invitation requires that Applicants form a consortium comprised of the Applicant organization and at least one contractual non-related partner that is providing cash or in-kind contributions to the proposed project. For example, the lead Applicant could be a Canadian technology developer and the consortium partner could be a future end user in Alberta validating the technology. Consortium partners can represent companies in the future value chain of the technology to be developed and demonstrated. Applicants that are selected for funding must have an agreement with each consortium member that commits their participation in the Project and confirms all funding is in place before a Contribution Agreement will be executed.

3 Submission Details

3.1 Process Timelines

The following timeline is anticipated for the FP stage of the funding process. Applicants are strongly encouraged to familiarize themselves with the timelines and requirements associated with each step in the FP process. Further detail about each step of the process is provided throughout this section. Note that the Funders reserve the right to alter or cancel the currently-anticipated process and deadlines at their sole discretion.

Item	By Whom	Timing
Initial FP Submission	Applicants	July 20, 2016
Due Diligence Site Visits	The Funders	August 8-26, 2016
Final FP Submission	Applicants	Two weeks after due diligence meeting
Oral Presentation	Applicants	October 2016
Funding Approval	The Funders	December 2016

3.2 Submission Portal

All FPs must be submitted using the CCEMC's *Climate Change Information Management System* ("CCIMS") at <https://www.ccemcadmin.ca/>, including both the initial FP submission and the final FP submission.

3.3 Submission Deadline

3.3.1 Initial Submission

The deadline for submission of a completed FP package is **Wednesday, July 20, 2016 at 8:00 PM EDT (UTC-4h)**. This initial submission must consist of all elements described in Section 3.4 below.

It is essential that the initial FP submission be complete and of sufficient quality to allow for a thorough review. The initial FP forms the basis of initial review and formulation of questions by the Funders' proposal advisors for the due diligence site visits. Although some details of the project may not be finalized by the time of this submission, the initial FP is explicitly not a draft submission. Any outstanding items must be clearly identified within the initial FP submission, along with a plan to resolve these items prior to the final FP submission.

3.3.2 Final Submission

The deadline for submission of a finalized FP package is **two weeks after the due diligence site visit for each applicant, at 8:00 PM EDT (UTC-4h)**.

Note: Late submissions will not be accepted. The CCIMS will automatically close submission functionality at this time, after which nothing can be submitted. No exceptions will be made to the deadline. Applicants who miss the deadline will be removed from the FP process. As such, applicants are encouraged to complete their submissions well in advance of the deadline.

3.4 Mandatory Submission Information

Each FP submission must consist of the following:

1. **Funding Proposal:** A funding proposal document in PDF format. This document will form the basis for the Funders' evaluation, and must fully address each of the evaluation criteria.
2. **Appendix A – GHG Quantification Report:** A GHG reduction quantification report, including both the methodology document in PDF format and the benefits table in Excel format (see Appendix A).
3. **Appendix B – Applicant Financial Report:** Financial documentation, including the budget table in Excel format, required for the Funders to perform financial risk assessment (see Appendix B).

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4. **Appendix C – Letters of Commitment:** Letters of commitment from all consortium members (see Appendix C).
 5. **Appendix D – Data Collection:** Mandatory information regarding the applicant and all consortium members.
 6. **Appendix E – Declaration:** Acknowledgement and agreement of the Funders' Legal Notice and accuracy of information.

Note: Only the required documents may be provided. Any additional attachments or materials will not be considered.

3.5 Funding Proposal Standards

Applicants must use the response template provided by the Funders. The completed FP document **must adhere** to the following requirements:

- It must be submitted in both Word and PDF format. The PDF document must be converted directly from the response template. Scanned PDF documents will not be accepted.
- It must contain no more than forty (40) letter-sized (8.5" x 11") pages in length, including all graphics and tables. **Extra pages will be truncated and will not be considered by the evaluators.**
- The page margins must be no smaller than 2.54 cm (1");
- It must use at least 12-point font with a minimum of 1.0 line spacing; and
- It must be written entirely in French or English.

