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Legal Notice

Emissions Reduction Alberta is a registered tradename of the Climate Change and Emissions Management (CCEMC) Corporation and is referred to as ERA throughout this document. By submitting an Expression of Interest ("EOI"), you confirm that you have read, understand and accept the information contained in this Call for Expressions of Interest and, that each of you, the applicant (the "Proponent"), and any project partners agree as follows:

- a) ERA may at any time suspend, terminate, cancel, withdraw, amend or alter all or any portion of this request for proposals ("RFP") EOI stage ("EOI Stage"), including but not limited to the EOI requirements, the EOI selection and review process and the EOI eligibility criteria.
- b) ERA reserves the unqualified right to accept or reject any or all EOIs for any reason. ERA is not required to accept the highest ranked EOI nor is it required to accept any EOI recommended for advancement to the full project proposal ("Full Project Proposal") stage ("FPP Stage") by the applicable ERA evaluators.
- c) The final decision with respect to the projects to be included in the EOI short-list rests solely with ERA Board of Directors ("Board of Directors"). The Board of Directors' evaluation of EOIs may be based on, but is not in any way limited to, the criteria set out in this RFP. The Board of Directors may consider any criteria determined by the Board of Directors to be relevant to ERA's mandate, regardless of whether such additional criteria have been disclosed to the Proponent.
- d) EOIs that do not comply with the requirements described in this RFP may be rejected in whole or in part or not considered by ERA. ERA reserves the unqualified right to accept or reject a non-compliant EOI.
- e) This EOI Stage is an invitation for EOIs only. It is not an offer and the submission of an EOI does not create a contract or agreement of any kind between ERA and the Proponent.
- f) No conduct, act or omission of CCEMC, CCEMC operating as ERA, or its directors, officers, consultants, project advisors, agents, servants and their respective successors and assigns (collectively the "ERA Parties") other than a written notice to the Proponent in writing signed by an authorized person for ERA, will constitute an acceptance of an EOI.
- g) Acceptance of an EOI does not create any binding contract between ERA and the Proponent. ERA shall not be obligated in any matter whatsoever to any Proponent until a written contribution agreement ("Contribution Agreement") between CCEMC operating as ERA and the Proponent has been duly executed relating to an approved FPP.
- h) As between the parties, the EOI and all documents and materials you submit to ERA in connection with the EOI Stage and all intellectual property in and to the foregoing are the exclusive property of ERA immediately upon delivery to ERA. For clarity, this refers to the materials themselves, not to any technology or innovations disclosed or discussed in them. Intellectual property developed during the course of the project will be addressed through the Contribution Agreement and will normally be owned by the Proponent.

- i) You, the Proponent and any project partners will keep this EOI Stage confidential and will not use, reproduce or distribute it, any portion of it, or any data, information, drawings, or specifications included in or provided with it except as necessary to prepare an FPP as requested by ERA.
- j) Neither ERA nor any of ERA Parties will have any liability whatsoever to you, the Proponent or any project partners, or any of them, in connection with this EOI Stage or any EOI prepared in response to it.
- k) You, the Proponent and any project partners will not make a claim against CCEMC, CCEMC operating as ERA or ERA Parties for any reason whatsoever or howsoever relating to this EOI Stage. You are undertaking the expenditures required to prepare and submit an EOI entirely at your own risk, and you waive any right and release ERA and ERA Parties from any demands, liability, claim or recovery for costs, expenses, or damages incurred whatsoever or howsoever arising out of or relating to this EOI Stage or any EOI prepared in response to it, whether such right or claim arises in contract, negligence or otherwise.
- I) ERA takes no responsibility for the accuracy of the information supplied during this EOI Stage process by ERA or ERA Parties.

1 Introduction

1.1 **ERA**

Emissions Reduction Alberta ("ERA") is a registered tradename of the Climate Change and Emissions Management (CCEMC) Corporation. For more than 10 years, ERA has been investing the revenues from the carbon price paid by large final emitters to accelerate the development and adoption of innovative clean technology solutions. Since inception in 2009, ERA has committed \$611 million to 185 projects worth over \$4 billion that are helping to reduce GHGs, create competitive industries, and lead to new business opportunities in Alberta. These projects are estimated to deliver cumulative GHG reductions of 34.7 million tonnes CO₂e by 2030.

