



U.S. DEPARTMENT  
of **ENERGY**

Federal Energy  
Management Program



# FEMP ESPC Project Development Resource Guide

A Guide to FEMP Resources and Deliverables for DOE ESPC IDIQ Project Facilitators and Federal Project Executives

**July 2025**

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## List of Acronyms

CO	Contracting officer
COTR	Contracting officer's technical representative
DOE	Department of Energy
ePB	e-Project Builder
ESCO	Energy services company
ESPC	Energy savings performance contract
FEMP	Federal Energy Management Program
FPE	Federal Project Executive
GFO	DOE's Golden Field Office
IAA	Interagency agreement
IDIQ	Indefinite-delivery, indefinite-quantity (contract)
IGA	Investment grade audit
KO	Contracting officer
M&V	Measurement and verification
NOITA	Notice of intent to award
NOO	Notice of opportunity
ORNL	Oak Ridge National Laboratory
PA	Preliminary assessment
PF	Project facilitator
RFP	Request for proposal
RRPM	Risk, responsibility, and performance matrix
SBQ	Selection by qualification
SME	Subject matter expert
TO	Task order
TO-RFP	Task order – request for proposal

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# 1 Introduction

This guide charts the Federal Energy Management Program (FEMP) process for providing project development support to agencies developing Energy Savings Performance Contract (ESPC) projects using the U.S. Department of Energy (DOE) indefinite-delivery, indefinite-quantity (IDIQ) ESPC. Within that process, the guide outlines: (1) the resources that Project Facilitators (PFs) and Federal Project Executives (FPEs) are required to use in their lead role in the delivery of project development services, and (2) minimum requirements for project documentation. The process applies to new projects as well as major modifications to existing awarded projects.

“DOE requires ordering agencies to use a qualified PF” to ensure that PFs have the expertise and experience to support the development of projects to be awarded under the DOE IDIQ ESPC<sup>1</sup>. The PF qualification requirement applies to all PFs, i.e., to PFs provided both by DOE and by ordering agencies (either internally or through direct contract). DOE-provided PFs are required (via their statement of work) to follow the project development support process outlined in this project development guide. While it is recommended that ordering agency-provided PFs follow the same process outlined here, ordering agency-provided PFs may follow an alternate project development process that the ordering agency deems is at least equivalent to the steps, resources required for PF use, and deliverables required under the standardized project development process documented here.

Also note that PFs are required to coordinate periodically with FEMP Federal Project Executives (FPEs) to support successful project execution<sup>2</sup>. FPEs have established coordination meetings for PFs at a minimum of once per quarter to address project issues, concerns, and status updates. Meeting findings may be shared with FEMP staff as warranted for general awareness, potential program-wide improvement actions, and continuity with an assortment of other programs related to grants and technical assistance that may support agencies and agency ESPC projects. Quarterly interactions also enable FPEs to inform PFs of potential ESPC program activities or actions that may have future impacts on the services they provide and the projects they support.

A new feature of the 4th generation of the DOE Energy Savings Performance Contract IDIQ issued in August 2023 allows the option of developing an ESPC project without a Preliminary Assessment (PA) (per Section H.4 of that contract) to reduce project development time. Forgoing the PA has the potential to trim 3 to 6 months off the standard project development timeline. This direct-to-Investment Grade Audit (IGA) or non-PA path can be particularly advantageous when a project scoping analysis already exists, or an investment-grade energy audit was completed previously. Because a direct-to-IGA path shortens the project development process, it could drive a need for more IGA review meetings (e.g., at 30, 60, and 90% IGA development) that an ordering

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<sup>1</sup> DOE ESPC Gen4 IDIQ Ordering Guide (available at <https://www.energy.gov/femp/resources-implementing-federal-energy-savings-performance-contracts>)

<sup>2</sup> DOE ESPC Gen4 IDIQ Ordering Guide



agency uses to ensure the project stays on track with agency needs. An ordering agency considering this shortened approach should weigh its advantages and challenges when deciding on their project development path.

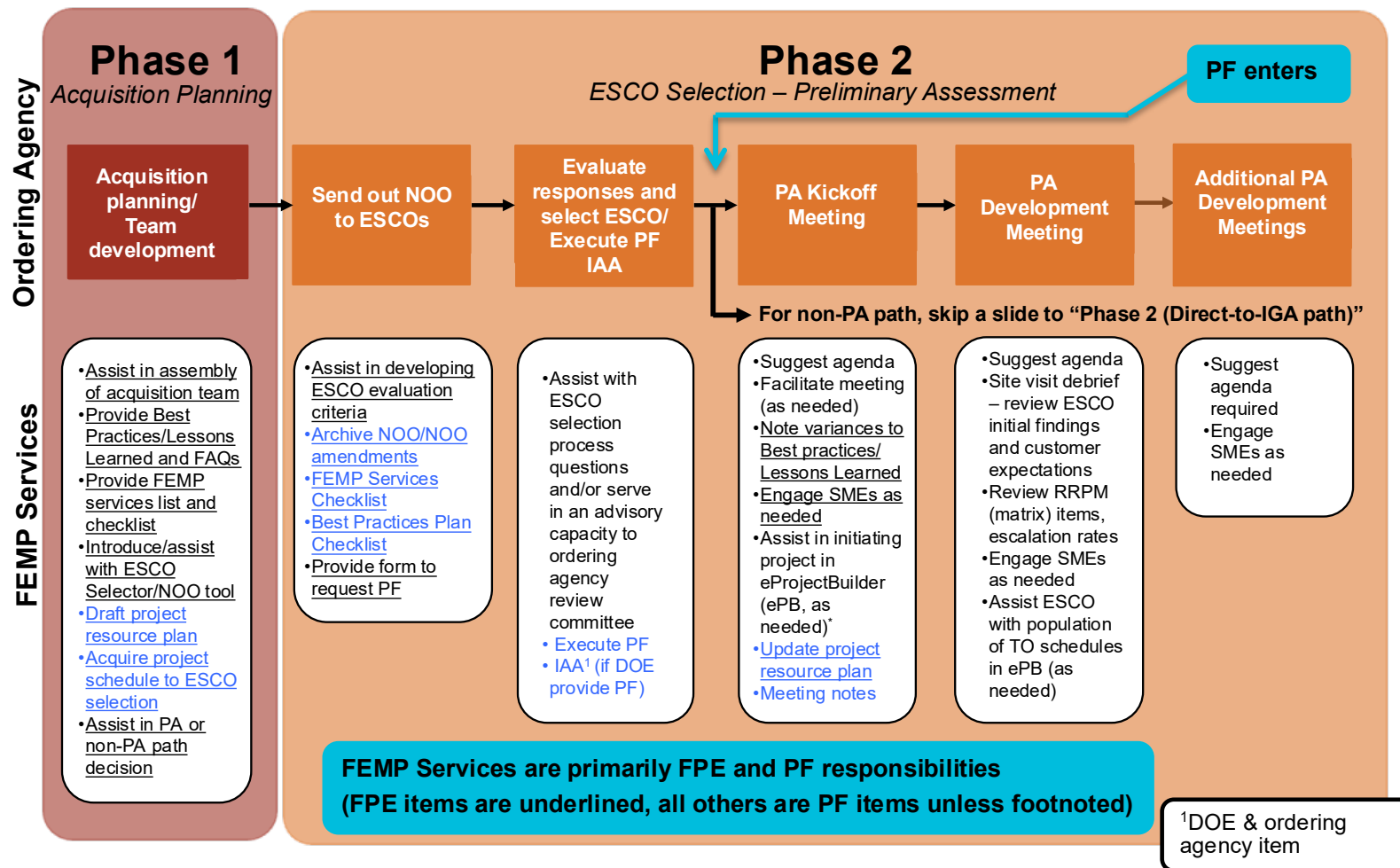
## **2 Applicability**

This guide specifically addresses project development under the DOE ESPC IDIQ. The guide and the numerous project development resources it references could be applied and/or adapted to ESPC projects pursued outside the federal government (by states, municipalities, and others). While developed specifically for the federal government, the standardized development process and tools described here could jump-start any adopter with a time-tested and consistent process for developing ESPC projects.

## **3 FEMP Assistance During ESPC Development Process**

The following process chart identifies the primary activities in the FEMP ESPC project development process and the services provided by PFs, FPEs, and FEMP Subject Matter Experts (SMEs) throughout ESPC project development. The documents to be archived (retained) as record ESPC project documentation are shown in the charts and are identified in tabular form alongside additional details in Section 4. Those responsible for the items/records identified in the process charts are also those responsible for archiving (record retention).

# FEMP Assistance During ESPC Development Process: Tasks & Deliverables by Phase

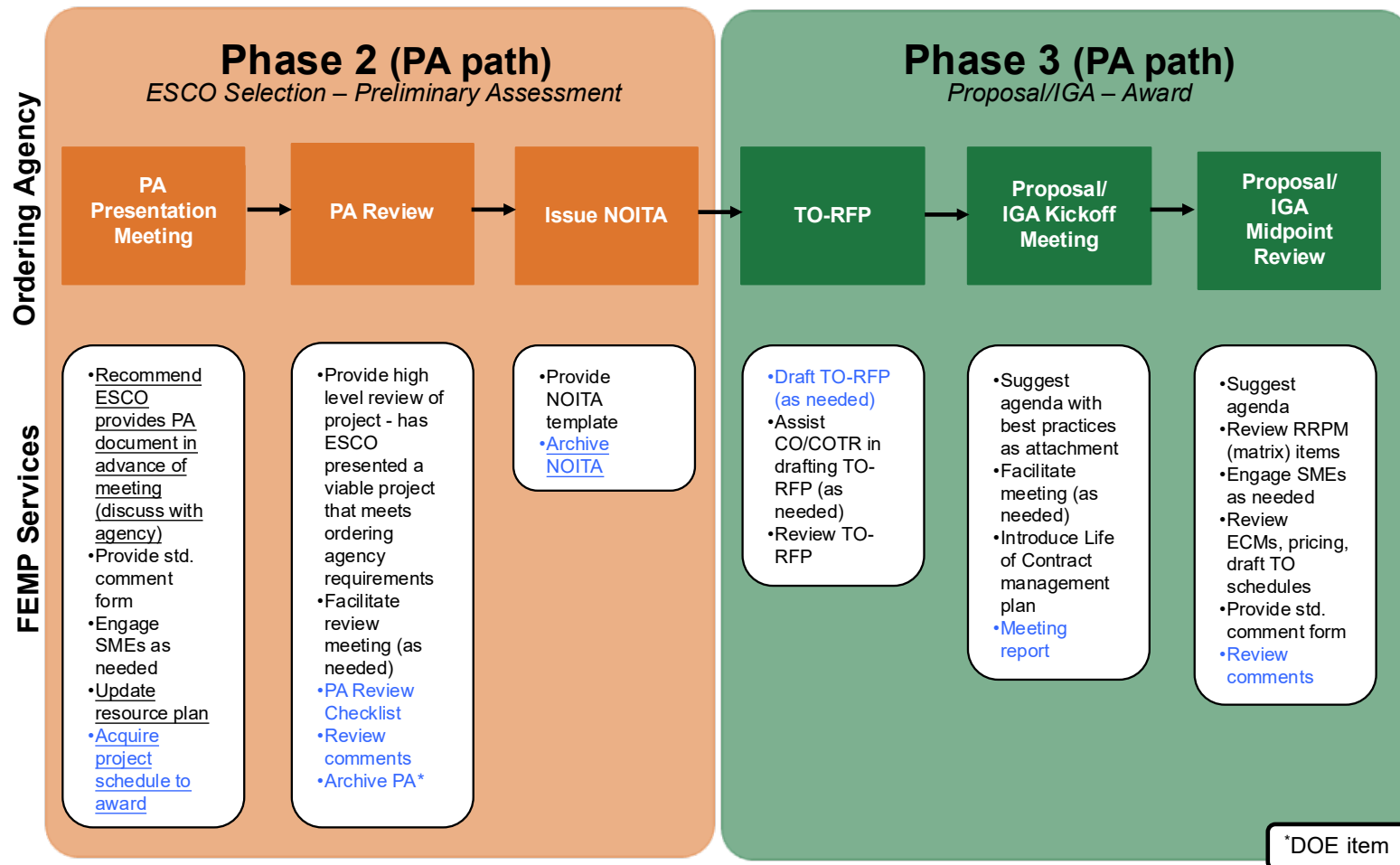


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*“Records to be archived shown in blue”*

Figure 1: Tasks &amp; Deliverables Phase 1-2

# FEMP Assistance During ESPC Development Process: Tasks & Deliverables by Phase (cont.)

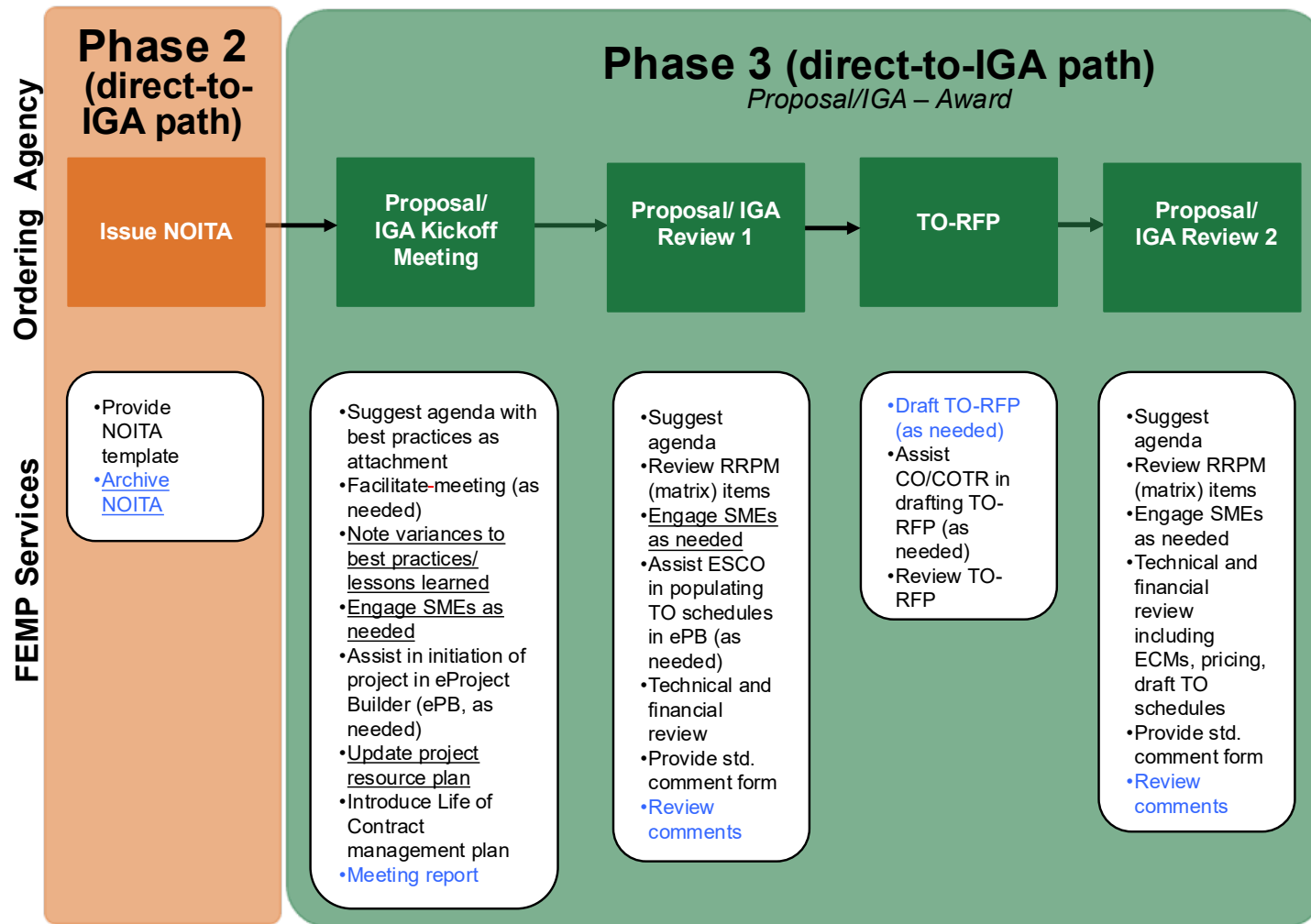


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Figure 2: Tasks &amp; Deliverables Phase 2-3

