

U.S. DEPARTMENT OF ENERGY
DOE Qualified List of Energy Service Companies (ESCOs)
Application and Annual Recertification Form

Part A: Application

(ELIGIBILITY FOR POTENTIAL ENERGY SAVINGS PERFORMANCE CONTRACT AWARD UNDER 10 C.F.R. § 436.32)

Submit the completed application, resumes, and client questionnaires to the U.S. Department of Energy, Federal Energy Management Program (EE-5F), via the eProject Builder System: <https://eprojectbuilder.lbl.gov/login>.

The FEMP website, [DOE Qualified Energy Service Companies | Department of Energy](#), provides requirements, instructions, and guidance for properly completing this application.

PLEASE COMPLETE ALL ITEMS ON THIS FORM. Insert N/A in items not applicable. See pages 7 and 8 for instructions and definitions.

The average estimated time to complete this form is 23 hours.

1. Date:

2. Applicant Information

a. Firm Name:

b. Street Address:

c. City, State, and Zip Code:

d. Email:

e. Firm Website:

3. Type of Organization (check one)

Corporation, incorporated under the laws of the of the state of:

Non-Profit Organization

Joint Venture

Partnership

Individual

Other (Explain)

4. Names of Officers, Owners, or Partners

a. President:

b. Vice President:

c. Secretary:

d. Treasurer:

e. Owners or Partners:

5. Affiliates of Applicant

Name	Location	Nature of Affiliation

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6. Submittal Applicability

a. This submittal applies to:

Parent Company

Division

Subsidiary

Joint Venture

Branch Office

Other

b. List the names of any of the above marked entities which are to be included in the qualification process, and describe their functions, responsibilities, and interrelationships:

7. Federal Employer Identification Number:**8. SAM.gov Unique Entity ID:****9. Year Firm was established:****10: Indicate the number of years in business as an Energy Management Contractor:**

Indicate all other names for your organization and the length of time your organization had that name:

11. Business Size

a. Size of business:

Small Business (if checked, complete 11b and 11c)

Other than Small Business

b. Average number of Employees (including affiliates) for four (4) preceding calendar quarters:

c. Average annual sales or receipts for preceding three (3) fiscal years: \$

12. Type of Ownership (See Definitions) (Only applicable for small businesses)

Yes

No

8(a) Small Disadvantaged Business

Minority Business Enterprise

HUBZone

Women-Owned Small Business

Service-Disabled Veteran-Owned Small Business

13. Net Worth

a. Date:

b. Amount:

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14. Project Experience

a. List and describe, on separate pages, two projects completed by your firm that have been operating and saving energy or reducing utility costs as proven by appropriate measurement and verification (M&V) methodologies. A description of the M&V methodology must be included. The performance period must be sufficient to validate actual annual energy savings or utility demand reduction.

Your firm must have performed as the financially responsible prime contractor for both the design and implementation (i.e., installation or construction) phases of the project. These projects should demonstrate your range of experience relative to energy performance contracting and energy management expertise (i.e., the type of technologies implemented). Provide a complete and thorough description of the Technology Categories and Energy Conservation Measures (ECMs) implemented through each project, including the size and scope of each ECM. For each project provide information on the following items:

1. Project title and location.
2. Project description and summary that demonstrates the firm's ability to successfully design and implement projects, emphasizing the energy and water ECMs and the post-installation measurement and verification methodology.
3. Client to contact regarding the project, their position, address, telephone number, and email address.
4. Identify if project was for public or private sector.
5. Briefly describe the facility including function, number of buildings, and size in square feet.
6. Total contract amount and total implementation price or investment value.
7. Type of financing arranged by your firm.
8. Type and term of contract.
9. Starting and ending dates.
10. Indicate if the project was completed on schedule. If not, explain.
11. Post-installation performance period.
12. Projected annual energy savings and/or demand reduction, in energy units and U.S. Dollars (\$).
13. Identify performance guarantees if performance-based energy service contract.
14. Actual annual energy savings and/or demand reduction achieved for each project, in energy units and U.S. Dollars (\$) based on appropriate measurement and verification methodologies.
15. eProject Builder non-calculating project data template 3.0.
Note: The Project Data Templates are available at <https://eprojectbuilder.lbl.gov/help>.
16. Firm notes, explanations, or any other information relating to the project, such as any rebates or other incentives associated with project.