1.2 **Document Scope**

This Call for Expressions of Interest ("Call") is inviting project proposals to be evaluated in a competitive funding process. The process is divided into two stages, the Expression of Interest ("EOI") stage and the Full Project Proposal ("FPP") stage, followed by Contribution Agreement development and execution. These instructions provide information about the EOI stage only. Information specific to the FPP stage will be available when FPP invitations are made, which will address preparation and evaluation of FPPs for applicants who are successful at the EOI stage. An overview of ERA's funding process can be found on the ERA website at https://eralberta.ca/applyfor-funding/.

Note: Applicants who have questions about the EOI process or who wish to discuss their potential submission with ERA are invited to email applications@eralberta.ca. Inquiries will be directed to appropriate personnel within ERA.

2 Call for Proposals Scope

2.1 **Background and Context**

Alberta's industrial sectors are significant contributors to economic activity, prosperity, and GHG emissions in the province. Many of Alberta's industries are emissions intensive and trade exposed, meaning they must compete on international commodity markets while responding to local energy and emissions policies. Technology innovation is widely recognized as a key opportunity for reducing industrial emissions and can be a significant tool to enhance the cost competitiveness of energy-intensive sectors. At the same time, the current COVID-19 pandemic and its associated economic challenges have forced many industries to change the way they do business. Both the pandemic and the global collapse in oil prices have had significant impacts on Alberta's industrial operators. In the short term, projects may be delayed or cancelled to reflect reductions in activity and constraints on capital budgets. In the medium-term, an economic downturn is expected to

reduce the availability of investment capital and limit the ability of businesses to take on new projects and invest in new technologies.

Notwithstanding these challenges, environmental, social, and governance (ESG) considerations are and will continue to be a global priority when the world emerges from the current situation and begins to focus on economic recovery. ERA's ongoing engagement with key stakeholders has revealed both short- and medium-term needs for economic stimulus to support businesses and innovators through this economic downturn. In particular, ERA has identified an opportunity to support "shovel-ready" projects that can attract investment, create and preserve jobs, stimulate the economy, and reduce GHG emissions. Significant opportunities exist to both improve existing operations across the province and to deploy new low-carbon processes and products in a greenfield setting to generate new economic activity. Providing support to such projects will help:

- 1. Avoid the loss of strong economic and environmental opportunities associated with projects threatened by the downturn.
- 2. Accelerate demonstration and implementation of new innovation that can enhance the competitiveness of Alberta's industrial sectors.
- 3. Ensure that investment in new technology continues to support medium- and long-term economic recovery and diversification efforts.

ERA's investments can help Alberta emerge from the current crisis stronger and more resilient by taking strategic action and allocating resources effectively to address three stages of crisis response: REACT (short-term crisis impacts), RESCUE (medium-term response to economic downturn), and RECOVER (long-term risks and opportunities). The funding provided through this Call will help buffer the economic slowdown and support industry stakeholders along the road to recovery.

2.2 **Call Focus and Streams**

ERA's Shovel-Ready Challenge is seeking proposals for innovative projects that support job creation, GHG reductions, and other economic or environmental benefits. For this Call, ERA is specifically targeting opportunities where planning is advanced to the stage such that the proposed scope of work can commence within 60 days of funding approval from ERA. For clarity, projects are not required to have all "shovel-ready" elements finalized at the time of application (regulatory, permitting, offtake agreements, engineering design, equipment RFQ, secured financing, etc.). However, proposals will be assessed based on their overall state of readiness and potential for significant economic activity rapidly following ERA funding approval.

EOIs are invited for technology and innovation projects that will result in significant, quantifiable, and verifiable GHG emissions from across Alberta's GHG intensive sectors and across ERA's strategic focus areas described in our Technology Roadmap document available at https://eralberta.ca/about-era/technology-roadmap/:

- Cleaner Oil and Gas: Transformative technologies and innovation to reduce the GHG footprint of Alberta's fossil fuel supply chain and explore alternative fuel and value-add opportunities that can help sustainably grow and diversify the province's energy economy.
- Low Emitting Electricity System: Technology and innovation to support a reliable, lower carbon electricity system, including reducing the GHG footprint of Alberta's electricity supply mix, increasing the deployment of renewable energy, and enabling a smarter electricity grid that can power Alberta's homes and businesses.
- Food, Fibre, and Bioindustries: Innovation processes and technologies to advance Alberta's bioeconomy, and reduce GHG's, including novel agriculture and forestry practices; bioenergy and biomaterials; waste management and waste energy; and enhanced carbon retention.
- Low-Carbon Industrial Processes and Products: Technologies to deliver GHG reductions through energy efficiency, industrial process innovation, and low-GHG materials and chemicals.