# FEMP Assistance During ESPC Development Process: Tasks & Deliverables by Phase (cont.)

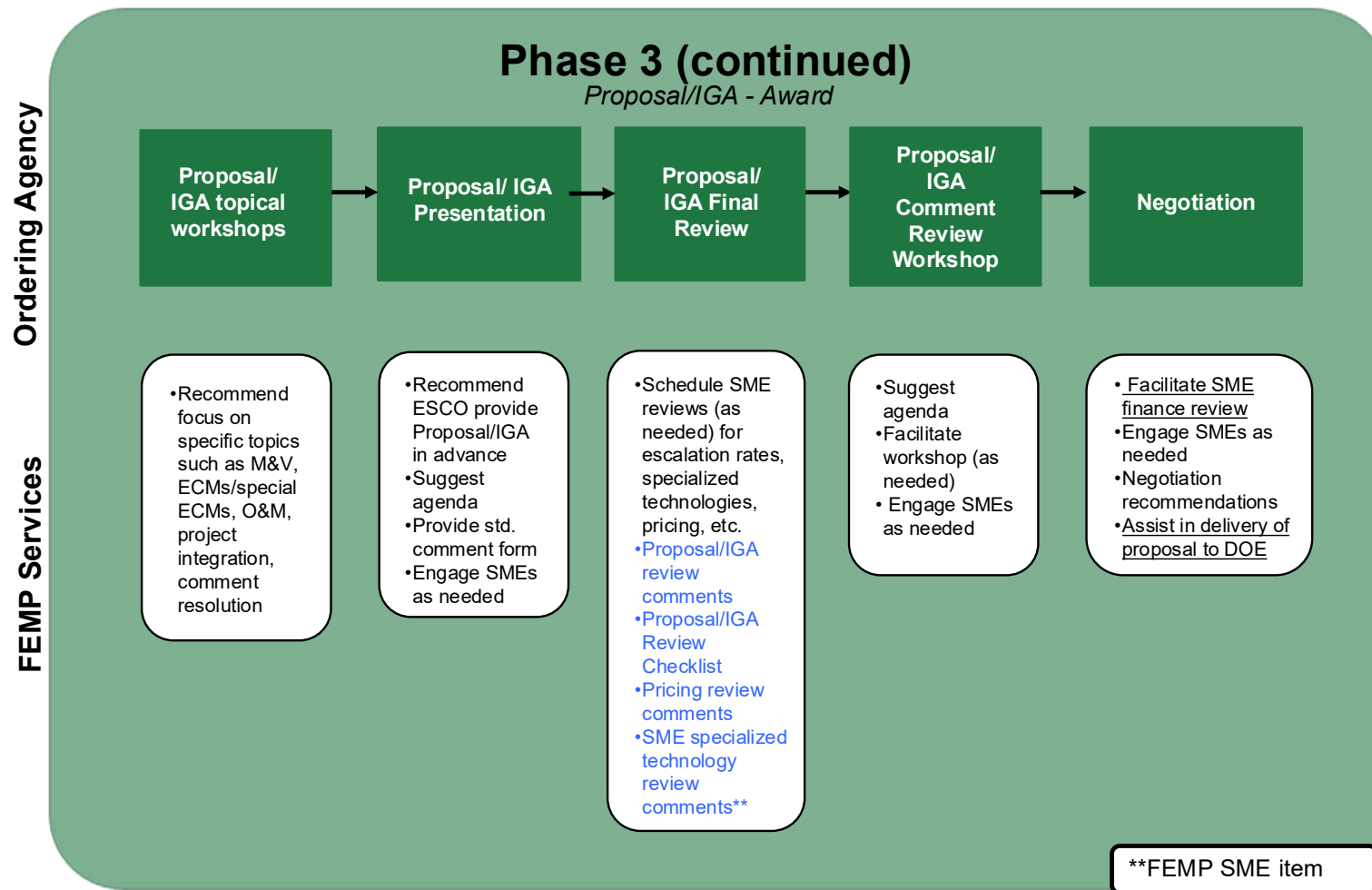


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Figure 3: Tasks &amp; Deliverables Phase 2-3 (cont.)

# FEMP Assistance During ESPC Development Process: Tasks & Deliverables by Phase (cont.)

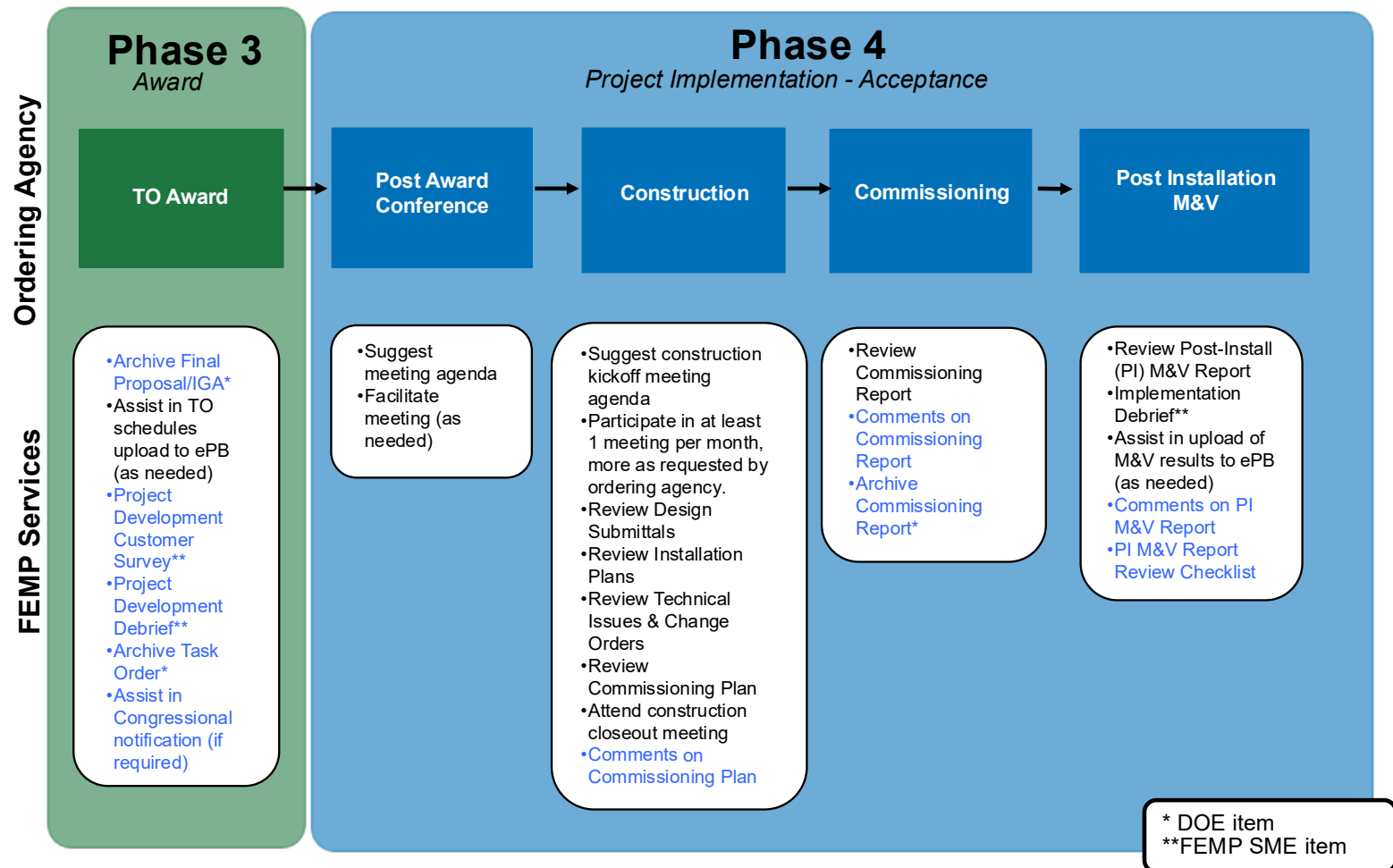


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Figure 4: Tasks & Deliverables Phase 3

# FEMP Assistance During ESPC Development Process: Tasks & Deliverables by Phase (cont.)

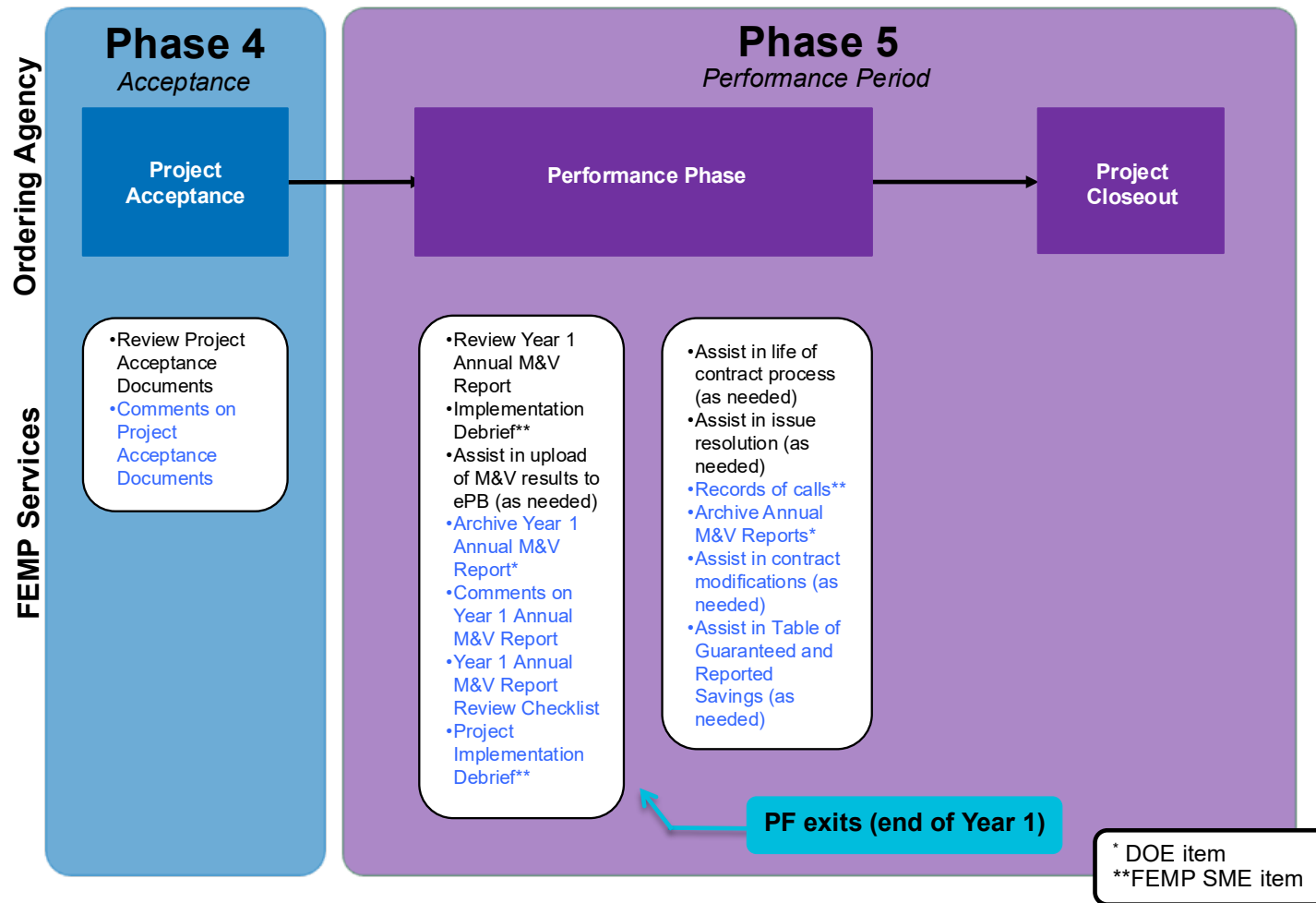


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*"Records to be archived shown in blue"*

Figure 5: Tasks &amp; Deliverables Phase 3-4

# FEMP Assistance During ESPC Development Process: Tasks & Deliverables by Phase (cont.)



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Figure 6: Tasks &amp; Deliverables Phase 4-5

## 4 FEMP ESPC Project Development Resource Documents and Required Records

Table 1 lists the FEMP resource documents, tools, templates, and records by project phase that FEMP requires for PF and FPE use in supporting DOE-IDIQ ESPC projects. The PF and FPE are also required to submit some of these documents as deliverables (the items highlighted in yellow). The table shows which documents are deliverables, the parties responsible for their delivery, and where each is to be delivered. To familiarize and educate users on the intent of these resources, the table also briefly describes the purpose of each resource and deliverable. PFs and FPEs should note that many of these resources represent minimum requirements (for example, agendas identify the topics PFs and FPEs are *required* to address at meetings; the topics should be supplemented as needed).

*“DOE requires ordering agencies to use a qualified PF” to ensure that PFs have the expertise and experience to support the development of projects to be awarded under the DOE IDIQ ESPC<sup>3</sup>. The PF qualification requirement applies to all PFs, i.e., to PFs provided both by DOE and by ordering agencies (either internally or through direct contract). DOE-provided PFs are required (via their statement of work) to follow the project development support process outlined in this project development guide. While it is recommended that ordering agency-provided PFs follow the same process outlined here, ordering agency-provided PFs may follow an alternate project development process that the ordering agency deems is at least equivalent to the steps, resources required for PF use, and deliverables required under the standardized project development process documented here. In the case of using an ordering-agency PF, the PF deliverables (or equivalents) in Table 1 are delivered to points of contact identified in the ordering agency PF contract.*

The optional direct-to-IGA approach offered by the DOE ESPC Generation 4 contract, of course, eliminates the PA-related deliverables identified under Phase 2 in Table 1.

The resource documents, which are provided in full text or via web links in the appendix, are also available in electronic format under “ESPC Resources” at this FEMP ESPC website -- <https://www.energy.gov/femp/energy-savings-performance-contracts-federal-agencies>. Should updates occur to any of the resource documents in the appendix, any more up-to-date web-based versions take precedence.

<sup>3</sup> DOE ESPC Gen4 IDIQ Ordering Guide (available at <https://www.energy.gov/femp/resources-implementing-federal-energy-savings-performance-contracts>)



**Table 1. ESPC Project Development Resources Required for PF and FPE Use and Associated Deliverables (deliverables are highlighted in yellow)<sup>4</sup>**

Item: Tool/Template/Document/ Record	Party responsible for using/ delivering	Party to receive item/ deliverable <sup>5</sup>	Purpose of document
<b>Phase 1: Acquisition Planning</b>			
*Agenda: Initial Agency Briefing	FPE	Ordering Agency	Standardized agenda for FPE's initial briefing to agency
*FEMP Best Practices and Lessons Learned for Federal Agency ESPC Projects	FPE	Ordering Agency	Agency best practice recommendations and lessons learned for all project steps
Frequently Asked Questions about ESPC Strategy	FPE	Ordering Agency	Answers commonly asked questions about ESPC strategy
*FEMP Services List	FPE	Ordering Agency	List FPEs use to inform agency of available FEMP project support services
ESCO Selector/NOO Tool	FPE	Ordering Agency	Web-based tool agency uses to prepare NOO & select ESCO
*Project Resource Plan	FPE	ORNL	Outlines FPE role in project resourcing; identifies FEMP resource pool
*Draft Project Schedule	FPE	ORNL	Project schedule to project award.
<b>Phase 2: ESCO Selection to PA</b>			
Copy of NOO/NOO Amendments	FPE	ORNL	Project documentation

<sup>4</sup> In the table, "\*" denotes a tool, template, or document provided in full text or via a web link in the appendix of this guide.

<sup>5</sup> When an agency-provided PF is used, PF deliverables (or equivalent deliverables) are provided to a point of contact identified in the ordering agency contract (instead of to the DOE GFO).