Note: The maximum forty (40) page limit does not include the mandatory appendices. Please see Appendix A, B, C, D, and E for further information regarding these submission requirements.

3.6 Due Diligence Site Visit

After the initial FP document has been submitted by the July 20 deadline, the Funders will contact each applicant to arrange a due diligence site visit between the dates of August 8 and 26, 2016. Each site visit will span a half working day and will consist of a site tour, discussion about the submitted FP document, and a detailed question and answer session. The due diligence site visits provide an important opportunity for applicants to address critical questions and issues related to their FP submission before the final FP submission deadline. Applicants are encouraged to be fully prepared in order to take full advantage of this opportunity. This meeting is typically held at either the lead Applicant or a consortium partner facility, but other locations may be requested if convenient. A representatives from each consortium partner must attend the due diligence meeting in person or by phone.

3.7 FP Oral Presentation

All applicants will be invited to make a presentation to the Funders after the final FPs have been submitted. Further information regarding these presentations, including the time and location, will be provided to each applicant by the Funders before the scheduled timeframe. Applicants are encouraged to ensure that representatives are made available for the allotted time slot.

3.8 Proposal Advisors

One proposal advisor from each CCEMC and STDC will be assigned to each FP in order to serve as a point of contact with the Funders, to provide guidance regarding the FP process, and to answer questions from applicants. The advisors will participate in the due diligence site visits in August and will be able to assist applicants in preparation of their FP oral presentation in October.

The name and contact information of both proposal advisors assigned to each FP invitation are contained in the FP invitation letter. Applicants are encouraged to contact their proposal advisors at an early date in order to provide sufficient time for assistance and response to enquiries. Applicants are requested to always communicate with **both proposal advisors** when seeking guidance.

4 Evaluation

4.1 Methodology

FPs will be assessed with the help of the ProGrid methodology. ProGrid uses an evaluation matrix containing assessment criteria used to determine how well each FP aligns the Funders' overarching objectives. More information about the ProGrid methodology can be found on the ProGrid Evaluation Solutions website at <http://www.progrid.info>.

The ProGrid assessment will help to inform the selection of projects, but will **not** decide which projects are funded. Final funding decisions will be made by the Funders' Boards of Directors.

4.2 Evaluation Matrix

The evaluation matrix below shows the individual criteria that will be used for this assessment. Each of these criteria contributes to the overall GHG reduction potential associated with the proposed projects.

Excellence	Impact	Implementation
1 Technology Strength	4 Market Opportunity	8 Work Plan & Budget
2 Technology Advancement	5 Commercialization Pathway	9 Financing Plan
3 Business Model	6 GHG Impact	10 Team Capacity
	7 Non-GHG Impacts	11 Consortium Strength

4.3 Evaluation Criteria

Excellence

1. **Technology Strength:** Proposals will be evaluated on the strength of the proposed technology, including the scientific basis for the technology, its innovative aspects that lead to a sustainable competitive advantage, and the overall strategy for protection of intellectual property.
2. **Technology Advancement:** Proposals will be evaluated on the merits of the proposed technology advancement over the course of the project.
3. **Business Model:** Proposals will be evaluated on the strength of the proposed business model relative to market needs and whether the proposed solution represents a significant competitive advantage.

Impact

4. **Market Opportunity:** Proposals will be evaluated on the potential for widespread market adoption of the technology within Alberta and also across Canada.
5. **Commercialization Pathway:** Proposals will be evaluated based on the proposed pathway to commercial implementation and market rollout of the technology.
6. **GHG Impact:** Proposals will be evaluated on the potential for significant and quantifiable GHG reductions through implementation and adoption of the proposed technology in Alberta and also across Canada.
7. **Non-GHG Impacts:** Proposals will be evaluated on the non-GHG impacts of the proposed development and technology, including environmental, economic, and innovation capacity in Alberta and also across Canada.