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b. Please indicate the total number and total investment value of your firm’s energy efficiency and renewable energy projects for the past two years in the market sectors in the table below. Select the most appropriate market sector, and do not list projects in more than one market sector.

Market Sectors	Number of Projects	Investment Value of Projects (USD)	Value of Work Sub-contracted to Minority Business Enterprises (MBEs)*
Federal			
State (including University/College)			
Local (including K-12)			
Private University/College			
Industrial			
Retail			
Commercial			
Healthcare			
Hotel/Hospitality			
Residential (including Public Housing)			
Other			
Total			

*Note: Minority Business Enterprises (MBEs), as identified by federal, state, local government programs, the National Minority Supplier Development Council, or other applicable publicly recognized organizations.

c. For each of the past five (5) years, identify the total number of projects and total project investment for an ESPC or other energy efficiency or renewable energy project (e.g., UESC, PPA, fee for service, etc.) for which your firm had financial responsibility.

Year	Number of Projects	Investment Value of Projects (USD)

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15. Technical Capability

List the technologies which your firm may propose to implement as an energy conservation measure or a water conservation measure under an energy savings performance contract. Check all that apply:

Energy Efficiency Technologies

Advanced Metering Systems	Appliance/Plug-load reductions
Boiler Plant Improvements	Building Automation Systems (BAS)/Energy Management Control Systems (EMCS)
Building Envelope Modifications	Chilled Water, Hot Water, and Steam Distribution Systems
Chiller Plant Improvements	Commissioning
Distributed Generation	Electrical Peak Shaving/Load Shifting
Electric Motors and Drives	Energy Cost Reduction through Rate Adjustments
Energy (or Water) Related Process Improvements	Energy/Utility Distribution Systems
Heating, Ventilating, and Air Conditioning (HVAC, not including boilers, chillers, and BAS/EMCS)	Lighting Improvements
Refrigeration	Water and Sewer Conservation Systems
Other (please specify)	

Renewable Energy Technologies

Biomass System Installation, using wood waste and other organic waste streams for heating or power plant installation	Landfill Gas, Wastewater Treatment Plant Digester Gas, and Coalbed Methane Power Plant Installation
Passive Solar Heating Installation	Photovoltaic System Installation
Renewable Energy Distribution	Replacement of air conditioning and heating units with ground-coupled heat pump systems (or geothermal heat pumps)
Solar Hot Water System Installation	Solar Ventilation Preheating System Installation
Wind Energy System Installation	Other (please specify)

16. Available Staff

a. Indicate the experience in energy management and energy conservation services of the personnel in your firm that you are intending to use on projects. These personnel qualifications should be in the form of résumés and submitted in one file.

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b. List all professional and skilled trades which your firm customarily performs with your own employees.

17. Additional Relevant Information (Optional)

You may provide any additional relevant information regarding your firms technical, engineering, and management capabilities, including but not limited to, project lists, project case studies, journal articles, and awards.

18. Disclose whether your firm (or predecessors, if any) or any principal of the firm has been insolvent or declared to be in bankruptcy with in the past five (5) years. Responses of not applicable (N/A) will be considered incomplete.

Yes No

19. Indicate whether your firm or any principal of the firm has been debarred by the Federal Government. Responses of not applicable (N/A) will be considered incomplete.