**Table 1. ESPC Project Development Resources Required for PF and FPE Use and Associated Deliverables (deliverables are highlighted in yellow) (continued)**

Item: Tool/Template/Document/ Record	Party responsible for using/ delivering	Party to receive item/ deliverable	Purpose of document
*FEMP Services Checklist	FPE	ORNL and GFO**	Template/checklist for identifying FEMP services to be provided (services agreement to be formalized through Interagency Agreement).
*FEMP ESPC Best Practices: Agency Plan/Variations Checklist	FPE	ORNL	Checklist prepared by FPE listing agency compliance with or variations from FEMP best practices
Request PF Form	FPE	Ordering Agency	Form agency completes to request a PF from DOE
IAA: Interagency Agreement for DOE Project Facilitator Support	GFO	Ordering Agency and GFO**	Agency agreement with DOE for PF support
*PA: Kickoff Meeting - Suggested Agenda	PF	Ordering Agency	Standard agenda for PA kickoff meeting (suggested)
PA: Kickoff Meeting Notes	PF	Ordering Agency and GFO**	Meeting notes
*PA: Development Meeting/Teleconferences- Suggested Agenda	PF	Ordering Agency	Standard agenda for PA development meeting/ teleconferences (suggested)
PA: Preliminary Assessment (if developed)	ESCO	Ordering Agency and GFO**	Record copy
*ESPC Preliminary Assessment Review Template	PF	Ordering Agency	Template for PF and Ordering Agency review of PA

**Table 1. ESPC Project Development Resources Required for PF and FPE Use and Associated Deliverables (deliverables are highlighted in yellow) (continued)**

Item: Tool/Template/Document/ Record	Party responsible for using/ delivering	Party to receive item/ deliverable	Purpose of document
PA: Review Comments by PF	PF	Ordering Agency and GFO**	Documentation of PF review of PA
PA: PA Review Checklist	PF	Archive	Checklist of areas reviewed by PF
*NOITA (Notice of Intent to Award) Template	FPE	Ordering Agency	Template/example to facilitate agency preparation of NOITA
Copy of NOITA (Notice of Intent to Award)	FPE	ORNL	Project documentation
<b>Phase 3: Proposal/IGA to Award</b>			
*DOE ESPC TO-RFP Template	PF		Template to facilitate PF drafting of project initial TO-RFP
TO-RFP: Draft by PF	PF	Ordering Agency and GFO**	Agency use in drafting final TO-RFP
Copy of final TO-RFP	FPE	ORNL	Project documentation
*Proposal/IGA Kickoff Meeting – Suggested Agenda	PF	Ordering Agency	Standard agenda for Proposal/IGA kickoff meeting (suggested)
ESPC Project Review Comment Template	PF	Ordering Agency	Standard template for comments from project reviews (IGA/proposal, M&V, reports, other deliverables)
*Proposal/IGA Midpoint Review Meeting – Suggested Agenda	PF	Ordering Agency	Standard agenda for Proposal/IGA midpoint review meeting (suggested)

**Table 1. ESPC Project Development Resources Required for PF and FPE Use and Associated Deliverables (deliverables are highlighted in yellow) (continued)**

Item: Tool/Template/Document/ Record	Party responsibl e for using/ delivering	Party to receive item/ deliverable	Purpose of document
Proposal/IGA Midpoint Review Comments by PF	PF	Ordering Agency and GFO**	Project documentation
Proposal/IGA (Investment Grade Audit)	ESCO	Ordering Agency and GFO**	Record copy
* Proposal/IGA Review Checklist	PF	GFO**	Checklist for PF use in reviewing Proposal/IGA
Proposal/IGA: Review Comments by PF & SMEs (Proposal/IGA, pricing, special technologies, etc.)	PF/SME	Ordering Agency, GFO** (PF), ORNL (SME)	Project documentation
*ESPC Project Finance Review	SME (ORNL)	ORNL	Form for use in documenting review of project financing
*Proposal/IGA: Review Workshop – Suggested Agenda	PF	Ordering Agency	Standard agenda for Proposal/IGA review workshop (suggested)
TO (Final Proposal & Amendments)	Ordering Agency	GFO**	Record copy
Project Development: Customer Survey	SME	ORNL	Survey to administer to agency to gather feedback on agency's view of ESPC project development
Project Development: Debrief Agenda	SME	NA	Standard agenda for FPE/PF debriefs regarding project development

**Table 1. ESPC Project Development Resources Required for PF and FPE Use and Associated Deliverables (deliverables are highlighted in yellow) (continued)**

Item: Tool/Template/Document/ Record	Party responsibl e for using/ delivering	Party to receive item/ deliverable	Purpose of document
Project Development: Debrief Notes	SME	ORNL	Project documentation
<b>Phase 4: Project Implementation to Acceptance</b>			
*Construction: Kickoff Meeting - Suggested Agenda	PF	Ordering Agency	Standard agenda for construction kickoff meeting (suggested)
Construction Submittals	ESCO	Ordering Agency	Record copy
Commissioning Plan	ESCO	Ordering Agency and GFO**	Record copy
Commissioning Plan: Review Comments by PF	PF	Ordering Agency and GFO**	Project documentation of PF review of commissioning plan
Commissioning Report	ESCO	Ordering Agency and GFO**	Record copy
Commissioning Report: Review Comments by PF	PF	Ordering Agency and GFO**	Project documentation of PF review of commissioning report
Implementation: Customer Survey	SME	ORNL	Survey to administer to gather agency feedback on project implementation
Implementation: Project Debrief Agenda	SME	NA	Standard agenda for FPE/PF debriefs regarding project implementation

**Table 1. ESPC Project Development Resources Required for PF and FPE Use and Associated Deliverables (deliverables are highlighted in yellow) (continued)**

Item: Tool/Template/Document/ Record	Party responsible for using/ delivering	Party to receive item/ deliverable	Purpose of document
Implementation: Project Debrief Notes	SME	ORNL	Project documentation
Post Installation (PI) M&V Report	ESCO	Ordering Agency and GFO**	Record copy
PI M&V Report: Review Comments by PF	PF	Ordering Agency and GFO**	Project documentation of PF review of post-installation M&V report
PI M&V Report: PF Review Checklist	PF	Archive	Checklist of areas reviewed by PF
PF comments on project acceptance documents	PF	Ordering Agency and GFO**	Final project comments by PF before acceptance (typically reported in PF monthly activities summary).
<b>Phase 5: Performance Period</b>			
Annual M&V Report (Year 1)	ESCO	Ordering Agency and GFO**	Record copy
Annual M&V Report (Year 1): Review Comments by PF	PF	Ordering Agency and GFO**	Project documentation of PF review of first annual M&V report
Annual M&V Report (Year 1): PF Review Checklist	PF	Archive	Checklist of areas reviewed by PF

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\*Denotes a tool, template, or document provided in full text or via a web link in the appendix of this guide.

\*\*When an agency-provided PF is used, PF deliverables (or equivalent deliverables) are provided to a point of contact identified in the ordering agency contract (instead of to the DOE GFO).

# Appendix

## Resource Documents, Templates, and Tools by Project Phase (reference copies and web links)

Note that for all documents in the appendix, the word “Agency” refers to the project ordering agency.

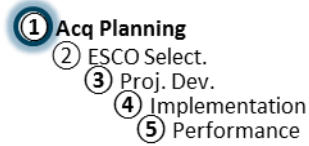
# **Phase 1: Acquisition Planning**





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*Agenda: Initial Agency Briefing*  
ESPC Process Doc. P1-01  
r. 10-6-14  
Responsibility: FPE

## Agenda: Initial Agency Briefing

- FEMP Mission
- FEMP ESPC Support and Resources
- How ESPCs Work
- Benefits
- Key Features
- Federal Authorities and Goals
- DOE-FEMP IDIQ ESPCs
- The ESPC Process – A Quick Overview
- Other Financing Options – A Quick Review
- Training for ESPCs
- Renewable Energy Screening

FEMP Services List*				
Statement of Work - Optional Service Offerings for ESPC Projects				Rev. 05-13-25
Task #	Task Title	Work Scope	Deliverable	Ordering Agency Responsibilities/ Requirements
<b>Phase Two - Initial Project Development</b>				
<b>Replace</b> Std Task# 2-1	TO RFP Development - On Site Consultation	FEMP Services will provide technical consultation resources at the Agency's site to assist in the integration of the site's requirements into the TO RFP template.	Oral Comments	Agency staff will draft TO RFP. Provide copies to FEMP Services staff for technical support and review.
<b>Phase Three - Negotiations and Award</b>				
<b>Replace</b> Std Task# 3-4	Final Proposal Review - Direct Support	FEMP Services will provide direct technical resources to review final proposal. Review will include assessment of ESPC-unique data such as delivery percentage, performance period expenses, and financing interest rates. FEMP Services will advise on whether price schedules have been filled out correctly. ESCO specified equipment will be evaluated for its appropriateness and installation expense (labor and material). FEMP Services will coordinate and assemble agency and FEMP Services questions and issues for Agency CO to be presented to ESCO for discussions and negotiations by the ordering agency.	Telecon Advice and Written comments and recommendations	Agency will provide FEMP Services staff copies of final proposal with emphasis on selected equipment compatibility with agency performance requirements. Agency shall ensure applicable acquisition team members review final proposal. Agency will generate site questions or issues prior to scheduled telecons with FEMP Services staff. Agency will review questions and issues for ESCO discussions. Agency CO will submit questions and issues to ESCO.

<b>Phase Four - Implementing the Delivery Order</b>				
<b>Insert after</b> Std Task# 4-1	Design & Construction Package Review - Consultation Support	FEMP Services will provide consultation and technical review advice to support Agency review of Design & Construction Packages, submittals, shop and working drawings, manufactures data, planned service interruptions, permit acquisition plan and installation schedules for compliance, feasibility, consistency, and reasonableness.	Telecon advice and/or Written Comments/Recommendations	Agency will review all contractor submittals and generate comments, questions and issues for FEMP Services consultation and advice. Provide copies of Agency comments, questions, issues, and applicable portions of submittals. Coordinate telecons with FEMP Services and Agency acquisition team. Ordering agency CO will submit Agency recommendations to ESCO for action.
<b>Insert after</b> Std Task# 4-1	Design & Construction Package Review - Direct Support	FEMP Services will provide direct on-site technical resources necessary for ordering agency to inspect and accept the installed ECMs. FEMP Services will assist Agency with development and monitoring of punch list items through completion/acceptance.	Telecon Advice and Design & Construction Package Review Report(s)	Agency will provide FEMP Services a set of Agency design/construction standards. Agency will review the Design & Construction Package Review Report(s) for concurrence. Agency provide copies of ESCO responses to Design & Construction Package review comments. Agency to submit notice to proceed to ESCO..
<b>Insert before</b> Std Task# 4-2	Project Construction and Commissioning - Consultation Support	FEMP Services shall provide telecon consultation support to assist Agency in QA verification for compliance w/installation plan(s), including monitor/inspect installation and start-up activities.	Written comments/recommendations	Agency staff will verify that commissioning activities are conducted and are acceptable per contract requirements.

<b>Insert before</b> Std Task# 4-2	Project Construction and Commissioning - Direct Support	FEMP Services will provide direct technical resources necessary for ordering agency to perform QA verification for compliance with/ installation plans. FEMP Services may include acting as the commissioning agent and providing commissioning services consistent with the DOE/GSA commissioning guide.	Project Commissioning Report	Agency staff will facilitate access to the site(s) for FEMP Services staff. Agency staff will review the Project Commissioning Report.
<b>Insert before</b> Std Task# 4-2	Compliance with Inspection and Acceptance Plan - Direct Support	FEMP Services will provide direct on-site technical resources necessary for ordering agency to inspect and accept the installed ECMs. FEMP Services will assist Agency with development and monitoring of punch list items through completion/acceptance.	Installation/Acceptance Report; Punch Lists	Agency will provide FEMP Services a set of Agency design/construction standards. Agency will provide inspection scheduling information and site access, and will direct ESCO to correct any defects found and sign off on all acceptable work
<b>Insert before</b> Std Task# 4-3	Provide or Assist with Data Acquisition	FEMP Services will provide assistance M&V data collection consistent with the M&V plan. Activities may include metering and performance parameters in support of the M&V plan and /or review of M&V activities and services by others.	Data collection logs	Agency will collect data in support of the M&V plan and/or review the data collection activities of the ESCO. Agency will generate comments and/or questions for FEMP Services technical advice.
<b>Insert before</b> Std Task# 4-3	Provide or Assist with Data Reduction & Analysis	FEMP Services will provide assistance with M&V data analysis consistent with the M&V plan. Activities may include calculations, simulations and/or review of M&V activities and services by others.	Summary findings and recommendations report/M&V Performance report	Agency will compile and review data collected in support of the M&V plan and generate any comments and/or question for FEMP Services technical advice. Agency will review all reports generated for concurrence.

<b>Insert after</b> Std Task# 4-3	Assist in Negotiation of Baseline Adjustments	FEMP Services will assist with the development of strategies for making baseline adjustments. Provide technical advice to account for changes in operations, etc. affecting baseline(s) over time and assist Agency with negotiations with vendor for baseline adjustment.	Telecon advice and/or Written Comments/Recommendations	Ordering agency will negotiate with ESCO during reconciliation of baseline. Agency will review any proposed changes to the baseline and generate comments and/or questions for FEMP Services technical advice.
<b>Insert after</b> Std Task# 4-3	Provide Project 1st year Performance Results presentation to Agency Management and Staff	FEMP Services will coordinate with Agency Acquisition Team & ESCO to provide "Project 1st Year Performance Results" presentation and discuss Agency/ESCO activities to maintain persistence of ESPC project performance beyond year 1.	On-site Presentation with ESCO & Designated Agency Acquisition Team Members. Provide agenda and Agency requested copies of Presentation	Agency will coordinate facility and date with FEMP Services, ESCO and agency staff and notify invited Agency Management and staff to attend presentation.
<b>Insert after</b> Std Task# 4-3	Provide Project Lessons Learned to Agency Management and Staff and FEMP Staff	FEMP Services will coordinate with Agency Acquisition Team & ESCO to provide Project Lessons Learned report	Provide report to Agency and FEMP Staffs, with outbrief via virtual meeting	Agency will coordinate virtual meeting date with FEMP Services, agency staff, and FEMP staff to discuss report
<b>Travel</b>				
<b>Insert after</b> Std Travel 3-3 <b>Label</b> "4-2"	Travel to site for PA kickoff meeting	On Site Support for Project Meeting	<b>Meeting notes</b>	Agency coordination of meeting and its facilitation.  Agency provides at least 2 weeks notice for best airfare.
<b>Insert after</b> Std Travel 3-3	Travel to site for IGA meeting	On Site Support for Project Meeting	<b>Meeting report and/or IGA review comments</b>	Agency coordination of meeting and its facilitation.  Agency provides at

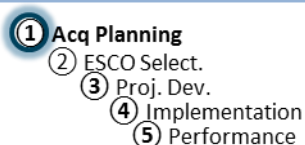
<b>Label</b> "4-2"				least 2 weeks notice for best airfare.
<b>Insert after</b> Std Travel 3-3 <b>Label</b> "4-2"	Travel to Site for Std task 4-2	On Site Support for Project Acceptance Discussion of Findings and Recommendations		Agency coordinate agency staff for FEMP Services presentation of Project Acceptance Recommendations.  Agency provides at least 2 weeks notice for best airfare.
<b>Insert after</b> Std Travel 3-3 <b>Label</b> "4-2"	Travel to site for Project Results Presentation	On Site Support for "Project 1st Year Performance Results" presentation with Agency and ESCO		Agency coordinate agency staff for "Project 1st Year Performance Results" presentation.  Agency provides at least 2 weeks notice for best airfare.

\* In the FEMP Services List, "Agency" refers to the project ordering agency.



**U.S. DEPARTMENT  
of ENERGY**

Federal Energy  
Management Program



*ESPC Project Resource Plan*

ESPC Process Doc. P1-03

r. 08-17-23

Responsibility: FPE

## ESPC Project Resource Plan

**Date Initiated:**

**Project Number:**

**Agency:**

**Project Name:**

**Federal Project  
Executive:**

**Project Facilitator:**

Date Requested:

Date Available:

**Renewable Energy  
Assessment Request:**

Date Requested:

Date Received:

**Energy Sales Agreement  
Support:**

Date Requested:

**Agency Pricing Analysis  
Support Needed (Y/N):**

**Interest Rate Analysis:**

Date Requested:

Date Received:

**Other SME Support Required (Describe -  
specialized technology, M&V, escalation, ...):**

The Federal Project Executive (FPE) develops a Project Resource Plan necessary to support each ESPC project. In this role, the FPE:

- 1) Works with the agency client to identify FEMP Services needed from the Notice of Opportunity through the 1<sup>st</sup> Year M&V Report,
- 2) Identifies the Technical Resources necessary to deliver the services requested,
- 3) Assembles the Technical Resources (see below) from the FEMP resource pool as needed, and
- 4) Coordinates deliverables from the Technical Resources to meet the project timeline.

## **FEMP Services Options\***

Project Facilitation	Renewable Energy Assessment (REA)
Energy Sales Agreement Support	Detailed Pricing Analysis
Interest Rate Analysis	Other SME Support

\*Note the REA and Interest Rate Analysis are automatically included if DOE Project Facilitation is utilized.