Implementation

8. **Project Plan and Budget:** Proposals will be evaluated on the merits of the project work plan and budget in relation to achieving successful and meaningful outcomes.
9. **Financing Plan:** Proposals will be evaluated on the plan to finance the proposed scope of work, including all committed funding, efforts to secure further funding, and the rationale for CCEMC-SDTC funding.
10. **Team Capacity:** Proposals will be evaluated on the track record and ability of the project team members and the Applicant's management team. Proposals will be evaluated on how well suited, managed, and committed the team is to carry out the proposed work and further advance toward commercial implementation.
11. **Consortium:** Proposals will be evaluated on the strength of the consortium, including the level of commitment and whether the consortium includes sufficient resources to successfully complete the project and support commercialization of the technology.

4.4 Note on Proposal Quality

The FP evaluation process is highly competitive and only the highest-quality projects will be considered for funding. Success in this Invitation depends on the quality of the FP submitted. In this regard, "quality" refers to the merits of the proposal in terms of both the overall potential based on the assessment criteria and how well the criteria are addressed, including completeness and clarity. It is incumbent on each Applicant to communicate the proposed project's merits through the responses provided in the FP template.

5 Intellectual Property

Intellectual property will be addressed through the Contribution Agreement negotiated between the Funders and each successful Applicant, and will be specific to the circumstances of each project. However, a few general principles apply:

1. Background IP (patents, copyright, software) and third-party technology remains with its original owner(s);
2. The CCEMC retains rights to the project research results, that is, the technical data, reports, analysis, discussion, and analysis of the reports. These results will normally be made publicly available at the conclusion of a confidentiality period; and
3. Project technology (based on patent disclosures) developed as a part of the co-funded activities will normally be owned by the Applicant, who has an obligation to protect the technology within a period specified by the Funders. If the technology is not commercialized within the specified period, it may be made available by the Funders to other Canadian users.

6 Confidentiality

The Funders shall keep confidential all information disclosed to them by the other party relating to this FA, a future FP, or approved project, except information which:

- Is part of the public domain;
- Becomes part of the public domain other than as a result of a breach of these provisions by either party;
- Either party is required to disclose pursuant to applicable Laws or by a Governmental Authority;
- Can be demonstrated to have been known or available to either party or independently developed by either party;
- Was received in good faith from an independent Person who was lawfully in possession of such information free of any obligation of confidence; or
- Is released in accordance with the provisions of the Contribution Agreement or by the written authorization of both parties.

Notwithstanding the above, Applicants hereby acknowledge that the *Access to Information Act*, RSC, 1985, c.A-1, the *Privacy Act*, RSC, 1985, c. P-21 and the *Freedom of Information and Protection of Privacy Act*, RSA 2000, c.F-25 may apply to all information and records provided by Applicants to the Funders and to any information records which are in the custody or under the control of the Funders.

Appendix A: Greenhouse Gas Reduction Quantification

The following must be included in your GHG emission reduction report, to be submitted online as part of your application. For further guidance, please refer to the *CCEMC Project GHG Emission Reduction Guidance* document available on the CCEMC's website at www.ccemc.ca.

Please note that if there is an applicable and current Alberta Offset Protocol, please use the quantification methodology described in the Protocol.

1. **GHG Assertion**

A greenhouse gas reduction quantification must be presented by completing the *GHG Benefits and Market Rollout Table (Excel format)*. All sections of the table must be completed.

2. **The Project:** The following information, specific to each project, must be provided:

- a) A brief description of the activity and technology to be funded by the CCEMC (i.e. the project) including dates of activity;
- b) Material sources and sinks used to calculate the emissions in the project;
- c) The calculations used to estimate the emissions and removals from the sources and sinks in the project; and
- d) An indication of whether the project site will be either located at a facility subject to Alberta's *Specified Gas Emitters Regulation*, applying for offset credits within Alberta's emissions offset system, or neither.

3. **The Baseline:** A description of the baseline must contain the following information:

- a) Identification of industry average methods of providing the technologies services and products (i.e., the industry average baseline);
- b) The current methods of providing the technologies, services or products, if different from industry average methods;
- c) Material sources and sinks used to calculate the emissions in the industry average baseline and current baseline, if different from industry average; and
- d) The calculations used to estimate the emissions and removals from the sources and sinks in the industry average baseline and current baseline, if different from industry average.