This Call consists of **two funding streams**:

STREAM 1 -- Greenfield Projects

Construction of *new facilities and operations*, as well as major expansions and new production lines at existing facilities.

STREAM 2 -- Brownfield Projects

Improvements to existing facilities and operations, including efficiency upgrades, technology retrofits, process improvements, and fuel switching opportunities.

The following examples represent opportunity areas that may be well aligned with this Call and may fall within one or both streams. Please note that these are provided as examples only; any technology solution that achieves the desired outcomes of this Call in one or more of ERA's focus areas and Call streams described above may be applicable:

- Low-carbon products (materials, chemicals, fuels, secondary products, etc.).
- Novel processes for energy production, processing, petrochemical manufacturing, etc.
- Transformative industrial process improvements.
- Waste-to-value and waste energy utilization.
- Novel low-emitting electricity generation and electricity system advancements.
- Low-carbon industrial heat.
- Digital optimization and automation.
- Carbon capture, utilization, and sequestration (CCUS).
- Methane emissions management (from fossil and biological sources).
- Optimization of agriculture and forestry operations.
- Enhancement of natural GHG sinks.
- Novel fuel-switching opportunities (electrification, hydrogen, renewable fuels, etc.).
- Mobility and transportation solutions (industrial, freight, rail, aviation, etc.).

Note: The size of opportunity and potential for widespread GHG and economic benefits will be taken into consideration during ERA's project selection. ERA reserves the right to consider optimal portfolio balance and strategic mandate alignment when selecting proposals for funding.

2.3 **Project Structure**

Funding made available through this process is provided for completion of projects with well-defined objectives, milestones, deliverables, and timelines. Applicants must clearly delineate the scope of the project for which ERA funding is being requested and the GHG reduction potential associated with that scope of work. Any related work completed concurrently or before the project term but outside the scope of the project may be discussed in the proposal but should be clearly indicated as such.

This call is open to new builds, retrofits, and projects that have been previously initiated but have subsequently stalled due to the current economic situation.

2.4 **Stage of Development**

EOIs are invited for shovel-ready projects at the stages of field pilot, demonstration, or first-of-kind commercial implementation, as described below.

- Field Pilot: At this stage, the solution is ready to be field tested in an operational environment. Projects in this category include scale up of prototypes to representative pilot scale and subsequent in-field testing of pilot units.
- **Demonstration**: At this stage of development, the technology or innovation is approaching the final commercial product and representative systems have been built. Projects in this category include demonstration of near- or fully-commercial scale systems in an operational environment.
- First-of-Kind Implementation: At this stage, the technology is ready for first-of-kind commercial deployment. Projects in this category will involve design, construction, and operation of the technology in its final commercial form, with the intent to operate the technology for its full commercial life.

All projects must include demonstration or implementation of novel technology, processes, or practices. Projects may include late-stage pre-construction work (detailed engineering, FEL 3, etc.), but standalone pre-construction projects are not eligible for funding.

Note: Applicants must demonstrate how the proposed technology or application thereof is an innovative solution for emissions reduction in Alberta. This may include elements such as first-ofkind demonstration of novel technological solutions, innovative adaptation of solutions that have been implemented outside of Alberta or in a different industry, or novel configurations of leading commercial technology for a new operational environment, for example. ERA funding will not be provided to address only a financial barrier or for projects that involve implementation of business-as-usual technology.

2.5 **Project Location**

All projects supported through this Call must demonstrate a clear and justified value proposition for reducing GHG emissions in Alberta. Technology solutions can originate from anywhere globally but must be demonstrated or implemented in Alberta. Projects that involve demonstration or implementation of a technology at multiple Alberta sites are eligible for funding under this Call.