## **Technical Resources to Support FEMP Services**

DOE FEMP Performance Contracting Team Lead  
Kurmit Rockwell, [kurmit.rockwell@hq.doe.gov](mailto:kurmit.rockwell@hq.doe.gov)

DOE FEMP Project Facilitation Program Manager  
Project Facilitator Acquisition/Contracting -  
Kurmit Rockwell, [kurmit.rockwell@hq.doe.gov](mailto:kurmit.rockwell@hq.doe.gov)

DOE ESPC Program Manager  
Priya Stiller, [Priya.Stiller@hq.doe.gov](mailto:Priya.Stiller@hq.doe.gov)

Project/Program Metrics & Support, Project Development Reporting, Interest Rate Analysis  
Phil Voss, [Philip.Voss@nrel.gov](mailto:Philip.Voss@nrel.gov)  
Christine Walker, [christine.walker@pnnl.gov](mailto:christine.walker@pnnl.gov)

Renewable Energy Evaluations  
Chandra.Shah@nrel.gov

Energy Sales Agreements  
Chandra.Shah@nrel.gov

Measurement & Verification (M&V), eProject Builder (ePB)  
Christine Walker, [christine.walker@pnnl.gov](mailto:christine.walker@pnnl.gov) (M&V)  
Phil Voss, [Philip.Voss@nrel.gov](mailto:Philip.Voss@nrel.gov) (M&V)  
Shankar Earni, [SEarni@lbl.gov](mailto:SEarni@lbl.gov) (ePB)

Energy Escalation Rates  
Christine Walker, [christine.walker@pnnl.gov](mailto:christine.walker@pnnl.gov)

eProject Builder, ePB  
<mailto:Kathryn.Chelminski@lbl.gov>





## ESPC Project Schedule Template with Preliminary Assessment (cont.)

Phase 2 - ESCO Performs Preliminary Assessment		60																	
Begin contractor site access and clearance process (if required)	5	130		6/17/2024		6/24/2024			X	X									
Ensure Government escorts are available for site visits (if	5	130		6/17/2024		6/24/2024				X									
Preliminary Assessment (PA) kickoff meeting with ESCO, PF, FPE	1	132		6/25/2024		6/26/2024			X	X		X	X						
Contractor(s) conduct site visits to identify any Energy Conservation Measures (ECMs)	5	139		6/26/2024		7/3/2024			X										
Requests for Information - ESCO issues and site responds.	Ongoing								X										
Weekly or Biweekly progress meetings									X	X		X	X						
Site receives PA	45	202		7/3/2024		9/4/2024			X										
AT convenes and reviews PA results	5	209		9/4/2024		9/11/2024				X				Support	X				
PA Comments (from gov't)	20	237		9/11/2024		10/9/2024				X				X	X				
PA Comment Response (from ESCO)	15	258		10/9/2024		10/30/2024			X										
CO issues NOIA & Draft TORFP	5	265		10/30/2024		11/6/2024				X									
Phase 3 - Investment Grade Audit		175																	
IGA Kickoff Meeting	1	301		12/11/2024		12/12/2024			X	X		X	X						
Issue draft TORFP	1	278		11/18/2024		11/19/2024			X	X									
Begin contractor site access and clearance process (if required)	5	272		11/6/2024		11/13/2024				X									
Ensure Government escorts are available for site visits (if	5	272		11/6/2024		11/13/2024				X									
Contractor(s) conduct site visits to identify any Energy Conservation Measures (ECMs)	10	315		12/12/2024		12/26/2024			X										
Requests for Information - ESCO issues and site responds.	Ongoing								X		Support								
Weekly or Biweekly progress meetings									X	X		Support	X						
ESCO Milestone project reviews, as needed. Concurrence on RPPM items in DOE IDIQ contract.									X		Support								
ECM Scope Workshop	1			3/6/2025		3/7/2025			X	X		\$	X						
M&V Workshop	1			4/17/2025		4/18/2025			X	X		\$	X						
OMRR Workshop	1			3/19/2025		3/20/2025			X	X		\$	X						
ESCO completes IGA and submits	100	455		12/26/2024		5/15/2025			X										
Government review and comments	25	430		5/15/2025		6/19/2025				X					X				
ESCO Comment response	25	525		6/19/2025		7/24/2025			X										
ESCO revisions to comments, issues Final Proposal	10	539		7/24/2025		8/7/2025			X										
Phase 3: Negotiation and Award		30																	
AT / CO requests and obtains executive approval for Final	10	553		8/7/2025		8/21/2025				X									
DOE IDIQ CO Review of Final Proposal	10	504		6/19/2025		7/3/2025				X									X
Congressional Notification (If required) (31 calendar days)	23	572		8/7/2025		9/9/2025				X									
Project Negotiations	10	567		8/21/2025		9/4/2025			X	X									
Finalize TO Award documents, Final Task Order schedules (includes all reviews and approvals)	5	574		9/4/2025		9/11/2025			X	X							X		
Lock Interest Rate	5	581		9/11/2025		9/18/2025			X	Direct ESCO									
ESCO provides revised Task Order Schedules with locked interest rate	1	582		9/18/2025		9/19/2025				X									
Sign Task Order	1	585		9/19/2025		9/22/2025			X	X									
1. Days in this column are not additive. Some occur simultaneously. Number of day are approximate and suggested dates for expedited DOE ESPC IDIQ.																			



## ESPC Project Schedule Template without Preliminary Assessment (cont.)

<b>Phase 3 - Investment Grade Audit</b>	<b>205</b>										
1 IGA Kickoff Meeting	1	159	7/22/2024	7/23/2024		X	X	X	X		
2 Issue draft TORFP	1	134	6/27/2024	6/28/2024			X				
3 Begin contractor site access and clearance process (if required)	1	134	6/27/2024	6/28/2024		X	X				
4 Ensure Government escorts are available for site visits (if required)	5	130	6/17/2024	6/24/2024			X				
Contractor(s) conduct site visits to identify any Energy Conservation Measures (ECMs)	10	173	7/23/2024	8/6/2024		X					
6 Requests for Information - ESCO issues and site responds.	Ongoing						X	S			
7 Weekly or Biweekly progress meetings							X	X	S	X	
ESCO Milestone project reviews, as needed. Concurrence on RRP items in DOE IDIQ contract.							X	S			
9 ECM Scope Workshop	1		11/5/2024	11/6/2024		X	X	S	X		
10 M&V Workshop	1		12/3/2024	12/4/2024		X	X	S	X		
11 OMRR Workshop	1		12/3/2024	12/4/2024		X	X	S	X		
12 ESCO completes IGA and submits	120	341	8/6/2024	1/21/2025		X					
13 Government review and comments	15	362	1/21/2025	2/11/2025			X			X	
14 ESCO Comment response	15	383	2/11/2025	3/4/2025		X					
15 ESCO revisions to comments, issues Final Proposal	10	397	3/4/2025	3/18/2025		X					
<b>Phase 3: Negotiation and Award</b>	<b>30</b>										
1 AT / CO requests and obtains executive approval for final proposal	10	411	3/18/2025	4/1/2025			X				
2 DOE IDIQ CO Review of Final Proposal	10	376	2/11/2025	2/25/2025							X
3 Congressional Notification (if required) (31 calendar days)	24	431	3/18/2025	4/21/2025			X				
4 Project Negotiations	10	425	4/1/2025	4/15/2025		X	X				
Finalize TO Award documents, Final Task Order schedules (includes all reviews and approvals)	5	432	4/15/2025	4/22/2025		X	X			X	
6 Lock Interest Rate	5	439	4/22/2025	4/29/2025		X	Direct ESCO				
7 ESCO provides revised Task Order Schedules with locked interest rate	1	533	7/31/2025	8/1/2025			X				
8 <i>Sign Task Order</i>	1	440	4/29/2025	4/30/2025		X	X				
1. Days in this column are not additive. Some occur simultaneously. Number of days are approximate and suggested dates for expedited DOE ESPC IDIQ.											

## Notice of Opportunity Template

FEMP now uses a web-based Notice of Opportunity (NOO)/ESCO Selector Tool to generate NOOs and create documentation needed to support the selection of an ESCO. Use of this tool assures the user that their NOO will meet all federal requirements associated with contracting under the DOE IDIQ.

This tool may be accessed at: <https://esco-selector.ornl.gov>

For assistance on the NOO/ESCO Selector Tool, please contact one of the FPEs listed below:

Southeast Region: Michael Mungal, <mailto:954-812-7082>

Western Region: Scott Wolf, <mailto:360-866-9163>

Northeast Region: Bridgette Rodgers, 703-951-3308

Midwest Region: Brad Gustafson, 202-768-7086

District of Columbia Bridgett Rodgers or Brad Gustafson (contact numbers above)

## **Phase 2: ESCO Selection to PA**



**U.S. DEPARTMENT  
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*FEMP Services Checklist*  
ESPC Process Doc. P2-03  
r. 10/6/14  
Responsibility: FPE

## FEMP Services Checklist

*Purpose: FPE works with agency client to identify FEMP services requested for acquisition through first-year M&V report. Agency client indicates choices to FEMP via this form and FPE. (Reference: FEMP Assistance During ESPC Development Process Chart)*

**Agency/Project ID:** \_\_\_\_\_

**FPE:** \_\_\_\_\_ **Date:** \_\_\_\_\_

### Acquisition, Phases 1 – 2

- |  |                      |
|--|----------------------|
| 1) Provide draft project schedule through selection          | <input type="text"/> |
| 2) Assist with Development of Notice of Opportunity (NOO)    | <input type="text"/> |
| a. Review site data for inclusion in NOO                     |                      |
| b. Use of NOO draft template tool                            |                      |
| c. Provide recommended Evaluation Criteria for NOO responses |                      |
| 3) Assist with Review of NOO Responses                       | <input type="text"/> |
| a. Review of NOO responses & written comments                |                      |
| 4) Oral Interviews of down-selected ESCOs                    | <input type="text"/> |
| a. Provide recommended interview questions                   |                      |
| b. Support review committee as non-voting member             |                      |
| 5) Support PA Kickoff Meeting for Selected ESCO              | <input type="text"/> |
| a. Develop a draft agenda for agency review                  |                      |
| b. Facilitate meeting  |                      |
| i. Key outcomes  |                      |
| 1. Schedule for PA submittal                                 |                      |
| 2. Communications protocols                                  |                      |
| 3. Site access logistics/ ESCO personnel on site             |                      |
| c. Review/edit ESCO-prepared PA Kickoff Meeting minutes      |                      |

- 6) Support teleconferences between agency & ESCO during PA development 
  - a. Provide recommended agenda for discussions
- 7) Review of PA submittal 
  - a. Review PA and provide written comments
    - i. Review ECMs/pricing estimates, M&V plan, project financials
    - ii. Engage technical experts as required for PA review
  - b. Support on-site ESCO PA presentation workshop with draft agenda
- 8) Notice of Intent to Award (NOITA) 
  - a. Provide template and support development
- 9) Development of draft Task Order request for proposal (TO-RFP) 
  - a. Share TO-RFP template
  - b. Technical support for drafting TO-RFP for agency review

### Development, Phase 3

- 1) Support Investment Grade Audit (IGA) Kickoff Meeting 
  - a. Prepare draft agenda for review and share with ESCO
    - i. Includes Best Practices documentation
  - b. Assemble draft project schedule to award
  - c. Facilitate Kickoff meeting
    - i. Key Outcomes
      - 1. Schedule for IGA/proposal submittal
      - 2. Communications protocol (POCs)
      - 3. Logistics/ site access and ESCO personnel
      - 4. Schedule and support regular telecons during IGA development
  - d. Provide review and comments on ESCO-provided meeting minutes
- 2) Support IGA Development Midpoint Review (as needed) 
  - a. Support discussion on preliminary material
  - b. Provide technology/ESPC process experts based on project scope
    - i. Review ECMs such as CHP, renewables, other high-tech
    - ii. Review Risk/Responsibility/Performance Matrix
    - iii. Review proposed cost and pricing of ECMs
- 3) Support IGA Presentation Workshop 
  - a. Assemble draft agenda for review and share with ESCO
  - b. On-site presentation provided by ESCO
  - c. Facilitate IGA Kickoff meeting



## d. Review and edit ESCO-provided meeting minutes

4) Review of IGA and Draft Proposal 

- a. Thorough review of entire document focused on:
  - i. ECM technical feasibility and pricing (Scope of Work)
  - ii. Measurement & Verification (M&V) plan
  - iii. Risk, Responsibility, and Performance Matrix
  - iv. Management Approach (key personnel & roles)
  - v. Commissioning Approach
  - vi. Construction schedule and agency resources
  - vii. Pricing Schedules
- b. Engage technical expertise (technology/pricing experts)
- c. Provide written review comments for agency submittal to ESCO
- d. Review ESCO responses to IGA proposal comments
  - i. Provide review notes and acceptance recommendations on ESCO responses

5) Project Negotiation 

- a. Technical expertise assistance as needed

## 6) Task Order Award

- a. Final Proposal with financing rate fixed and final TO schedules

Implementation, Phases 4 – 51) Post-Award Conference (led by Agency CO) 

- a. Optional to provide technical consultant participation as needed

## 2) Review of submittals during construction

- a. Review and comments on commissioning plan (post-design)

3) Acceptance – Post-Installation Submittals 

- a. Review and written comments on:
  - i. Commissioning (Cx) Report (compliance Cx Plan)
  - ii. Post-Installation M&V report
    - 1. Confirms ECM performance and annual cost savings meet guarantees.

4) First Year annual M&V Report 

- a. Review and written comments for agency project COR
- b. Support agency COR with review for approval to pay invoice



## **FEMP Best Practices and Lessons Learned for Federal Agency ESPC Projects**

This key guidance document outlines best practices and lessons learned that every ordering agency should understand and utilize when executing the ESPC process. Based on the experiences of federal agencies implementing ESPC projects (from 1996 to present), it is an extensive list of how-to's and guidance that is invaluable to ESPC project teams in all stages of project development and execution. The document covers agency experience in the most important areas of ESPC project development including:

- General best practices
- Acquisition planning
- ESCO selection
- Preliminary assessment (PA)
- Task order request for proposal (TO-RFP)
- Investment-grade audit (IGA)
- Review of the IGA/proposal – strategy for success
- Critical outcomes of review (don't proceed to award without them)
- Final negotiations and task order award
- Implementation/construction period
- Measurement and verification (M&V)

Access ESPC best practices and lessons learned guidance under the Frequently Asked Questions and Best Practices section of FEMP's ESPC Resources webpage at:

<https://www.energy.gov/femp/resources-implementing-federal-energy-savings-performance-contracts>.



**U.S. DEPARTMENT  
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Federal Energy  
Management Program

- ① Acq Planning
- ② **ESCO Select.**
- ③ Proj. Dev.
- ④ Implementation
- ⑤ Performance

*FEMP ESPC Best Practices: Agency Plan/Variations*

ESPC Process Doc. P2-05

r. 08-31-15

Responsibility: FPE

## **FEMP ESPC Best Practices: Agency Plan/Variations**

FEMP compiled the “Best Practices and Lessons Learned for Federal Agency ESPC Projects” for the five phases of an ESPC project from FEMP and agency experiences. FEMP offers these to all agencies utilizing any ESPC contract, teaches them at their ESPC training workshops, and has published them on their resources webpage at the following URL: <https://www.energy.gov/femp/resources-implementing-federal-energy-savings-performance-contracts>.

The form below is an abbreviation of these important best practices such that agency or individual project variations can be noted and used to improve best practices going forward. The intent is that the agency fills out this form at the beginning of each project and submits it to the FEMP Program. In certain cases, a single form can be submitted as a blanket master response when an agency has a standardized process mandated agency-wide for all their ESPC projects (e.g., most Navy projects). It is FEMP’s request that agencies incorporate completion of this form into their internal ESPC process.