4. **The Commercial Unit:** The following information must be provided for a typical commercial unit (actual or potential) using the technology proposed in this Proposal:

- a) A description of the smallest size of the technology that can be used/deployed independently (i.e. the commercial unit);
- b) Material sources and sinks used to calculate the emissions for the commercial unit;
- c) The calculations used to estimate the emissions and removals from the sources and sinks in the commercial unit;
- d) The production or supply requirements from the smallest commercial unit depending on what is used to calculate the GHG intensity; and
- e) A baseline description that was used to calculate the GHG intensity.

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5. **Alterations to the Baseline:** Identification of situations that may alter the baselines, which can include:
 - a) Current or impending laws or regulations that may affect emissions from the baselines, project or commercial unit; and
 - b) When end of life occurs for the historical baseline.
 6. **Functional Equivalence:** Describe the functions and services provided by the baseline, project and commercial unit and justify whether the baseline, and the project and commercial unit provide the same services and products.
 7. **Market Estimates:** The following information must be provided about the market. If there are multiple markets, this information must be provided for the target market. Other markets are optional:
 - a) The market size using production units or supply units using a recent date;
 - b) The greenhouse gas intensity (tonnes CO₂e/unit of production or supply units), for a commercial unit;
 - c) The expected commercialization date; and
 - d) The life span of the technology in its commercial setting.
 8. **Associated Estimates:** Associated emission reductions are those emission reductions that result from modifications of downstream activities (e.g. the storage component of CCS or behaviour modification programs). If applicable, provide the greenhouse gas intensity (tonnes CO₂e/unit of production or supply) for a commercial unit and expected implementation date for the associated emission reductions.
 9. **For Technologies that Access New Markets and/or Resources:** If your technology is accessing new markets or resources, describe the new market or resource to be accessed, and how it differs from the current situation.
 10. **GHG Risks:** If there are unusual or unanticipated uncertainties associated with the GHG measurements and calculations, please describe how they affect the assertion.
 11. **Future Verifiability:** Provide a brief description of the data management systems used to collect information for the GHG assertion for the project, the commercial unit and any conditions in the baseline that require monitoring.

Appendix B: Applicant Financial Report

The following must be included in your financial report, to be submitted online as part of your application. For further guidance, please contact Heather Stephens at heathers@ccemc.ca.

1. Organizational description – Including but not limited to the following:
 - a) A description of what the Applicant does (i.e. industry, product/service offering);
 - b) Who owns the Applicant or is an investor in the Applicant (include capitalization table);
 - c) When was the Applicant started and where is it located; and
 - d) A list of the Applicant’s key customers, suppliers and competitors.
2. Financial statements (including balance sheet and income statement) please also include cash flow statement, notes, management discussion & analysis if these are available) for the 2 most recent fiscal years. If you prepare quarterly financial information please provide the most recent quarter.
3. Letter of credit or bank reference letter from the relevant financial institution, or parent company showing guarantees relating to the Applicant’s or any Project partners’ credit (if no public credit ratings are available).
4. Documentation and a corresponding dollar value relating to any of the following (if applicable):
 - a) Documentation including a description of any current or potential litigation;
 - b) Copies of any new large contracts or contracts up for renewal (including lease agreements); and
 - c) Description of any other significant projects under consideration or currently being undertaken by the Applicant.
5. Copies of any loan agreements or financing arrangements with financial institutions or partners supporting the Project.
6. Completed budget template (Excel format), with sufficient details so that the Funders can determine the reasonableness of assumptions.

Note: Applicants must review the CCEMC-SDTC [Eligible Expense and Cost Instructions \(February 2016\)](#) available on www.ccemc-sdtd.ca to determine if budgeted costs are compliant with these instructions. Please indicate any costs which do not follow this guidance. In addition, any non-cash contributions should be separately identified.