Yes No

20. Signature

The information herein (including all pages attached) is correct and neither the applicant nor any person (or concern) in any connection with the applicant as a principle or officer, so far as is known, is now debarred, or otherwise declared ineligible by any agency of the Federal Government from making offers for furnishing materials, supplies, or services to the Government or any agency thereof.

a. Name of Person Authorized to Sign

c. Signature

d. Date Signed

b. Title of Person Authorized to Sign

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Instructions

Firms applying to the U.S. Department of Energy's (DOE) Qualified List of Energy Service Companies (ESCOs) should upload this properly completed DOE Qualified List of ESCOs Application, including employee résumés and Client Questionnaires to eProject Builder <https://eprojectbuilder.lbl.gov/home/login>. Firms will need to request an eProject Builder account by completing an eProject Builder Account Registration Form. Additional requirements, instructions, and guidance are provided on the DOE website <https://www.energy.gov/eere/femp/doe-qualified-energy-service-companies>.

The eProject Builder Qualified List of ESCOs Application Guide is provided at <https://eprojectbuilder.lbl.gov/help> in the Training Documentation section of the webpage. The New Application section of the Application Guide provides detailed instructions for uploading your firm's application files (required and optional).

Definitions

SIZE OF SMALL BUSINESS

(See Item 11a.)

a. Affiliates - Business concerns are affiliates of each other when either directly or indirectly (i) one concern controls or has the power to control the other or (iii) a third-party controls or has the power to control both. In determining whether concerns are independently owned or operated and whether or not affiliation exists, consideration is given to all appropriate factors including common ownership, common management, and contractual relationship. (See items 5 and 6a.)

b. Small business concern - A small business concern for the purpose of Government procurement is a concern, including its affiliates, which is independently owned and operated, is not dominant in the field of operation in which it is competing for Government contracts, and can further qualify under the criteria concerning number of employees, average annual receipts, or the other criteria, as prescribed by the Small Business Administration. (See Code of Federal Regulations, Title 13, Part 121, as amended which contains industry definitions and related procedures)

c. Number of employees - (Item 11b) In connection with the determination of small business status, "number of employees" means the average employment of any concern, including the employees of its domestic and foreign, affiliates, based on the number of persons employed on a full-time, temporary, or other basis during each of the pay periods of the preceding 12 months. If a concern has not been in existence for 12 months, "number of employees" means the average employments of such concern and its affiliates during the periods that such concern has been in existence based on the number of persons employed during each of the pay periods of the period that such concern has been in business.

TYPE OF OWNERSHIP

(See Item 12.)

a. Disadvantaged business concern - any business concern which is at least 51 percent owned by one or more socially and economically disadvantaged individuals; or, in the case of any publicly owned business, at least 51 percent of the stock of which is one by one or more socially and economically disadvantaged individuals; and whose management and daily business operations are controlled by one or more of such individuals.

b. Minority Business Enterprises (MBEs) - a business that is at least 51 percent minority owned, operated and controlled, as identified by federal, state, local government programs, the National Minority Supplier Development Council, or other applicable publicly recognized organizations.

c. Women-owned business - a business that is at least 51 percent owned by a woman or women who are U.S. citizens and who also control and operate the business.

d. HUBZone business - a small business that is at least 51 percent owned and controlled by U.S. citizens, a Community Development Corporation, an agricultural cooperative, a Native Hawaiian organization, or an Indian tribe, have its principal office in a HUBZone, and have at least 35 percent of its employees live in a HUBZone.

e. Service-Disabled Veteran-Owned Small Business (SDVOSB) - a business that is at least 51 percent owned by one or more service-disabled veterans or in the case of any publicly owned small business, not less than 51 percent of the stock of which is owned by one or more service-disabled veterans; and the management and daily business operations of which are controlled by one or more service-disabled veterans or in the case of a veteran with permanent and severe disability, the spouse or permanent caregiver of such veteran. The Service Disabled Veteran (SDV) must have a service-connected disability that has been determined by the Department of Veterans Affairs or Department of Defense. The SDV must hold the highest officer position in the SDVOSBC.