**Project Name** \_\_\_\_\_

**Project Number** \_\_\_\_\_

**Agency** \_\_\_\_\_

**Federal Project Executive** \_\_\_\_\_

**Date Checklist Completed** \_\_\_\_\_

### **General Best Practices – Teamwork**

#### *2.1.1 Designate a project champion.*

- ☐ No variance
- ☐ Variance [Description] \_\_\_\_\_

#### *2.1.2 Enlist the support of site/agency management; keep management fully briefed.*

- ☐ No variance
- ☐ Variance [Description] \_\_\_\_\_

**2.2** *Use FEMP ESPC experts and training.*

- a. Get started with an FPE.
- b. Consult FEMP experts before issues become problems – FPE, PF, and DOE ESPC CO/COR.
- c. Provide agency acquisition team with ESPC training.
- ☐ No variance
- ☐ Variance [Description] \_\_\_\_\_

**2.3** *Maintain continuity and documentation to prevent delays. Document process, agency decisions, and communications with ESCO.*

- ☐ No variance
- ☐ Variance [Description] \_\_\_\_\_

**2.4** *Keep the ESCO and agency on the same page.*

- a. Provide ESCO with a checklist and roadmap describing the agency approval process.
- b. Require ESCO to create a milestone chart of proposed contract timeline and due dates.
- c. Schedule regular ESCO–agency meetings for throughout the ESPC process.
- ☐ No variance
- ☐ Variance [Description] \_\_\_\_\_

**3. Acquisition Planning**

**3.1** *Define the roles and responsibilities of ESPC acquisition team members.*

- ☐ No variance
- ☐ Variance [Description] \_\_\_\_\_

**3.2** *Agency CO: Designate an individual (typically CO/COR) to communicate with the ESCO for the agency.*

- ☐ No variance
- ☐ Variance [Description] \_\_\_\_\_

**4. ESCO Selection**

**4.1** *Use the Selection by Qualifications (SBQ) method (DOE IDIQ at section H.3.1).*

- ☐ No variance
- ☐ Variance [Description] \_\_\_\_\_

**4.2 Use the FEMP ESCO Selector/NOO Tool (BPs 4.2, 4.3, 4.4, 4.6).**

- a. Define requirements broadly to allow ESCO latitude propose creative and comprehensive solutions.
- b. Identify 2 – 3 site-specific requirements to get info to match ESCO quals with site needs.
- c. Keep evaluation factors and selection criteria to the minimum necessary.
- d. Weight evaluation factors to reflect agency's priorities.
- ☐ No variance
- ☐ Variance [Description] \_\_\_\_\_

**4.5 Conduct in-person interviews with down-selected ESCOs.**

- ☐ No variance
- ☐ Variance [Description] \_\_\_\_\_

**5. Preliminary Assessment (PA)****5.1 Provide the ESCO with all relevant facility information and previous audits.**

- ☐ No variance
- ☐ Variance [Description] \_\_\_\_\_

**5.2 Make the PA only as long as necessary to convey the viability of a project (<20 pp).**

- ☐ No variance
- ☐ Variance [Description] \_\_\_\_\_

**5.3 Set deadlines for (1) PA submission and (2) agency completion of PA review and response to ESCO.**

- ☐ No variance
- ☐ Variance [Description] \_\_\_\_\_

**5.4 Stress review of RRPM and M&V approach in PA and note points for discussion. Document comments.**

- ☐ No variance
- ☐ Variance [Description] \_\_\_\_\_

**6. Task Order Request for Proposal (TO-RFP)**

*Consult with site experts to accurately identify and address the site requirements to be specified in the TO RFP.*

- ☐ No variance
- ☐ Variance [Description] \_\_\_\_\_

## **7. Investment-Grade Audit (IGA)**

### **7.1** *Initiate the IGA with a kick-off meeting.*

- ☐ No variance
- ☐ Variance [Description] \_\_\_\_\_

#### **7.1a** *Hold continuing bi-weekly agency–ESCO meetings.*

- ☐ No variance
- ☐ Variance [Description] \_\_\_\_\_

### **7.2** *Require ESCO to identify all site resource requirements and site costs to be incurred through ESCO performance of IGA.*

- ☐ No variance
- ☐ Variance [Description] \_\_\_\_\_

### **7.3** *Allow contract term or project scope to be adjusted to meet project objectives.*

- ☐ No variance
- ☐ Variance [Description] \_\_\_\_\_

### **7.4** *Facilitate ESCO access to site and site experts for multiple visits by the ESCO.*

- ☐ No variance
- ☐ Variance [Description] \_\_\_\_\_

## **8. Review of the IGA/Proposal – Strategy for Success**

### **8.1** *Hold conference with the ESCO after completion of the IGA to review findings and challenges.*

- ☐ No variance
- ☐ Variance [Description] \_\_\_\_\_

#### **8.2-8.8** *Manage a thorough and timely agency review of IGA/proposal.*

- a. Develop a review plan and *set aside focused review time*.
- b. Establish a hard deadline for the agency review and response to the ESCO, and deliver on schedule.
- c. Make clear assignments to team members to review specific sections of IGA/proposal.

- d. Use FEMP ESPC resources to engage technical expertise if not available in-house.
  - e. Document agency comments; require ESCO to track changes in revisions of IGA/proposal; follow up to verify that required revisions are made. Attach documentation of comments, responses, and resolutions to task order.
  - f. After completing review, meet with ESCO to jointly discuss review and eliminate any ambiguity about intent of agency's comments.
- ☐ No variance
- ☐ Variance [Description] \_\_\_\_\_

## **9. Critical Outcomes of Review – Don't Proceed to Award Without Them.**

### **9.1–9.4 Guarantees and Responsibilities – Verify Before Award**

- a. Proposed energy consumption baselines and fixed parameters for calculating savings are sound.
  - b. Guaranteed savings from ECMs are reasonable.
  - c. RRPM is consistent with project scope of work and pricing in IGA/proposal.
  - d. Stakeholders understand the RRPM and agency post-acceptance performance-period responsibilities.
- ☐ No variance
- ☐ Variance [Description] \_\_\_\_\_

### **9.5–9.8 The Price Proposal - Verify Before Award**

- a. Responsible agency personnel understand the pricing proposal.
  - b. Agency obtained and reviewed pricing data needed to determine a fair and reasonable price, and [ECM pricing is](#) reasonable.
  - c. Agency reviewed ESCO subcontractor competition, pricing, and consideration of small business requirements.
- ☐ No variance
- ☐ Variance [Description] \_\_\_\_\_

### **9.10–9.13 Financing - Verify Before Award**

- a. Agency has received guidance from PF/other FEMP experts on reviewing financing.
- b. ESCO received multiple bids for financing, and project interest rate is consistent with recent TOs.
- c. Calculation of construction-period interest is correct.
- d. Any difference between financier's offer to ESCO and ESCO's offer to government was explained.

- ☐ No variance
- ☐ Variance [Description] \_\_\_\_\_

## **10. Final Negotiations and TO Award**

- 10.1 *Know in advance your clear path to award. Know what management, legal, and other reviews are required prior to award. If agency-level review is required, be prepared in advance.*
- 10.2 *Update the project schedule to detail the final steps required before TO award. Allow the ESCO adequate time in the schedule to obtain multiple financing offers (about 2 weeks).*
- 10.3 *Be prepared for negotiations, having a full understanding of the proposal/IGA, including TO-RFP and IDIQ.*


- ☐ No variance
- ☐ Variance [Description] \_\_\_\_\_

## **11. Measurement & Verification**

- 11.1 *Contract Administration: Designate a primary contact to (1) communicate with FEMP's LOC program, and (2) maintain continuity of ESPC administration throughout the performance period.*
- 11.2 *COR delegation letter should include designation of the COR as M&V witness.*
- 11.3 *M&V Review: Establish procedures for prompt review of ESCO's annual M&V report.*
- 11.4 *Contract Modifications: If the government puts an ECM out of service (e.g., building is decommissioned), promptly initiate a contracting action to buy out that portion of the contract.*

- ☐ No variance
- ☐ Variance [Description] \_\_\_\_\_



FEMP F 300.3d (01/03/2018)		 <b>U.S. DEPARTMENT of ENERGY</b> Federal Energy Management Program	
<b>US Department of Energy Request for Assignment of Project Facilitator (PF)</b>			
<b>Date of Request:</b>		<b>To:</b> Jefferey Murrell, Project Facilitation Services Program Technical Manager, Contracting Officer's Representative	
<b>From:</b>		CC: Eric Brandenburg, GO Contracting Officer, Melissa Robertson, GO Contracting Officer	
<b>Project Name:</b>		<b>Date PF Services Needed:</b>	
<b>Project Type</b> <input type="checkbox"/> ESPC <input type="checkbox"/> UESC		<b>Stage PF Services Required:</b> (ex. Acquisition Planning, NOO, Preliminary Assessment Review, NOITA, Investment Grade Audit Review, etc.)	
<b>Project Number (If ESPC or UESC Project):</b>		<b>Date of Notice of Opportunity Issue:</b>	
<b>Agency:</b>		<b>Subagency:</b>	
<b>Agency CO:</b>		<b>Agency Technical Contract:</b>	
<b>Location(s):</b>			
<b>Indicate level of support needed by Agency:</b> Standard support needed beginning with Preliminary Assessment stage. <input type="checkbox"/> <b>Standard – Full Support</b> <input type="checkbox"/> <b>Other</b>			
<b>Additional Details:</b>			



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- ① Acq Planning
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- ④ Implementation
- ⑤ Performance

*PA Kickoff Meeting Agenda*  
ESPC Process Doc. P2-07  
Rev. 01-01-24  
Responsibility: FPE & PF

## **SBQ\* Preliminary Assessment (PA) Kickoff Meeting Agenda\*\*** (minimum topics required to be covered are listed)

### **Introductions/Roles**

- Welcome by Agency
- Introductions and roles of each person in the project (PF)
- Objectives of the meeting (PF)

### **Setting the Stage**

- ESPC overview if needed (FPE)
- PA overview (35-page PA: recommendation of 2023 IDIQ contract/requirement of 2017 IDIQ contract, Sec. H.4.2) (FPE)
- Discussion by Agency/Site of interest, goals, objectives and priorities (Agency)
  - Meeting required goals, site specific needs, identified opportunities
  - NOO key points
- Levels of management support (Agency)
- Discussion on scope, buildings, areas and ECMs to be considered (Agency)
- Discussion by ESCO of their interest, anticipated opportunities and hurdles in the project (ESCO)
- Process Development and Templates (promote comprehensive project, but simplified PA if not yet addressed in pre-PA discussions)
  - Brief overview of the Task Order project development process (PF)
  - Promote 12-month development schedule (PF)
- Initiating project in eProject Builder (identify Initiator, Builder, Viewers)

## Setting Expectations

- Discuss how best to reduce carbon emissions by including unconventional, low or no carbon emission ECMs as additions to standard or traditional ECMs.
- Site Data (Agency)
  - Building environmental, resilience<sup>6</sup>, and performance requirements (Agency)
  - Long term plans at the site--additional capacity, utilization (impact of Covid-19 on building use)
  - Facilities to be included
  - Facilities to be excluded
  - Discussion of ECMs, long-term plans at the site, and exceptions (evaluate operational changes due to Covid-19)
  - O&M services, R&R responsibilities and O&M savings
  - Discuss potential cybersecurity<sup>7</sup> requirements
  - Codes, regulations, hazards, other considerations/issues
  - Categorical Exclusions – environmental documentation
  - Design Intent – Commissioning requirements
- Discuss available technology screenings (renewables, resiliency, etc.; check with FPE)
- Energy Star/FEMP EE Project requirements (PF)
- Address Life of Contract planning prior to task order award (PF)
- Fair and reasonable pricing (subcontractor competition)
- Preparing the project for an audit (historical lessons learned)

## Preliminary Assessment Process\*\*\*

- Contractor discussion of their plans and needs for PA phase (ESCO)

<sup>6</sup> <https://www.energy.gov/femp/resilience-planning-and-valuation>

<sup>7</sup> <https://www.energy.gov/femp/cybersecurity-considerations-performance-contracts>

- Logistics and access procedures for domestic and/or foreign nationals and possible travel-related restrictions
- Security, restricted areas, escorts, etc.
- Testing and metering to be performed
- Safety requirements – training, hazards
- Drawings, studies (including asbestos, PCBs, etc.)
- Historical designation
- Other ESCO needs during PA
- Process discussion – reviews (copies), document transmittals, etc. (ESCO)
- PA requirements - what does it look like (components/revised proposal); what needs to be approved (ECM package, savings estimates, baseline, M&V plan, etc.) (ESCO)
  - Government witnessing for M&V baseline (if measurements are made to support the IGA/proposal)
- Government discussion/expectations of what they think needs further investigation (Agency/ESCO)

### **Communications and Approvals**

- Establish leads and discuss responsibilities (Agency/ESCO)
- Establish frequency and method of communications – emails, conference calls (Agency/ESCO)
  - Meeting minutes drafting, distribution, review and approval
  - ESCO requests for information
  - PA submission
  - Protocols for bringing new people in/exiting others – responsibility for passing on information and informing the team
  - All approval points and who must approve

### **Project Schedule**

- PA development
- Agency review time required

- Award target date
- Project schedule chart

### **Construction Logistics**

- Installation planning
- Service interruptions
- Swing space
- Other

### **Utility Issues**

- Rebates, grants, incentives from utilities, state, others
- Utility rates for electricity, gas, oil, coal, water, sewer, steam, chilled water
  - Consider potential consequences for district or regional systems where rates could suddenly increase if a single user reduces their consumption (campuses, central systems, water districts/regions, etc.)
  - Stand-by, ratchet, and interruptible rates and interconnection costs/tariffs/studies

### **Other Issues?**

### **Action Items**

- Site
- ESCO
- DOE

### **Progress call schedule and date of first call**

\* SBQ – (ESCO) selection by qualification

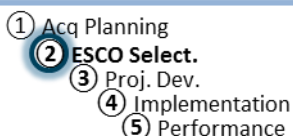
\*\* Agenda is useable for both original task order and subsequent modifications.  
See the IDIQ contract for further requirements for modifications.

\*\*\*The ESCO should inform the Agency that if baseline measurements will be made during the Preliminary Assessment, those measurements should be witnessed in accordance with the IDIQ requirements.



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*Agenda: PA Development Telecon*  
ESPC Process Doc. P2-08  
Rev. 01-01-24  
Responsibility: PF

### **PA Development Teleconference Call(s) Agenda (minimum topics required to be covered are listed)**

- Introductions
  - Agency CO & COR
  - ESCO Project Manager
- Status of PA development schedule
  - ESCO input on status of PA submittal schedule
  - Discuss timeline and pending actions
- Status of data collection from site visits
  - Discuss any issues (site access/security)
- Discuss any initial findings on ECMs
- Sources of savings (non-energy, O&M, etc.) and budget categories
- Government witnessing for M&V baseline (if measurements are made to support the IGA/proposal)
- Project discussion on meeting customer expectations
- Discuss availability of ESCO's PA components for review prior to PA submittal
  - Risk/Responsibility Matrix
  - Utility rate baseline and escalation rates
  - Other/remaining components



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*PA Review Checklist*  
ESPC Process Doc. P2-09  
Rev. 01-01-24  
Responsibility: PF

## PRELIMINARY ASSESSMENT (PA) REVIEW CHECKLIST

**Project Name**

**Project Number**

**Agency**

**Evaluator**

**Date of Review**

### PROJECT MANAGEMENT PLAN (to provide for efficient development of the proposal, IDIQ H.4.2.B.2.i.)

- ☐ Organization chart showing key players, expertise, responsibilities, and the project organization needed to effectively develop and implement the proposal are identified and described
- ☐ Communication plan with government to collectively build project is described
- ☐ Project milestones for IGA and proposal development are realistic, reasonable and acceptable to the government
- ☐ Project Management Plan provides a framework for the efficient development of a proposal, implementation of the project, and long-term project support to meet the government's objectives

Project Facilitator comments on this section: \_\_\_\_\_

### ENERGY (and water) CONSERVATION MEASURES (ECMs):

- ☐ Existing equipment and systems and proposed measures are reasonably
- ☐ The package of ECMs is as comprehensive as desired (encompasses a wide range of opportunities – energy, water, and O&M savings, renewable energy, site infrastructure needs, etc.)