7. Comment on and provide documentation on the following:
 - a) The availability of financial resources for the remaining Project budget not anticipated to be financed by the CCEMC. Separately discuss the Industry and Government participants and the likelihood the funds will be made available (i.e. if the funding is confirmed);
 - b) Any restrictions placed on funding provided by project partners;
 - c) Any Project refinancing issues that may arise or be applicable for the long-term financing of the Project (i.e., cash shortfalls, debt maturity);

- d) Any contingency or alternative financing that has been considered in the event that a funding source is not obtained or unexpected cost overruns occur; and
- e) Cost mitigation strategies to reduce the risk of cost overruns.

A check-up on the short-term liquidity of the Applicant is required. One of the following tables should be filled out:

For a publically traded Applicant:

CASH & CASH EQUIVALENTS, A1 (\$)	
AVAILABLE CREDIT on any lines of credit or equivalent, A2 (\$)	
OTHER AVAILABLE FUNDS, A3 (\$)	
TOTAL AVAILABLE FUNDS, (A) = A1+A2+A3	
LAST TWELVE MONTHS CASH FLOW FROM OPERATIONS, B (\$)	†
MONTHLY OPERATING CASH FLOW, C = B/12	
RUNWAY, D = A/C	*

†As shown in most recent financial statements (negative or positive)

*Not applicable if “Monthly Operating Cash Flow” is positive

For a privately held Applicant:

BANK, CASH BALANCE from 3 months ago (\$)	
BANK, CASH BALANCE at end of previous month, A1 (\$)	
AVAILABLE CREDIT on any lines of credit or equivalent, A2 (\$)	
OTHER AVAILABLE FUNDS, A3 (\$)	
TOTAL AVAILABLE FUNDS, (A) = A1+A2+A3	
CURRENT CASH-IN PER MONTH (if any)	
PRODUCT SALES, B1 (\$)	
CONSULTING REVENUE, B1 (\$)	
OTHER REVENUE, B3 (\$)	
MONTHLY, TOTAL CASH-IN (B) = B1+B3+B3 (\$)	
CURRENT CASH-OUT PER MONTH	
MONTHLY DEBT REPAYMENT, C1 (\$)	
MONTHLY RENTS, C2 (\$)	
DIVIDENDS/SALARIES, C3 (\$)	
TYPICAL MONTHLY TRAVEL EXPENSES, C4 (\$)	
OTHER MONTHLY EXPENSES, C5 (\$)	
MONTHLY, TOTAL CASH-OUT (C) = C1+C2+C3+C4+C5	

MONTHLY CASH BURN-RATE, $D = B - C$	
RUNWAY, $E = A/D$	*

*Not applicable if “Monthly Cash Burn-Rate” is positive (i.e. positive cash flow)

Appendix C: Letters of Commitment

Please provide signed letters of commitment from all consortium members. Please attach these letters to your proposal (scans are acceptable). Signed Letters of Commitment should be addressed to both SDTC and the Applicant, confirming that **ALL** project funding is in place or identifying the conditions to be satisfied prior to funding commitment. The amount of funding commitments and sources (both cash and in-kind) should match the amounts identified in the budget tables. The Letters of Commitment must have an original signature from an Officer of the Company who is able to legally commit funds from the company or organization.

Letters of Commitment must include the following information:

- Legal name of consortium member;
- Summary of participation in the CCEMC-SDTC project;
- Details of funding commitments and any timelines or conditions associated with the confirmation of these; and
- Original signature from an Officer of the Company able to legally commit funds from the company or organization.

Note: In some cases, formal agreements may not be finalized prior to the initial FP submission. In such cases, applicants may provide Letters of Intent pending formalization as an alternative. However, all Letters of Commitment must be provided with the final FP submission.

Please combine all Letters of Commitment into one PDF file and upload as a single document.

Appendix D: Data Collection

Organizations

Complete the table below for the lead applicant and all consortium partners.