2.6 **Eligible Applicants**

This Call is open to all categories of lead applicant, including technology developers, industry operators, industrial associations, small and medium-sized enterprises (SMEs), municipalities, and others. Applicant organizations and partners are not required to be located in Alberta. However, all projects must include the site host (building owner, facility operator, etc.) as project lead or a significant partner.

Collaboration between multiple organizations is eligible and encouraged for this opportunity. Collaboration between partners can often represent a strong value proposition by demonstrating opportunities for technology validation, commercialization, and sharing of results.

Applicants are encouraged to engage and include Alberta's post-secondary and research institutions in project consortia where appropriate. These partnerships can offer multiple benefits, including the attraction and training of highly skilled workers who can increase Alberta's innovation capacity in the areas of focus for this Call.

There are no restrictions on the number of EOIs that can be submitted by any applicant. However, applicants are encouraged to be selective and bring forward only the most promising and highest quality submissions.

Projects with existing funding approval from ERA are not eligible to apply for further funding through this Call. However, projects in ERA's portfolio meeting the intent and criteria for this Call that have been stalled and need additional funding to proceed should contact ERA to discuss their project.

3 Terms of Funding

3.1 **Total Funds Available**

The total funding available for projects supported through this Call is up to \$150 million Canadian Dollars (\$CAD), which includes up to \$100 million from the Government of Alberta's TIER Fund and up to \$50 million from the Government of Canada's Low Carbon Economy Leadership Fund (LCELF), subject to the discretion of ERA and the availability of funds. A total of up to \$75 million will be allocated for each of Stream 1 and Stream 2 described in Section 2.2 above.

ERA is partnering with the Government of Canada through Environment and Climate Change Canada's Low Carbon Economy Leadership Fund (LCELF). The LCELF was launched in June 2017 and provides \$1.4 billion to provinces and territories to help them deliver on leadership commitments to reduce GHG emissions. Through this partnership, additional dollars may be available to fund projects with strong near-term GHG reduction potential. Projects selected to receive LCELF funds through ERA must demonstrate direct GHG reductions from the project by 2030 and must comply with LCELF Terms and Conditions.

Note: Applicants will be required to indicate which stream they are submitting their proposal to. However, applicants should be aware that their opportunity for success in this Call will not be affected by which stream is chosen. ERA may, at its sole discretion, reassign proposals to a different stream if appropriate. All projects will be evaluated based on alignment with ERA's mandate and the goals of the *Shovel-Ready Challenge*. ERA reserves the right to reallocate ERA funding between Stream 1 and Stream 2.

3.2 Cost Sharing

The minimum funding request to ERA for any one project is \$2 million CAD and the maximum is \$15 million CAD. ERA will only match contributions toward eligible expenses on a one-to-one (1:1) basis. As such, the maximum ERA contribution to a single project will be no more than 50% of the project's eligible expenses. ERA may, at its sole discretion, consider increasing its funding percentage for projects where strong justification is provided.

ERA will only match unencumbered cash contributions for eligible expenses. ERA will not match other federal, provincial, or international government funds provided directly for the proposed project or future revenue associated with the outcomes of the project, including for example: offset/performance credits associated with the project; tax incentives associated with the project, such as Canadian SR&ED credits; and revenue from sale of the project's outputs or products. However, the presence of such revenue sources does not disqualify a project from eligibility and may be noted in the EOI to strengthen the risk-profile of the proposal.

For information about eligible expenses and costs, please refer to the ERA *Eligible Expenses and Cost Instructions* document available at http://eralberta.ca/apply-for-funding.

Note: Applicants must justify the amount of funding requested. ERA may choose at its sole discretion to award project funding for less than the requested amount.

3.3 Contribution Agreement

Successful applicants will enter into a contribution agreement ("Contribution Agreement") with ERA, which will address the project scope, work plan, milestones, deliverables, performance targets, payment schedule, reporting requirements, terms of funding, and other aspects related to ERA's funding contribution.

3.4 **Outcomes Reporting and Knowledge Sharing**

Funding recipients will be required to report on project outcomes, achievements, and lessons learned, including without limitation GHG reductions (actual and projected), job creation, and other environmental, economic, and social benefits.

ERA is committed to encouraging widespread knowledge dissemination from funded projects to maximize the benefit of our participation. In addition to written reports, ERA may require recipients to commit to specific activities such as hosting of knowledge-sharing workshops or participation in ERA lessons-learned activities.