- ☐ Each ECM is suitable for its intended purpose and consistent with government needs/requirements
- ☐ Bases for all savings streams are well described (energy, water, interactive effects, O&M, rate change...).
- ☐ Methods and analyses used to calculate baseline energy/water use and savings are sound.
- ☐ Magnitude of baselines and energy savings for each ECM and for each form of energy are in line with expectations
- ☐ Operational conditions (set points, operating hours, foot-candles, etc.) described before and after upgrade.
- ☐ Operating hours and other assumptions are consistent with site operations and documented
- ☐ Projected O&M cost savings have been reviewed with the site and there is confidence in their accrual (refer to guidance: How to Determine and Verify Operations and Maintenance Savings in Energy Savings Performance Contracts)
- ☐ Cost savings for each ECM and form of energy are consistent with energy savings and unit costs.
- ☐ ECM Lessons Learned for energy generation (PV, wind, CHP, biomass, etc.), power purchase agreement, and emerging technology ECMs have been reviewed and applied as appropriate for this project (see “ECM Lessons Learned - For Energy Generation, Power Purchase Agreement, and Emerging Technology ECMs”)
- ☐ “Potential ECMs” for further analysis are consistent with agency needs and are worthy of continued study (see IDIQ Section H.4.2.A)

Project Facilitator comments on this section: \_\_\_\_\_

## **RISK, RESPONSIBILITY, and PERFORMANCE**

### **Financial Factors: (construction costs, M&V confidence, energy-related savings, delays, facility changes, interest rates)**

- ☐ Risks for the financial components of the Risk, Responsibility, and Performance Matrix (RRPM) have been clearly described and allocated
- ☐ Potential shortfalls in any responsibility have been considered along with resolution strategies.
- ☐ Strategies for addressing each risk are effective and acceptable

### **Operational Factors: (operating hours, loads, weather, user participation)**

- ☐ Risks for the operational components of the RRPM have been clearly described and allocated
- ☐ Potential shortfalls in any responsibility have been considered along with resolution strategies



- ☐ Strategies for addressing each risk are effective and acceptable

**Performance Factors** (the ESCO is ultimately responsible for performance):  
**(equipment performance, operations, maintenance, repair & replacement)**

- ☐ Risks for the performance components of the RRPM have been

Project Facilitator comments on this section: \_\_\_\_\_

**M&V APPROACH:**

- ☐ An M&V approach (e.g., A, B, C, D) is defined for each measure (consistent with FEMP M&V Guidelines)
- ☐ Witnessing approaches are proposed for each recommended ECM, consistent with guidance, and levels are appropriate (refer to witnessing guidance and FEMP M&V Guidelines)
- ☐ Is each ECM categorized as one of the ECM categories per the IDIQ (and differences noted)
- ☐ M&V strategies manage risk well and are acceptable to agency

Project Facilitator comments on this section: \_\_\_\_\_

**PRICE:**

- ☐ The PA assessed implementation price ranges “*reflect*” a clear understanding of the recommended scope. ECM or overall pricing that is either too low or too high could indicate a disconnect between the ESCO and agency performance expectations.
- ☐ ECM prices (refer to Schedule 2a) are approximately in line with expectations (benchmarks, rules of thumb, history). A reasonableness check is suitable for the PA (project facilitators may have benchmark ranges for direct costs of common ECMs such as lighting, variable-speed drives, and chillers).
- ☐ Overall project development costs are reasonable (Schedule 2b; total project price and pricing components)
- ☐ Contractor and performance period costs are within range of expectations and/or reasonable (Schedules 2a, 2b, and 3)
- ☐ The Energy Escalation Rate Calculator was properly applied (where applicable) to forecast utility escalation rates and other proposed rates are reasonable. Note escalation rates are needed for both utilities and O&M costs.
- ☐ Delivery percentages (Schedules 2a, 2b, 3) and interest rate spread are within the ESCO’s IDIQ contract maximums (applicable only to GEN3 DOE ESPC IDIQ contracts)

Project Facilitator comments on this section: \_\_\_\_\_

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**SCHEDULES:**

- ☐ TO schedules in the PA are from eProject Builder (footnoted on each schedule)
- ☐ Schedule 1: All annual payments are less than guaranteed annual savings (required)
- ☐ Schedule 1: Guaranteed annual cost savings are within a reasonable level of estimated annual cost savings
- ☐ Summary: Contract terms are reasonable and acceptable

Project Facilitator comments on this section: \_\_\_\_\_

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**OVERALL:**

(Y/N) Does this project meet the majority of the agency needs and all requirements?  
Or can it be easily modified to meet the needs?

(Y/N) Is this an appropriate project to pursue under a performance contract?

(Y/N) Is this a reasonable technical and financial deal for the government?

(Y/N) Is this a contractor with whom you can have a good long-term working relationship?

(Y/N) Have agency risks been evaluated and minimized?

(Y/N) Are all buildings included in the scope appropriate given facility master plan?

(Y/N) Are the overall percentages of energy and cost savings from the project reasonable?

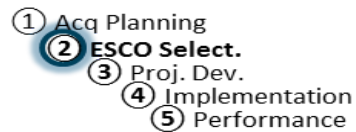
☐ Review comments from all reviewers (including SMEs) have been pulled together by the PF into a single document/package, provided to the Agency and contractor, and archived by the PF

Project Facilitator comments on this section: \_\_\_\_\_



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Preliminary Assessment (PA) Review Template

ESPC Process Doc. P2-10

Rev. 01-01-24

Responsibility: PF & Agency

Preliminary Assessment Review Template for ESPC Projects		
Area Reviewed	Notes/Comments	Assessment <sup>8</sup>
<ul style="list-style-type: none"> <li><b>Contract Requirements Met:</b> (see Section H.4 of DOE ESPC IDIQ)</li> </ul>		
<ul style="list-style-type: none"> <li><b>Energy Conservation Measures</b></li> </ul> <p>List each ECM<sup>9</sup> identified in the Preliminary Assessment. Make review comments as to whether each is reasonable, acceptable, and in line with agency needs. At bottom, is the overall package of ECMs comprehensive and does it provide a robust solution toward the agency's energy reduction goals and other needs?</p>	<p>Recommended ECMs:</p> <p>ECM 1:</p> <p>ECM 2: (add more ECMs as needed)</p> <p>Potential ECMs:</p> <p>ECM 1:</p> <p>ECM 2: (add more ECMs as needed)</p> <p>Overall:</p>	
<ul style="list-style-type: none"> <li><b>RRPM<sup>10</sup> Financial Factors:</b></li> </ul>	Review and assess:	
<ul style="list-style-type: none"> <li><b>RRPM Operational Factors:</b></li> </ul>	Review and assess:	
<ul style="list-style-type: none"> <li><b>RRPM Performance Factors:</b></li> </ul>	Review and assess:	
<ul style="list-style-type: none"> <li><b>Management Approach:</b></li> </ul>	Review and assess:	
<ul style="list-style-type: none"> <li><b>M&amp;V<sup>11</sup> Options/Approaches:</b></li> </ul>	Review and assess:	
<p>Identify the M&amp;V option for each of the ECMs and determine whether the offered strategy is appropriate for the ECM and whether the M&amp;V option costs reflect a reasonable balance between cost and savings uncertainty.</p>		
<ul style="list-style-type: none"> <li><b>TO<sup>12</sup> Schedules</b></li> </ul>		
<p>Are payments less than guaranteed savings? Is the contract within the required term? Note other terms &amp; conditions or areas requiring discussion.</p>		

<sup>8</sup> A – Acceptable, M – Minimal changes needed, S – Significant changes required

<sup>9</sup> Energy Conservation Measure

<sup>10</sup> Risk, Responsibility, and Performance Matrix

<sup>11</sup> M&V – Measurement and Verification

<sup>12</sup> TO- Task Order



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Notice of Intent to Award Letter  
ESPC Process Doc. P2-11  
Rev. 01-08-24  
Responsibility: FPE & Agency

## **SAMPLE/TEMPLATE NOTICE OF INTENT TO AWARD LETTER**

[Date]  
[Name of ESCO]  
[Address of ESCO]

SUBJECT: [ESCO contract number; project identification]

Dear [ESCO]:

We are pleased to inform you that you have been selected to provide energy savings performance contract services for [site name]. This notice of intent to award a task order against your DOE IDIQ ESPC contract, however, is subject to your successful satisfaction of the requirements contained in Sections H.5 and H.6 of that contract. Specifically, you are required to perform an Investment-Grade Audit of the applicable project site facilities and energy systems within [ # ] days of this notice and to provide a final proposal summarizing the survey results to the undersigned Contracting Officer. The survey shall be conducted in accordance with the requirements of Section H.5 of your contract. The proposal and financial schedules submitted must verify the estimated annual cost savings proposed for this project. Otherwise, the pre-award requirements of Sections H.5 and H.6 will not be considered to have been met, and negotiations and award will not be pursued further.

Upon receipt of the final proposal and its financial schedules, the Government will notify you when negotiations can commence. You are also reminded to take necessary actions to obtain the required financing and bonding (if required) for this project, as required by Sections H.7 of your contract. These pre-award requirements will also require satisfaction once negotiations are completed and prior to issuance of the intended award.

Should you have any questions, please contact the undersigned Contracting Officer at [phone number].

Sincerely,  
[CO signature]  
[Name]  
Contracting Officer  
[Affiliation]  
[Address]

## **Phase 3: Proposal/IGA to Award**



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- ① Acq Planning
- ② ESCO Select.
- ③ **Proj. Development**
- ④ Implementation
- ⑤ Performance

*Task Order Request for Proposal*  
ESPC Process Doc. NA  
Rev. 01-24-24  
Responsibility: PF & Agency

# U.S. Department of Energy (US DOE) Energy Savings Performance Contract

## Task Order Request for Proposal Template

Revision Date: January 24, 2024

The US DOE IDIQ ESPC Task Order Request for Proposal (TO-RFP) Template is used to facilitate the project facilitator's drafting of and the agency's finalizing of the TO-RFP. The TO RFP is an extensive document that communicates the ordering agency-, site-, and project-specific terms and conditions for the agency's Energy Savings Performance Contract (ESPC) project to the Contractor (a.k.a – Energy Services Company (ESCO)). The US DOE ESPC IDIQ contract permits an ordering agency to tailor the terms and conditions of the TO RFP to their specific needs and requirements.

The 2023 DOE IDIQ ESPC TO RFP Template can be downloaded from the TO RFP section of the FEMP Resources web page at:

<https://www.energy.gov/femp/resources-implementing-federal-energy-savings-performance-contracts>



## IGA/Proposal Kickoff Meeting Agenda\*

(minimum topics required to be covered are listed)

### Introductions/Roles

- Welcome by Agency
- Introductions and roles of each person in the project (PF)
- Objectives of the meeting (PF)

### Setting the Stage

- IGA/proposal overview (purpose, content requirements, ESCO/customer collaboration, etc.)
- NOITA key points
- Resolution of PA comments (if following PA path)
- Review of direct-to-IGA process including TO RFP issuance (if following direct-to-IGA path)
- Discussion by Agency/site of interest, goals, objectives, and priorities (Agency)
  - Meeting required goals, site specific needs, identified opportunities
  - Meeting Covid-19 requirements (if any)
- Levels of management support (Agency)
- Discussion on scope, buildings, areas and ECMs to be considered (Agency)
- Project development schedule – 12-month target (PF)
- Utilization of eProject Builder

### Setting Expectations

- Discuss how best to reduce carbon emissions by including unconventional, low or no carbon emission ECMs as additions to standard or traditional ECMs.
- Site Data
  - Building environmental, resilience<sup>13</sup>, and performance requirements (Agency)
  - Long term plans at the site-additional capacity, utilization, demolition, new construction (Agency)
    - Evaluate potential changes due to Covid-19
  - Facilities to be included/excluded (Agency)
    - Discussion of ECMs, additional ECMs, and exceptions (Agency)
  - O&M services, R&R responsibilities and O&M savings (Agency)
  - Energy and escalation rates, rebates, financial incentives (Agency/ESCO)
  - Cybersecurity plan<sup>14</sup> and protocols, including cybersecurity control measures, prior to receiving final Investment Grade Audit (IGA).

<sup>13</sup> <https://www.energy.gov/femp/resilience-planning-and-valuation>

<sup>14</sup> <https://www.energy.gov/femp/cybersecurity-considerations-performance-contracts>

- Codes, regulations, hazards, other considerations/issues (Agency)
- Special access and/or work requirements
- Agency and jurisdictional permitting roles and responsibilities (Agency), e.g. permitting, applications, etc.
- Categorical Exclusions – environmental documentation (Agency)
- Design Intent – Commissioning requirements (Agency)
- Questions/answers on TO RFP document or attachments (PF)
- Discuss available technology screenings (renewables, resiliency, etc.; check with FPE)
- Energy Star/FEMP EE Project requirements (PF)
- Address contract management planning prior to task order award (PF; see Contract Management training and contract management web resource document)
- Compliance with O&M savings guidance (PF)
- Discuss transition from award to post-award and construction planning (review best practices for incorporation into transition plan)

### **Investment-Grade Audit Process**

- Contractor discussion of their plans and needs for IGA/proposal phase (ESCO)
  - Logistics and access
    - Possible COVID-19 impact on travel (e.g., foreign travel requiring 14-day travel quarantine); site access, etc.
  - Security – restricted areas, escorts, etc.
  - Testing and metering to be performed
    - Government witnessing and levels of witnessing
  - Safety requirements – training, hazards
  - Drawings and studies (including asbestos, PCBs, etc.)
  - Historical designation
  - Other ESCO needs during the IGA
- Process discussion – reviews (copies), document transmittals, etc. (ESCO)
- IGA/proposal requirements; what does it look like (components/revised proposal) what needs to be approved (ECM package, savings estimates, baseline, M&V plan, etc.) (ESCO)
  - Discuss M&V approach for savings verification/sampling/etc. (Agency/ESCO)
  - Government witnessing for M&V baseline (if measurements are made to support the IGA/proposal)
  - Evaluate potential impact of Covid-19 on baseline (occupancy, enhanced ventilation, etc.)
- Government discussion/expectations of what needs further investigation (Agency / ESCO)



- Identify the needed quantity and scope of proposal/IGA review meetings to develop the final proposal (the PA path typically has a midpoint and final review while the direct-to-IGA path may have/need more than two review meetings). Identify expectations from each. Identify the needed proposal/IGA topical workshops to support proposal development such as:

- |   |   |
|---|---|
| <input type="checkbox"/> Project scoping/ECMs               | <input type="checkbox"/> Baselines/adjusted baselines |
| <input type="checkbox"/> M&V and witnessing                 | <input type="checkbox"/> Energy escalation/EERC       |
| <input type="checkbox"/> RRPM                               | <input type="checkbox"/> Appropriated funds           |
| <input type="checkbox"/> O&M and R&R (repair & replacement) | <input type="checkbox"/> Other                        |

### **Communications and Approvals**

- Establish leads and discuss responsibilities (Agency/ESCO)
- Establish frequency and method of communications – emails, conference calls (Agency/ESCO)
  - Meeting minutes drafting, distribution, review and approval
  - ESCO requests for information (RFI) and RFI handling/timeliness/point persons
  - Protocols for bringing new people in/exiting others – responsibility for passing on information and informing the team
  - All approval points and who must approve

### **Project Schedule** (address expediency/schedule creep/avoiding delays/critical paths)

- IGA/proposal development
- Proposal submission date
- Agency review time required
- Version control of proposal agreements/edits
- Award target date
- Project schedule chart
- Congressional notification
- DOE CO authorization letter

### **Construction Logistics**

- Comprehensive construction schedule
- Engineering design, submittal, and approval process
- Installation planning
- Service interruptions
- Swing space
- Other

### **Utility Issues**

- New/upgraded utility service connections roles and responsibilities (Agency)
- Rebates, grants, incentives from utilities, state, others
- Utility rates for electricity, gas, oil, coal, water, sewer, steam, chilled water

- Consider potential consequences for district or regional systems where rates could suddenly increase if a single user reduces their consumption (campuses, central systems, water districts/regions, etc.)
- Stand-by, ratchet, and interruptible rates and interconnection costs/tariffs/studies

### **Other/Remaining Issues**

#### **Action Items**

- Site
- ESCO
- DOE

#### **Progress call schedule and date of first call**

\*Agenda is useable for both original task order and subsequent modifications. See the IDIQ contract for further requirements for modifications.



## **Proposal/Investment Grade Audit (IGA) Review Meeting Agenda (topics are suggestions)**

### **Introductions/Roles**

- Welcome by Agency POC
- Introductions and roles of each person in the project (Project Facilitator (PF))

### **Objectives of the Meeting**

- Achieve understanding of what is proposed by ESCO
- Ensure IGA aligns with agency high level objectives
- Identify and discuss any items in IGA that need to be addressed to move project forward
- Gather all comments to deliver to ESCO (use ESPC Project Review Comment Template)

### **Review Items**

- ECM technical descriptions, baselines, and savings (with agency subject matter experts)
- Validity of baselines (verification via data provided or witnessing of baseline measurements)
- Consistency of ECMs with agency requirements
- Financial considerations (cost reasonableness, incentives, rebates, Investor Deal Summaries, etc.)
- M&V Plan
  - Alignment with agency expectations
  - Witnessing
- Management Approach
  - Risk, Responsibility, and Performance Matrix
  - O&M, Repair & Replacement
- Updated TO Schedules (including pricing as applicable)

### **Wrap-Up/Next Steps**

- Discussion of steps following comment delivery to ESCO
- Comment finalization completed by: \_\_\_\_\_
- Send further comments to: \_\_\_\_\_
- Is a follow up call or meeting required prior to sending comments to ESCO?