**DOE Qualified List of ESCOs
CLIENT QUESTIONNAIRE**

Contractor Name:

Project Title:

1. Was the applicant firm the prime contractor for the design and construction of the complete project?

2. Was the project completed on schedule?

3. Did the contract involve energy savings performance guarantees? If so, describe performance guarantees (e.g., annual energy or cost savings).

4. Did the installed project achieve energy savings and/or demand reduction projected or guaranteed by the contractor?

5. Was the method(s) used by the contractor to determine annual energy savings and/or demand reduction acceptable for the type of energy conservation measures installed?

6. Did the contractor provide satisfactory operations, maintenance, and repair services, if any?

7. Were rebates from the utility in your area available to you? If yes, did the contractor arrange satisfactory utility supplier rebates or other financial incentives?

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8. Did the contractor provide or arrange satisfactory project financing?

9. What was the capital investment in the energy project?

10. Provide an overall rating of the quality and timing of services provided by the contractor. If your answers to questions 1-8 were all "yes," please briefly explain your reasons for giving a "Fair" or "Poor" rating, as applicable.

Excellent Exceeded expectations. Highly recommend contractor.

Good Met all requirements. Recommend contractor.

Fair Achieved project objective, room for improved quality and performance. Recommend contractor.

Poor Significant shortfall in performance and quality. Would not recommend contractor.

Remarks:

Client Name:

Title:

Organization:

Address:

Telephone:

Email:

Client Signature:

Title:

Date:

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PART B: Annual Recertification Statement Instructions

Each firm included on the DOE Qualified List of Energy Service Companies (ESCOs) must submit an annual recertification letter to remain on the DOE Qualified List. Two certification statements are provided below. Select and submit the certification statement appropriate for your firm on your firm’s letterhead stationery.

Statement 1: Certification of Existing Information

“I certify that *[insert firm name]* is presently on DOE’s Qualified List of Energy Service Companies and that the information furnished in the original submission has not materially changed and request that my firm remain on DOE’s *[insert year]* Qualified List.”

Date: _____ Signed: _____
[Print Name and Title]

Statement 2: Certification with Changes

“I certify that *[insert firm name]* is presently on DOE’s Qualified List of Energy Service Companies and request that my firm remains on DOE’s *[insert year]* Qualified List. Please update the information for my firm with the following changes:

[1. Review your firm’s contact information in the DOE Qualified List of ESCOs. Update the contact information as needed. 2. List any other changes.]

Point of Contact:
Title:
Address:
Phone/Fax: _____ Email: _____
Website:

I certify that these changes do not affect my firm’s qualifications and the basis for which the firm was originally qualified.”

Date: _____ Signed: _____
[Print Name and Title]

Your recertification letter must also include whether your firm is currently certified in any of the following socioeconomic categories (see definitions on page 7 or 11).

8(a) Small Disadvantaged Business (NAICS Code 541330)	Yes	No
Minority Business Enterprise	Yes	No
HUBZone	Yes	No
Women-Owned Small Business	Yes	No
Service-Disabled Veteran-Owned Small Business	Yes	No

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Recertification statements that do not include socioeconomic categories responses are not complete and the firm will not be recertified.

Using your firm's eProject Builder account, upload your firm's signed recertification letter (on your firm's letterhead stationery).

The eProject Builder Qualified List of ESCOs Application Guide is provided at <https://eprojectbuilder.lbl.gov/help> in the Training Documentation section of the webpage. The Recertification section of the Application Guide provides detailed instructions for uploading your firm's recertification letter.

The Recertification section also provides instructions for uploading project data. Although not a requirement for recertification, eProject Builder enables you to submit information about your projects. Submitting project data is a requirement for projects implemented under the DOE IDIQ ESPC and the DOE ESPC ENABLE programs, and this feature is also used by many state and local government energy performance contract projects. You may wish to enter your ESCO's projects in eProject Builder if you haven't previously done so. For eProject Builder questions, please email epb-support@lbl.gov or call 510-486-7442.