Organization	Sector (e.g. private, public, academia, or NGO)	Designated Lead Organization

Please provide the following information

Proposal Title:	
Is this a re-submission? If so, please indicate all previous SDTC and CCEMC submission reference number(s):	Previous Title:
Lead Organization:	
Head Office Location of Lead Organization:	
Mailing Address of Lead Organization:	
Lead Organization Contact Information: (to be the primary contact)	
Name of Organization:	
Designated Contact:	
Title:	
Telephone:	
Fax:	
E-mail:	
Website:	
Sector (private, public, academia, or NGO):	
If a <u>private sector</u> participant, Geographic Location of Major Operations in Canada:	
Legal status:	
Date of Incorporation:	
In business since:	
Number of full-time employees:	
Annual Revenue (last fiscal year):	
Ownership or major share structure:	
Canadian or _____	
Whole company or Division of?	

Consortium Member:

Name of organization:
Contact Name:
Address:
Title/Department:
Telephone:
Fax:
E-mail:
Website:
Sector (private, public, academia, or NGO):
If a private sector participant:
Geographic Location of Major Operations in Canada:
Legal status:
Date of Incorporation:
In business since:
Ownership (or major share structure):
Canadian or _____
Whole company or Division of?

Notes:

- **Replicate the Consortium Member block as needed.**
- **Legal status** is a choice of **one** of the following: Incorporated, Partnership, For-profit corporation, Business trust, Research institute, Not-for-profit corporation, Corporation, Limited Partnership, Sole Proprietorship, Joint Venture, Individuals/Entrepreneur, Crown Corporation, Trustee, Private Trust, Nominal Society, Controlled Company, Closed Company, Holding Company, Special purpose corporation.

Proposed Due-Diligence Location

As part of the CCEMC-SDTC review process, we will be conducting on-site diligence meetings during the month of August 2016. During this period, CCEMC-SDTC will request a face-to-face session with representation from the lead applicant and all consortium members. This meeting is typically held at either the lead applicant’s facility or a consortium partner’s facility. Other locations may be requested if necessary.

Proposed location	
Civic Address	
City	
Province	
Description of Site	

Previous Support

List other funding sources that have supported the development of the technology to date. This should include non-government funding such as venture capital, friends and family, self-financing, etc.

Source	Funding Amount	Timeframe	Type (grant, loan, etc.)	Brief Description of Scope (i.e. what the funding was for)

List any government-run testing facilities used in the development of the technology, including as part of the current Project proposal, in the following format.

Facility	Location	Testing Performed

Category and Sector of Impact

Identify the area of application for your technology:

- Energy Exploration
- Power Production
- Fuels Production
- Petrochemical / Chemical Production
- Energy Services (e.g. refining, transmission & distribution)
- Energy Storage and conversion (e.g. batteries, controls)
- Industrial Processing
- Agricultural
- Forestry
- Buildings (including Construction)
- Bio-mass and waste management (including landfills)
- Transportation and engines

Identify all of the economic sector(s) of the economy upon which the technology will impact:

- Agricultural
- Natural Resource-Based, including mining and forestry
- Industrial, including manufacturing
- Utilities
- Transportation
- Residential

Commercial

Use of External Consultant

Did an external consultant assist in the preparation of this proposal (Yes or No)?

Appendix E: Declaration

This declaration must be signed by an officer of the Applicant and/or such other persons able to legally bind the members of the project consortium submitting the Funding Application. The Applicant acknowledges that he or she has reviewed, and that the Applicant is in compliance with, all applicable terms and conditions as stated in the Legal Notice section of the Funding Proposal Guide and Instructions.

Name	Title/Organization
Signature	Date

Please provide the signatures of all consortium members other than the Lead Applicant. CCEMC and SDTC acknowledges and agrees that consortium members are signing below only for the purpose of warranting that all information pertaining to them, individually, including their anticipated role in the Project, as disclosed in the Application is accurate, and that they have not paid Contingency Fees as contemplated in Legal Notice section of the Funding Proposal Guide and Instructions.

_____	_____	_____	_____
Name and Title	Organization	Date	Signature
_____	_____	_____	_____
Name and Title	Organization	Date	Signature
_____	_____	_____	_____
Name and Title	Organization	Date	Signature
_____	_____	_____	_____
Name and Title	Organization	Date	Signature