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- ① Acq Planning
- ② ESCO Select.
- ③ **Proj. Development**
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Proposal/IGA Review Checklist  
ESPC Process Doc. P3-03  
Rev. 01-01-24  
Responsibility: PF

## INVESTMENT-GRADE AUDIT/PROPOSAL: REVIEW CHECKLIST

**Project Name**

**FEMP ID#**

**Agency**

**Project Facilitator**

**Date of Review**

### Overall

- ☐ IGA content consistent with Agency requirements (regulatory as well as mission based)
- ☐ All buildings included in the scope are appropriate given facility master plan
- ☐ Overall percentage energy and cost savings (at the ECM, building, facility, and campus levels) are reasonable
- ☐ Rebates and incentives were adequately pursued by ESCO
- ☐ Risks of emerging/underutilized technologies properly identified and brought to Agency's attention as necessary
- ☐ Where Agency performs O&M, reviewer has assessed the likelihood of problems and their potential impacts, and has brought these to the Agency's attention
- ☐ ESCO is responsible for O&M of equipment installed (required by Generation 4 and 2017 IDIQ contracts, Sections C.6 and C.7)
- ☐ ESCO is responsible for repair and/or replacement of measures installed (required by Generation 4 and 2017 IDIQ contracts, Section C.8)
- ☐ Risk, Responsibility, and Performance Matrix consistent with Agency expectations
- ☐ M&V strategies and costs provide good balance between cost and Agency risk

- ☐ Reviewer has assessed the overall reliance on M&V options proposed to ensure appropriate, given risks (especially for Option A)
- ☐ Reviewer has examined percentage of project savings from electricity, gas, other fuels, water, and O&M, to identify where more extensive M&V should be emphasized
- ☐ Review comments from all reviewers (including SMEs) have been pulled together by the PF into a single document/package, provided to the Agency and contractor, and archived by the PF
- ☐ Analyses, notes, and other work done to support the PF's comments have been archived

**For each form of energy and water (duplicate for each type of energy):**

- ☐ Energy type: \_\_\_\_\_
- ☐ Baseline unit rate adequately documented.
- ☐ If blended rates are used, the methodologies for calculating them are provided and valid.
- ☐ Rates used align with current utility rate schedule.
- ☐ Escalation rates adequately documented and consistent with FEMP recommendations (latest version of EERC tool utilized).

**For each ECM (duplicate for each ECM):**

- ☐ Technical Category: \_\_\_\_\_
- ☐ ECM Name: \_\_\_\_\_
- ☐ FPE notified of need for technology expert review, if necessary
- ☐ ECM suitable for intended purpose and consistent with agency requirements
- ☐ Construction cost consistent with similar ECMs in recent projects
- ☐ Proposed construction schedule reasonable and consistent with previous projects
- ☐ Commissioning plan is adequate
- ☐ Methodology used to calculate baseline energy use adequate and supported by the included measured data
- ☐ Operating hour and other assumptions are reasonable and well-documented

- ☐ Energy savings estimate consistent with similar ECMs in recent projects, and is adequately documented
- ☐ Interactive effects with other ECMs considered in the calculations
- ☐ Assessed the need for expert review of building models (DOE-2, EnergyPlus, etc.) and obtained secondary reviews as necessary
- ☐ Simulation models adequately calibrated
- ☐ Sampling of equipment to calculate baseline performed correctly
- ☐ Energy cost savings calculation consistent with energy savings estimate and baseline energy unit prices.
- ☐ Energy-related O&M cost savings reasonable, well-documented and consistent with FEMP guidance, and supported by customer evaluation
- ☐ Added O&M costs for additional equipment adequately documented, and included in cash flow
- ☐ For ECMs with expected useful life less than project term, replacement plan is documented and budgeted in project
- ☐ Post-installation M&V activities appropriate and adequate to determine potential to provide savings
- ☐ Annual M&V activities adequate and consistent with current FEMP guidance (reference latest version of M&V Guidelines: Measurement and Verification for Performance-Based Contracts)
- ☐ The IGA M&V plan includes a schedule indicating M&V activities, a recommended level of government witnessing for each ECM, and post-award M&V reporting milestones for each ECM (reference Generation 4 and 2017 IDIQs Sec. C.4.2.B and Guide to Government Witnessing and Review of Measurement and Verification Activities)
- ☐ Planned measurements during post-acceptance M&V confirm performance as opposed to confirming intent (e.g., confirming that space temperatures actually change in the case of setbacks or an actuator moves versus confirming they are programmed to occur)
- ☐ Any sampling performed during M&V is adequate and consistent with FEMP guidelines (reference latest version of M&V Guidelines: Measurement and Verification for Performance-Based Contracts)

- ☐ Where M&V method depends on customer-maintained equipment like a BAS/EMCS, reviewer comments address the potential risks and/or recommend backup plan
- ☐ Where ECMs or M&V depend on connection to military LAN, reviewer comments address potential connection challenges and risks
- ☐ ECM lessons learned for energy generation (PV, wind, CHP, biomass, etc.), power purchase agreement, and emerging technology ECMs was reviewed and applied as appropriate for this project (the ECM lessons learned document is available from <https://www.energy.gov/femp/resources-implementing-federal-energy-savings-performance-contracts>)

## **TO Schedules**

- ☐ TO schedules in proposal/IGA match those in eProject Builder

### **Schedule 1**

- ☐ Implementation period savings and payments consistent with Agency expectations and FEMP guidance
- ☐ Estimated annual cost savings traceable to and consistent with ECM-level calculations
- ☐ Guaranteed cost savings consistent with estimated annual cost savings
- ☐ Annual contractor payments consistent with guaranteed cost savings, and are less than guaranteed savings in each contract year

### **Schedule 2a**

- ☐ Components of the implementation price (columns a, b, and c) for each ECM are traceable to costs detailed in the proposal/IGA
- ☐ Activities that make up the M&V expense for each ECM are adequately described in the proposal/IGA and reasonable (for both M&V equipment installed at construction and post-installation M&V activities – see TO-2b parts b and j)

### **Schedule 2b**

- ☐ M&V costs in parts b and j sum to the M&V expense total in TO-2a

### **Schedule 3**

- ☐ Performance period service expenses adequately documented and consistent with previous projects of this size
- ☐ Interest payments for each year consistent with project interest rate and loan balance
- ☐ Loan balance correct for each year

### **Schedule 4**

- ☐ Energy baseline and savings for each ECM and each form of energy consistent with calculations provided in the IGA
- ☐ Energy cost savings for each ECM and each form of energy consistent with energy savings and energy unit costs
- ☐ Other energy-related O&M costs for each ECM consistent with documentation in IGA
- ☐ M&V expense represents a reasonable balance of cost versus savings risk (one-time M&V expenses/costs on TO-2a and TO-2b may need to be considered in this assessment)

### **Schedule 5**

- ☐ Cancellation ceiling for each year is consistent with remaining principle per Schedule TO-3 and agreed-upon cancellation penalty ceiling

### **Summary of Key Issues/Findings** (List main areas of concern identified in review)

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*Proposal/IGA Review Workshop Agenda*

ESPC Process Doc. P3-04

Rev. 01-01-24

Responsibility: PF

## **IGA/Proposal Review Workshop Agenda\*** (minimum topics required to be covered are listed)

### **Introductions/Roles**

- Welcome by Agency POC
- Introductions (as needed by Project Facilitator (PF))

### **Objectives of the IGA Workshop**

- Bring all parties together to identify, discuss, and reach agreement on all remaining issues to enable Task Order award.

### **Resolution of Remaining Issues**

- Final project scope
  - ECMs
  - M&V
  - Risk, Responsibility, and Project Performance
  - O&M, Repair & Replacement
  - Acceptance and Commissioning (construction activities)
  - Training
- Price Proposal
  - TO Schedules (sourced from eProject Builder)
  - Pricing
  - Financing
  - O&M, Repair, and Replacement
  - Reach out to ESCO to have them lock in finance terms
- Overall project schedule
- Discuss transition from award to post-award and construction planning
- Other Items

### **Award Plan**

- Plan/schedule for Task Order award.
- Plan/schedule for final eProject Builder verification
- Plan for sending Congressional Notification announcement (if required)

\* Agenda is useable for both original task order or subsequent modifications. See the IDIQ contract for further requirements for modifications.



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*ESPC Project Financial Review*  
ESPC Process Doc. P3-05  
r. 10-15-14  
Responsibility: SME (ORNL)

## ESPC Project Financial Review

1. Requested by:
2. Date request received:
3. FEMP Project Number:
4. Date of Offer:
5. Project Investment:
6. One-time pre-performance period payment:
7. Post-acceptance performance period:
8. Offered project interest rate:
9. Calculated like-term Treasury rate:
10. Based on yield curve of:
11. Calculated premium:
12. Current rolling average premium:
13. Interest rates of projects awarded during the past three months:
14. Corresponding premiums:
15. Recommendations:
16. Prepared by:
17. Date submitted:

***Attach Schedule TO-3.***



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Debrief for ESPC Projects  
ESPC Process Doc. P3-06  
r. 07-08-15  
Responsibility: SME (ORNL)

## Debrief for ESPC Projects

Date:

Project No./Name:

Agency:

Participants:

Project Overview:

Completed Phase for Debrief: ☐ Development (Award) ☐ Implementation (Build)

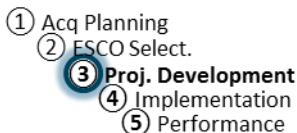
1. In the just completed phase of this project, what things worked especially well?

2. What aspects did not work or work well?

3. Did anything unexpected happen? How could we better prepare for the unexpected event? Where there unexpected risks that occurred in this phase?

4. If you were repeating this project and money, time, and resources were not a factor, what 2-3 things would you do differently? What adds would you make toward achieving over-the-top success and excellence in execution?

5. Were there areas of support that the customer found of limited value? Most value?



*ECM Lessons Learned*  
 ESPC Process Doc. P3-07  
 Rev. 08-17-23  
 Responsibility: PF

## ECM Lessons Learned - For Energy Generation, Power Purchase Agreement, and Emerging Technology ECMs

### *Energy Generation Technologies*

#### **All Energy Generation Technologies**

1. Investigate National Environmental Policy Act (NEPA), National Historic Preservation Act, State Historic Preservation Officers (SHPO), and other associated siting or design considerations for the technology early on to understand practicality, and costs and timeline impacts. Some projects can require local aesthetic review and approval as well.
2. If the technology is to be grid-connected, grid connection should be thoroughly investigated and considered early in project development as connection requirements can be significant and their costs sizeable.
3. If the technology is to be grid-connected, review the interconnection agreement carefully. Utilize GSA Areawide Contract Exhibit D. Assess retail wheeling and privatization impacts if they are involved. Resolving indemnification issues within interconnection agreements can take considerable time.
4. New energy generation technologies may add new and unfamiliar equipment to the customer's infrastructure which could increase maintenance costs. Agencies should assess their ability to O&M these systems and determine if their current annual O&M budget will be impacted. It is recommended that O&M responsibilities be assigned where they are best managed, and that project economics consider any change to O&M costs.

#### **Combined Heat and Power (CHP) Systems**

1. If not already part of agency review process, agencies might consider requiring the ESCO to provide reliability/performance history data from OEMs on advanced technologies (e.g., technology categories 10 & 11). Lack of reliability/performance data will help to highlight new technologies on the market and/or new OEM's to the technology space. (reference: multiple examples of up-time issues on small CHP ECMs typically NG fired reciprocating-engines).
2. Avoid use of blended rates, even at the Preliminary Assessment (PA) – use actual rate structure to better estimate economics.

#### **Biomass Systems**

1. Agencies should strongly consider having the ESCO perform O&M and be responsible for repair and replacement for these systems. Not only are these systems unfamiliar to most agency sites, some have proven to be operationally challenging and have equipment reliability issues.

2. Define who is responsible for biomass feedstock early. The government should be very cautious about accepting responsibility for biomass feedstock. Its availability can fluctuate with demand which can result in a lack of continuous feedstock and/or intense price swings. In addition, quality of the feedstock can vary widely which could put considerable savings at risk if the quality degrades.
3. The risk of unplanned outages and particularly the costs of acquiring alternative energy sources short term should be considered.
4. The potential impact of scheduled outages for planned and unplanned maintenance should be considered carefully to best manage utility cost impacts.

### **Photovoltaic (PV) and Wind Energy Systems**

1. For PV systems, many power inverters continue to have expected lives less than that of the PV grid. As a result, a plan for replacement and that associated cost should be considered in the planning and economics of a PV measure.
2. Compare renewable generation to load. If some export is expected, research net metering rules carefully.
3. Utilize very conservative (if any) demand charge savings estimates, unless the contractor is willing to guarantee savings. This appears to be related to the potential for intermittency of PV and wind energy.
4. Tailor project and the implementation approach based on your tariff and regulatory environment (standby charges; possible tariff changes due to load characteristic changes; if electricity sale planned (beyond net metering), what regulations apply, such as feed-in tariff, Public Utility Regulatory Policies Act of 1978.
5. Review the Buy America Act and determine how it may affect your project. Buying modular overseas and assembling in America is sometimes done.
6. If renewable project shades the ground, remember to consider the many potential siting needs such as: fencing, lighting, guttering/drainage, ground cover, ground maintenance.
7. Investigate available incentives for renewable energy projects.

### **Renewable Energy Credits and Solar Renewable Energy Certificate (SREC) Sale Considerations**

1. Carefully consider SREC sales if part of project. Not always permissible. Project ownership is important (private vs. government). Refer to FEMP ESA resources and guidance available at <https://www.energy.gov/femp/energy-savings-performance-contract-energy-sales-agreements>
2. SREC markets are volatile – best to award contract quickly to avoid problems associated with significant SREC price reductions
3. Consider retaining RECs in out years since SREC values may be low (re-negotiate contract if it turns out they are valuable)

### **Power Purchase Agreements**

1. Ensure that your state and utility allow PPAs if this is planned implement method.

### ***Emerging Technologies***

1. If the agency has an interest in emerging technologies, seek out the ESCOs experience early such as at the NOO. Perhaps even put a requirement in the NOO.
2. Consideration of emerging technologies must address the statutorily required guarantee of savings
3. Consider a limited-scale demonstration of the technology during the IGA phase before the technology is locked in on a wider scale.
4. The ESCO experience, inexperience, or need to contract out associated with emerging technologies can affect pricing so an agency might want to consider these in advance.
5. Look for cooperation among project partners. Emerging technology measures often require a mix of motivation and tolerance between partners. Partners are either motivated to incorporate the technology into the project or tolerant to have it as part of the project.
6. Perceived risks need to be identified, managed, and/or mitigated. Risk can be reduced by being properly shared among the parties, and by acquiring more detailed technical information
7. Consider leveraging technology experts from the USDOE National Labs and/or private sector to educate stakeholders and emphasize value and benefits.

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- ① Acq Planning
- ② ESCO Select.
- ③ **Proj. Development**
- ④ Implementation
- ⑤ Performance

## ESPC Project Review Comment Template

ESPC Process Doc. P3-09

Rev. 08-28-18

Responsibility: PF

### ESPC Project Review Comment Template (*Word version*)

<b>Project Name/No.:</b>		<b>Date of Document:</b>	
<b>Contract No.:</b>		<b>Comments Due By:</b>	

#### Type of Submittal/Deliverable

#### Reviewer

NA*	Preliminary Assessment*		Commissioning Report		(Name)	(Date)
	Proposal/Investment Grade Audit (IGA) Midpoint Review		Post-Installation Report			
	Proposal/IGA		Year 1 Annual Report		(Phone)	(Email)
	Commissioning Plan		Other (ID):			

No.	Page#, ECM, Sect., or Dwg.	Reviewer Comment	Reviewer	Contractor Response	Agency Response (Accept or Additional Discussion)
1					
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No.	Page#, ECM, Sect., or Dwg.	Reviewer Comment	Reviewer	Contractor Response	Agency Response (Accept or Additional Discussion)
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\* FEMP has a PA review template that the agency can use that is specifically designed for the higher-level review conducted for a preliminary assessment. This recommended template is available under the listing "Preliminary Assessment/Preliminary Assessment Review Template" from the FEMP ESPC resources page at: <https://www.energy.gov/femp/resources-implementing-federal-energy-savings-performance-contracts>





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*ESPC Project Review Comment Template*

ESPC Process Doc. P3-09

Rev. 08-27-18

Responsibility: PF

### ESPC Project Review Comment Template (*Excel version*)

<b>Project Name/No.:</b>		<b>Date of Document:</b>	
<b>Contract No.:</b>		<b>Comments Due By:</b>	

<b>Type of Submittal/ Deliverable (check one):</b>	<b>NA*</b>	Preliminary Assessment (Agency CO guides this review; a template is available*)	Commissioning Report
		Proposal/Investment Grade Audit (IGA) (midpoint review)	Post-Installation Report
		Proposal/IGA (100%)	Year 1 Annual Report
		Commissioning Plan	Other (ID):

No.	Page#, ECM, Section, Dwg.	Reviewer Comment	Originator	Contractor Response	Agency Response (Accept or Additional Discussion)
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# FEMP ESPC PROJECT DEVELOPMENT RESOURCE GUIDE

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\* FEMP has a PA review template that the agency can use that is specifically designed for the higher-level review conducted for a preliminary assessment. This recommended template is available under the listing "Preliminary Assessment /Preliminary Assessment Review Template" from the FEMP ESPC resources page at: <https://www.energy.gov/femp/resources-implementing-federal-energy-savings-performance-contracts>.