Firms that choose not to complete the [Insert Year] recertification process should inform DOE's Federal Energy Management Program (FEMP) via a letter requesting removal from the DOE Qualified List of ESCOs.

Definitions

- a. Disadvantaged business concern - any business concern which is at least 51 percent owned by one or more socially and economically disadvantaged individuals; or, in the case of any publicly owned business, at least 51 percent of the stock of which is one by one or more socially and economically disadvantaged individuals; and whose management and daily business operations are controlled by one or more of such individuals.
- b. Minority Business Enterprises (MBEs) - a business that is at least 51 percent minority owned, operated and controlled, as identified by federal, state, local government programs, the National Minority Supplier Development Council, or other applicable publicly recognized organizations.
- c. Women-owned business - a business that is at least 51 percent owned by a woman or women who are U.S. citizens and who also control and operate the business.
- d. HUBZone business - a small business that is at least 51 percent owned and controlled by U.S. citizens, a Community Development Corporation, an agricultural cooperative, a Native Hawaiian organization, or an Indian tribe, have its principal office in a HUBZone, and have at least 35 percent of its employees live in a HUBZone.
- e. Service-Disabled Veteran-Owned Small Business (SDVOSB) - a business that is at least 51 percent owned by one or more service-disabled veterans or in the case of any publicly owned small business, not less than 51 percent of the stock of which is owned by one or more service-disabled veterans; and the management and daily business operations of which are controlled by one or more service-disabled veterans or in the case of a veteran with permanent and severe disability, the spouse or permanent caregiver of such veteran. The Service Disabled Veteran (SDV) must have a service-connected disability that has been determined by the Department of Veterans Affairs or Department of Defense. The SDV must hold the highest officer position in the SDVOSBC.

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Paperwork Reduction Act Burden Disclosure Statement

This data is being collected to update the DOE Qualified List of Energy Service Companies (ESCOs) Application and Annual Recertification Statement. The DOE Qualified List of ESCOs is required by the Energy Policy Act, as amended, and is the required first step in the Federal procurement process for the energy savings performance contracting (ESPC) project financing methodology. The application form is for use by new applicant firms, i.e., firms not already included on the DOE Qualified List of ESCOs. Application information is used by DOE to determine whether an applicant firm is qualified to bid on Federal ESPC opportunities. The Annual Recertification Statement is for use by ESCO firms to maintain their inclusion on the DOE Qualified List of ESCOs, i.e., firms that have been previously approved for inclusion. The Annual Recertification Statement is used by DOE to determine whether an ESCO firm maintains its qualification to bid on Federal ESPC opportunities. The Energy Policy Act, as implemented by the United States Code and the Code of Federal Regulations, requires at least an annual update to the DOE Qualified List of ESCOs.

Public reporting burden for this collection of information is estimated to average 23 hours per response for new applications, and 2 hours per response for annual recertifications, including the time for reviewing instructions, searching existing data sources, gathering and maintaining the data needed, and completing and reviewing the collection of information. Send comments regarding this burden estimate or any other aspect of this collection of information, including suggestions for reducing this burden, to Office of the Chief Information Officer, Enterprise Policy Development & Implementation Office, IM-22, Information Collection Management Program (1910-5207), U.S. Department of Energy, 1000 Independence Ave SW, Washington, DC 20585; and to the Office of Management and Budget (OMB), OIRA, Paperwork Reduction Project (1910-5207), Washington, DC 20503.

Notwithstanding any other provision of the law, no person is required to respond to, nor shall any person be subject to a penalty for failure to comply with a collection of information subject to the requirements of the Paperwork Reduction Act unless that collection of information displays a currently valid OMB control number.

Submission of this data is completely voluntary. It is a business decision made by firms specifically to participate in the Federal ESPC program. No firm is required to apply.