3.5 **Project Term**

The maximum length for projects funded under this Call is **three (3) years** from initiation. Preference will be given for projects that involve significant capital spend in Alberta within 12 months of ERA funding approval.

3.6 **Project Initiation**

Successful applicants must commence work on the proposed project within 60 days of ERA funding approval (engineering design, equipment procurement, construction, etc.). Applicants must clearly demonstrate in their proposal that the project is sufficiently advanced to initiate work within 60 days of funding approval.

ERA will only contribute toward project costs incurred after the date of ERA funding approval. Project-related costs incurred prior to ERA funding approval will be considered out of scope, will not be considered eligible project costs, and are <u>not</u> eligible for fund matching from ERA. Furthermore, no disbursements will be made prior to execution of a contribution agreement with ERA, and any project costs incurred prior to execution of a contribution agreement will not be reimbursed by ERA in the event that an agreement is not executed.

3.7 Trusted Partner Funding Leverage

ERA is working in partnership with other funding organizations in Alberta and across Canada. In some cases, there may be an opportunity for ERA to share applicants' proposals with trusted partners and explore possibilities to leverage funding available from these organizations.

During the submission process, applicants will have the opportunity to give ERA permission to share their submissions with trusted funding partners of ERA, where applicable. Please note that ERA will only share applications for the purposes of exploring further funding and with partners where ERA has a non-disclosure agreement in place. An applicant's preference regarding whether to allow sharing of their application will not influence ERA's assessment of their proposal.

4 Submission Details

4.1 **Submission Deadline**

The deadline for submission of EOIs in response to this Call is Thursday, December 22, 2020 at 5:00 PM Mountain Standard Time (UTC-7h). Late submissions will not be accepted. Applicants are encouraged to complete their submissions well in advance of the deadline. Furthermore, ERA will not accept partial or incomplete submissions. All required content must be uploaded and inserted into ERA's Emissions Reduction Information Management System ("ERIMS") at http://www.eraadmin.ca/ and the submission must be finalized by completing all necessary online steps in order for the EOI to be considered complete. Applicants will receive an automaticallygenerated email confirming receipt of the EOI upon submission.

4.2 **Funding Process Timelines**

The following timelines are anticipated for the full funding process. Note that ERA reserves the right to alter these timelines or cancel the Call.

Action	By Whom	Timing
EOI Submission Deadline	Applicants	December 22, 2020
EOI Shortlist Notification	ERA	February 12, 2021
FPP Submission Deadline	Applicants	March 25, 2021
FPP Oral Presentation	Applicants	Early May, 2021
Funding Decision Notification	ERA	Early June, 2021
Project Commencement	Applicants	June-July, 2021 (within 60 days of
		funding approval)

Submission Content 4.3

EOIs must be submitted using the ERIMS at www.eraadmin.ca. Users must create an account and complete all mandatory forms to submit an application. Each submission must consist of the following:

- Expression of Interest Document: This document will form the basis of ERA's evaluation, and must fully address each of the evaluation criteria.
- Letters of Support (Optional): Letters of support from partnering organizations, funding sources, site hosts, etc., may be uploaded as an appendix to the EOI document. Please combine all letters of support into a single PDF attachment.
- Online Information: In addition to the documents outlined above, applicants are also required to enter general information about the project into the ERIMS online system.

Note: Only the required documents and information described above will be reviewed. Any additional attachments, materials or information appended to the required documents will not be considered during the evaluation.

4.4 **Submission Standards**

A response template will be provided on the ERIMS for the EOI document during the application process. Applicants must use the response template to ensure that all necessary information is provided in a consistent and practical manner. Applications that fail to use the template may not be considered.

The final EOI document must be uploaded in PDF format and may be no more than eight (8) lettersized (8.5" x 11") pages in length, including all text, graphics, and tables. Any extra pages beyond the limit will be removed from the document and will not be considered by the evaluators. The document must use Calibri (or Arial) 11-point font with a minimum of 1.0 line spacing. Margins must be no smaller than 2.54 cm (1"). Only one document may be uploaded per submission.

Note: The page limit does not include optional letters of support.