## Phase 4: Project Implementation to Acceptance



## Construction Kickoff Meeting Agenda

(minimum topics required to be covered are listed)

### Introductions/Roles

- Welcome by agency
- Introductions and roles of each person in the construction phase
- Objectives of the meeting
- Designate a meeting note taker

### Organization and Communications (Agency/ESCO)

- Function and authority of key agency personnel (CO, COR, other) (identify name of individuals)
- Function and authority of ESCO key personnel (identify names of individuals)
- Roles and responsibilities of agency and ESCO
  - Emergency notification process
  - Communication protocols (process, emails, approvals, etc.)
  - ESCO subcontractor oversight expectations
  - Team leads for M&V, witnessing, commissioning, and inspections (identify names)
  - Written agreement if needed (e.g., tri-party) clarifying responsibilities (personnel and costs)

### Reporting Requirements/Post Award Deliverables (Agency/ESCO)

- Ensure mutual understanding of TO requirements and deliverables
- Deliverables (refer to IDIQ contract Attachment J-4)
  - Updated organizational chart (if needed)
  - Updated implementation schedule
  - Commissioning report (should include point-to-point testing results)
  - Post-Installation M&V report
  - Davis-Bacon report (payroll statements)
  - Notification of utility interruption
  - Operation work procedure
  - Maintenance work procedure/maintenance work requirements and checklist
  - O&M manuals and spare parts lists
  - As-built drawings
  - Training

### Contract Clauses (Agency/ESCO)

- General and construction contract clauses

- Ensure understanding of all related post award clauses associated with the construction portion of the delivery order requirements (e.g., payroll records, subcontractor requirements, Buy American Act)
- Inspection and acceptance clauses at DOE IDIQ Section E and others added by agency (FAR 52.246-2,4,12,13,16)
- Government furnished property & contractor furnished material (applicable or not applicable)

### **Site Specific, Facility Access & Security Requirements (Agency/ESCO)**

- Project office/siting approval
- Contractor personnel site and/or building access requirements; non-citizen access requirements for prime and subcontractors
- Security badging process and badging/ lower-tier subcontractor list
- Escorts – process and coordination
- Restrictions/allowable equipment (e.g., cell phones, laptops and radios)
- Vehicle access approval requirements
- On and off-hour access
- Keys (If applicable)
- Vehicle licensing /registration
- Staging/lay-down yard and/or office space allocations for contractors

### **Construction (ESCO)**

- Construction schedule
- Schedule for construction update meetings
- Project status reports
- Plan of the Day (POD)/Plan of the Week (POW) meetings during construction (see page 3, example Agenda for POD/POW Meetings)
- Equipment data sheets
- Submittal schedule, coordination of submittal reviews, and approval process
- Preparing reviewers to ensure review readiness (ensure understanding of ESPCs)
- Project charter and/or partnering sessions (as needed)
- Weekly meetings (include subcontractors when beneficial)
- Changes and contract modifications (plan and implications)

### **Safety & Environmental Planning (Agency/Site Staff)**

- Site-specific safety plan, worker licensing and certifications
- Burn permit approval requirements
- Safety training
- Hazardous materials
  - Either stored or as a part of the facility, have been located and identified
  - Site specific requirements for hazardous material handling identified
  - Asbestos, MSDS, PCB's, lead based paint, etc.
- Site injury reporting and response requirements

- Environmental permits prior to construction
- Site characterization testing, mitigation of adverse conditions, hazard monitoring (e.g., asbestos)

### **Quality Control and Quality Surveillance**

- ESCO quality control plan (DOE IDIQ C.5.3)
  - Implementation progress
  - Testing/witnessing/other Issues
  - Changes
- Agency Surveillance
  - Verify that contract requirements are fulfilled and document performance
  - Inspections (do not relieve the contractor of responsibility)

### **Permits/Outages (Agency)**

- Utility service interruption permits approval
- Utility reconnect permits approval (including hot-work permits)
- Site personnel support for outages
- Service interruption scheduling
- Low voltage outage permits
- Lock-out/tag-out procedures
- Excavation/penetration permits (include indication of digging equipment) and marking boundaries

### **Acceptance**

- Timing
- Procedures
- Roles and authority

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### **Example Agenda for Plan-of-Day (POD)/Plan-of-Week (POW) Meetings (ESCO)**

- Objective
- Look ahead schedule (30, 60, 90 days)
- Safety
- Quality control (expectations/documentation)
- Commissioning
- Measurement and verification/witnessing (government and ESCO should understand purpose)
- As-built(s)
- Training
- Crane movements and locations reviewed for overhead hazards

- Construction start coordination requirements
- Long lead times
- Worker certifications (welding, electrical, etc.) up-to-date
- Site debris and removal
- Punch list
- Testing/inspection/acceptance (including acceptance procedures by ECM)



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*Post Award Conference Meeting Agenda*

ESPC Process Doc. P4-02

Rev. 08-15-23

Responsibility: PF

## **Post-Award Conference Meeting Agenda** (minimum topics required to be covered are listed)

### ***Introductions/Objectives***

- Welcome by agency contracting officer (or designated chairperson)
- Introductions
- Objectives of the meeting
  - Achieve a clear and mutual understanding of all contract requirements
  - Continuity and transitions from pre-award to post-award to be included in each discussion below. People, responsibilities, work, etc.
  - Identify and resolve potential problems
  - Not intended to change the contract, but should identify and clarify ambiguities
  - Provide written documentation on areas requiring resolution, controversial matters, participants assigned responsibilities for further actions, and due dates (who, what, where, when, and why within contractual schedule).

### ***Roles, Responsibilities, Authority of each person***

- Procurement Contracting Officer/Administrative Contracting Officer
- Agency Contracting Officers Representative (delegation of authority)
- Other agency key personnel (including M&V witnessing)
- ESCO primary point of contact
- Other ESCO Key personnel
- ESCO's key subcontractor personnel (as applicable) – (the ESCO is responsible for subcontractors and the government has no privity)
- As applicable, review Tri-Party Agreement or M&O type agreements

### ***Communication Protocols***

- Communication roles and responsibilities
  - ESCO to feds and feds to ESCO
  - Gatekeepers agency CO/COR are primary POCs
  - Gatekeepers identify the ESCO primary POC
- 2 week/30/60/90 day look ahead discussion
- Process, emails, approvals, etc.
- Emergency notification process
- Site access requirements and security (including cyber-security when applicable)



### ***Task Order Contract Terms and Conditions***

- Ensure mutual understanding off all task order contract terms and conditions
  - Project scope (include coordination with needed agency POCs, e.g., facilities, utilities, operations, security/cyber-security, data center, resilience, etc.)
  - Performance of Energy Conservation Measures/Work Breakdown Structure
  - DOE IDIQ flow down contract clauses
  - Task order specific clauses
  - Savings guarantees

### ***Contract Deliverables – Post-Award (refer to IDIQ Attachment J-4)***

Review status of IDIQ Attachment J-4 post-award deliverables (refer to applicable sections in IDIQ contract Sections C and H for requirements for each deliverable).

### ***Project Schedule and Milestones***

- Review project schedule included in ESCOs proposal
- Discuss design and design review schedule
- Discuss any known potential barriers and obstacles
- Discuss how changes to the project schedule (within scope) will be coordinated
- Plan for agency ESPC Project Manager and the Construction Manager to review the TO RFP per Sec. 11 of FEMP Best Practices guidance

### ***Project Design***

- Review of design in awarded task order
  - Discuss percentage of design completed at task order award and what remains post award
- Design changes process
- ESCO design, drawings, installation plans, health and safety plan, quality control inspection plan, etc. submittal process
- Government review and approval process (including specification reviews and approvals)
  - Who performs reviews
  - Timeframes for approval
  - Discuss any known potential barriers and obstacles

### ***Requirements for Proceeding to Construction***

- Not authorized until design have been approved by the government
- Agency to issue Notice to Proceed with Construction

### ***Government Acceptance***

- Overall Process
- Authorities and timeframes
- Equipment title transfer and documentation
- Discuss any known potential barriers and obstacles

### ***Contractor Payments***

- Fixed price contract
- Contract terms and conditions including task order schedules

### ***Reporting Requirements after Project Acceptance***

- Annual post award M&V reporting
- Subcontractor reporting, other reporting

### ***Scope Changes, Contract Modifications, and Subsequent Phases***

- Discuss process
  - Administrative
  - Within scope
  - Outside scope
  - Timing/schedule related to modifications/phases



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*Post-Installation Report: Review Checklist*

ESPC Process Doc. P4-03

Rev. 11-14-18

Responsibility: PF

## POST-INSTALLATION REPORT: REVIEW CHECKLIST

Project Name \_\_\_\_\_

FEMP ID# \_\_\_\_\_

Agency \_\_\_\_\_

Project Facilitator \_\_\_\_\_

Date of Review \_\_\_\_\_

M&V Report Title \_\_\_\_\_

M&V Report Date \_\_\_\_\_

### Overall

- ☐ Post-Installation Report has been reviewed in accordance with "Reviewing Post-Installation and Annual Reports for Federal ESPC Projects" guidance (reference IDIQ, Sec. C.4.2.C and Attachment J-17)
- ☐ Post-Installation Report follows the required outline and contents (reference IDIQ Sec. C.4.2.C and Attachment J-9)
- ☐ Post-Installation Report includes results of eProject Builder output and M&V data and calculations (reference IDIQ, Sec. 4.2.C and Attachment J-15)
- ☐ Inspections and measurements conducted by the Contractor are witnessed by the ordering agency in accordance with guidelines (reference IDIQ Sec. 4.2.C and "Guide to Government Witnessing and Review of Measurement and Verification Activities")
- ☐ Documentation of government witnessing is included in the annual M&V report (per IDIQ Attachment J-9, Sec. J-9.2.3.C)
- ☐ Reported M&V results (including measurements, monitoring, and inspections) are consistent with the M&V Plan in the awarded proposal (reference "Reviewing Post-Installation and Annual Reports for Federal ESPC Projects", Post-Installation Report Checklists, Part 2.1)
- ☐ Any changes in project scope between the final proposal (or Task Order contract) and as-built conditions are detailed (reference "Reviewing Post-Installation and Annual Reports for Federal ESPC Projects", Post-Installation Report Checklists, Part 1.2)
- ☐ Any energy and/or cost savings adjustments from the final proposal (or Task Order contract) are summarized (including any needed baseline adjustments)

(reference " Reviewing Post-Installation and Annual Reports for Federal ESPC Projects", Post-Installation Report Checklists, Part 2.4)

- ☐ Issues/deficiencies that need follow up were identified and have been relayed to the agency/site and the ESCO (reference " Reviewing Post-Installation and Annual Reports for Federal ESPC Projects", Steps 5 and 6 and Post-Installation Report Checklists, Part 2.3)
- ☐ Rates in the final proposal (or Task Order contract) were used to calculate savings and rates adjustment factors were applied correctly (reference " Reviewing Post-Installation and Annual Reports for Federal ESPC Projects", Post-Installation Report Checklists, Part 2.4)
- ☐ Calculations of construction period savings are summarized (reference " Reviewing Post-Installation and Annual Reports for Federal ESPC Projects", Post-Installation Report Checklists, Part 1.6)
- ☐ Based on post-installation testing, savings guarantee in Year 1 is expected to be met (or detailed explanation is provided if not expected) (reference " Reviewing Post-Installation and Annual Reports for Federal ESPC Projects", Post-Installation Report Checklists, Part 1.2)
- ☐ Project Facilitator supports the approval/acceptance of the post-installation report based on their review

**Summary of Key Issues/Findings** (List main areas of concern and clarifications identified in review)

## **Phase 5: Performance Period**



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- ① Acq Planning
- ② ESCO Select.
- ③ Proj. Dev.
- ④ Implementation
- ⑤ **Performance**

*Annual M&V Report Review Checklist*  
ESPC Process Doc. P5-01  
Rev. 11-14-18  
Responsibility: PF

## ANNUAL M&V REPORT: REVIEW CHECKLIST

**Project Name**

**FEMP ID#**

**Agency**

**Project Facilitator**

**Date of Review**

**M&V Report Title**

**M&V Report Date**

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### Overall

- ☐ Annual report has been reviewed in accordance with “Reviewing Post-Installation and Annual Reports for Federal ESPC Projects” guidance (see IDIQ, Sec. C.4.2.C and Attachment J-17)
- ☐ Annual report includes an annual M&V schedule report generated from eProject Builder (see IDIQ, Part J.15.3.e and Attachment J-15)
- ☐ Annual M&V report follows the required outline and contents (IDIQ Sec. C.4.2.D and Attachment J-10)
- ☐ Inspections and measurements conducted by the Contractor are witnessed by the ordering agency in accordance with guidelines (see "Guide to Government Witnessing and Review of Measurement and Verification Activities")
- ☐ Documentation of government witnessing is included in the annual M&V report (per IDIQ Attachment J-10, Section J-10.2.2.C)
- ☐ Annual M&V report contains a “running log” that documents, on a continuous, annual basis, the changes or impacts that have affected the ability of the project to generate energy savings (IDIQ, Sec. C.4.2.E)
- ☐ Annual M&V report contains a copy of each year’s previous comments and responses in its Appendix (IDIQ, Sec. C.4.2.F)

- ☐ Annual M&V report contains records that document the ECM affected, dates of incidents, repairs, and/or replacements implemented, and descriptions of activities performed. This applies to operations and maintenance (including inspections), repair, and replacement activities (regardless of who performs the work) (IDIQ, Sec. C.6.D and E)
- ☐ Impact of all deficiencies or enhancements on the generation of savings have been described, including but not limited to (reference IDIQ Sec. J-10.1.3 (including completed Table 3), J-10.1.5 (including completed Table 4), J10.2.2 Part H, J10.2.6 and "Reviewing Post-Installation and Annual Reports for Federal ESPC Projects", Annual Report Checklists, Parts 1.5, 2.2, and 2.5):
  - a) O&M (including preventative maintenance)
  - b) Performance
  - c) Repair and replacement
- ☐ Issues/deficiencies that need follow up have been relayed to the agency/site and the ESCO (reference "Reviewing Post-Installation and Annual Reports for Federal ESPC Projects", Annual Report Checklists, Parts 1.5, 2.2, and 2.5)
- ☐ Reported M&V results (including measurements, monitoring, and inspections) are consistent with the M&V Plan in the awarded proposal (reference "Reviewing Post-Installation and Annual Reports for Federal ESPC Projects", Annual Report Checklists, Parts 2.1 and 2.2)
- ☐ Any energy and/or cost savings adjustments are summarized (including any needed baseline adjustments) (reference "Reviewing Post-Installation and Annual Reports for Federal ESPC Projects", Annual Report Checklists, Parts 1.4 and 2.3)
- ☐ Rates in the final proposal (or Task Order contract) were used to calculate savings and adjustment factors for rates were applied correctly (reference "Reviewing Post-Installation and Annual Reports for Federal ESPC Projects", Annual Report Checklists, Parts 1.6 and 2.3)
- ☐ Savings guarantee was met (or detailed explanation provided if not fulfilled) (reference "Reviewing Post-Installation and Annual Reports for Federal ESPC Projects", Annual Report Checklists, Part 1.2)
- ☐ Project Facilitator supports the approval/acceptance of the annual report based on their review

**Summary of Key Issues/Findings** (List main areas of concern and clarifications identified in review)



For more information, visit: [energy.gov/FEMP](https://energy.gov/FEMP)

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