5 Evaluation

5.1 **Evaluation Criteria**

All EOIs will be evaluated based on the following criteria. Applications for Stream 1 and Stream 2 will be evaluated separately and concurrently. Each of the evaluation criteria below is assigned a relative weighting. Applicants are encouraged to consider these weightings when developing proposals.

Criterion	Description	Weight
Project Opportunity	EOIs will be evaluated on the merits of the proposed opportunity, including the strength of the technology, its credibility, novelty, and competitive advantages relative to existing and nascent practices, as well as alignment of the proposed project with the objectives of the <i>Shovel-Ready Challenge</i> .	30
Implementation Plan and Shovel-Readiness	EOIs will be evaluated on the quality of the project implementation plan, including viability of the work plan, the proposed timelines, the financing plan, the capacity of the project team, and overall shovel-readiness of the project.	30
GHG and Economic Benefits	EOIs will be evaluated on the potential for GHG reductions and economic benefits, including immediate GHG reductions, job creation, investment attraction, and productivity gains from the proposed project, as well as longer-term benefits from future commercialization and market adoption, including widespread GHG reductions, economic growth, and diversification.	40

Note: Proposals will be assessed based on their overall state of readiness, including potential to result in near-term economic activity and GHG benefits. At the FPP stage, a detailed project readiness assessment will be completed by applicants and reviewed by ERA.

5.2 **Screening Criteria**

In addition to the evaluation criteria described above, projects may be screened out based on one or more of the following factors:

- Insufficient GHG reduction potential.
- Project does not involve short-term technology implementation at Alberta site(s).
- Insufficient relevance of the technology or approach to Alberta.
- Project site not in Alberta or site host not included in project consortium.
- Risk of detrimental side effects (environmental, economic, social, etc.).
- Insufficient information provided.
- EOI not written in English.

- EOI not sufficiently readable or comprehensible.
- EOI does not conform to the submission standards.
- Proposed project is inconsistent with the intent or scope of this Call.
- Proposed development is assessed to be business as usual.

5.3 **Next Steps**

Some applicants whose EOIs are well aligned with ERA's mandate, the goals of the Call, and the evaluation criteria will be invited to submit a detailed FPP. Further information regarding FPP submission will be made available at the time FPP invitations are made.

All applicants who submit an EOI through this Call will be notified of ERA's decision when the EOI review process is complete. Applicants whose proposals are not accepted may arrange a short debrief phone call with ERA to receive feedback. Information about arranging a debrief phone call will be provided in the notification letter.

5.4 **Note on Proposal Quality**

This is a highly competitive process, and not all projects will be shortlisted. Success at the EOI stage depends on the quality of the EOI submitted. Only the highest quality EOIs will be invited to submit FPPs. In this regard, "quality" means both the quality of the proposed project relative to the evaluation criteria and the quality of the written proposal (clarity, completeness, etc.).

6 Intellectual Property

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

- Background IP (patents, copyrights, software, etc.) and third-party technology remains with its original owner(s).
- ERA retains rights to project results, including without limitation the technical data, reports, analysis, and discussion.
- Project outcomes, results, and learnings will normally be made publicly available at the conclusion of the project.
- Project technology (based on patent disclosures) developed as a part of the co-funded activities will be owned by the successful applicant and its partners, in accordance with the IP arrangement between project partners. However, successful applicants will be expected to commercialize and/or make the technology available through reasonable commercial terms for the benefit of Alberta.

7 Confidentiality

ERA is subject to the Freedom of Information and Protection of Privacy Act, RSA 2000, c.F-25 in the course of performing duties and functions and exercising powers delegated to it. All data and records in the custody or under the control of ERA that are required in the performance of duties or functions or the exercise of powers delegated to ERA are subject to the Records Management Regulation, Alberta Regulation 244/2001.

Subject to the requirements described above, ERA is governed by a comprehensive Privacy, Data Security and Confidentiality Policy (the "Policy"). The Policy requires that any and all information concerning the business affairs of ERA and its directors, officers, employees and applicants is to be kept private, secure and confidential. Confidential information that is collected, used or disclosed by ERA will be handled in a manner that recognizes both the right of the individual to have his or her confidential information protected and the need of ERA to collect, use and disclose such information for purposes that are reasonable.

To read the entire Policy, visit http://eralberta.ca/privacy.