

CONTRACT REQUEST FORM (CRF)

CEC-94 (Revised 5/11)

CALIFORNIA ENERGY COMMISSION


 New Contract 200-12-006 Amendment to Existing Contract: - - Amendment Number:

Division	Contract Manager:	MS-	Phone	CM Training Date
200 Human Resources and Support Services	Christina Edwards	52	916-657-3825	9/20/12

Contractor's Legal Name	Federal ID Number
The Regents of the University of California	-

Title of Project
Professional Education and Management Development

Term	Start Date	End Date	Amount
New/Original Contract	12 / 1 / 12	6 / 30 / 14	\$ 169,000

Line up the Amendment information as best as possible in the following boxes

Amendment #	End Date (mm/dd/yy)	Amount

Business Meeting Information

Proposed Business Meeting Date	11/14/12	<input checked="" type="checkbox"/> Consent	<input type="checkbox"/> Discussion
Business Meeting Presenter	Christina Edwards	Time Needed: 3-5 minutes	

Agenda Item Subject and Description

Possible approval of a \$175,000 contract with the Regents of the University of California to provide Professional Education and Management Development training for Energy Commission supervisors and managers.

Business Meeting approval is not required for the following types of contracts: *Executive Director's signature is required in all cases.*

- Contracts less than \$10k (*Policy Committee's signature is also required*)
- Amendment for a no-cost time extension. Must be first extension, less than one year and original contract less than \$100k.
- Contracts less than \$25k for Expert Witness in Energy Facility licensing cases and amendments.

Purpose of Contract or Purpose of Amendment, if applicable

The California Energy Commission (CEC) has a diverse portfolio of energy-related regulatory, research, and investment activities managed across different divisions. Its managers are experts in energy policy and other technical aspects of their field and dedicated to the CEC's mission.

Under new leadership since 2011, the CEC is poised to further raise its profile and influence. To meet the challenges ahead, the Energy Commission is seeking an expert partner to design and deliver a management program development program. A successful program will equip our approximately 115 managers and senior managers with the knowledge, tools and skills to hire, train, and lead the best people toward excellent performance.



California Environmental Quality Act (CEQA) Compliance

1. Is Contract considered a "Project" under CEQA?
 Yes: skip to question 2 No: complete the following (PRC 21065 and 14 CCR 15378):
 Explain why contract is not considered a "Project":
 Contract will not cause direct physical change in the environment or a reasonably foreseeable indirect physical change in the environment because it will only be providing classroom training services for Energy Commission staff and will have no significant environmental effect.

2. If contract is considered a "Project" under CEQA:
 a) Contract **IS** exempt. (Draft NOE required)
 Statutory Exemption. List PRC and/or CCR section number: _____
 Categorical Exemption. List CCR section number: _____
 Common Sense Exemption. 14 CCR 15061 (b) (3)
 Explain reason why contract is exempt under the above section: _____

b) Contract **IS NOT** exempt. The Contract Manager needs to consult with the Energy Commission attorney assigned to their division and the Siting Office regarding a possible Initial Study.

Budgets Information								
Contract Amount Funded		Breakdown by FY			Funding Sources			
Funding Source	Amount	FY	Amount	Approved ?	Funding Source	FY	Budget List No.	Amount
ARFVTF	\$		\$	No	Funding Source	12/13	100.100	\$169,000
ECAA	\$		\$	No	Funding Source			\$
State- ERPA	\$169,000	12/13	\$169,000	No	Funding Source			\$
Federal	\$		\$	No	Funding Source			\$
PIER - E	\$		\$	No	Funding Source			\$
PIER - NG	\$		\$	No	Funding Source			\$
Reimbursement	\$		\$	No	Funding Source			\$
RRTF	\$		\$	No	Funding Source			\$
Other:	\$		\$	No	Other:			\$
TOTAL: \$169,000		TOTAL: \$169,000			TOTAL: \$169,000			
Reimbursement					Federal Agreement #:			

Contractor's Administrator/ Officer		Contractor's Project Manager	
Name:	Sandra Stevens, Associate Director	Name:	Sharon Huntsman
Address:	UC Davis Extension 1850 Research Park Drive, Suite 300	Address:	UC Davis Extension 1333 Research Park Drive
City, State, Zip:	Davis, CA 95618	City, State, Zip:	Davis, CA 95618
Phone/ Fax:		Phone/ Fax:	530-757-8824
E-Mail:		E-Mail:	slhuntsman@ucdavis.edu

Contractor Is

Private Company (including non-profits)
 CA State Agency (including UC and CSU)
 Government Entity (i.e. city, county, federal government, air/water/school district, joint power authorities, university from another state)

Selection Process Used

Solicitation Select Type Solicitation #: _____ - - _____ # of Bids: _____ Low Bid? No Yes
 Non Competitive Bid (Attach CEC 96)
 Exempt Other Governmental Entity



Civil Service Considerations	
<input checked="" type="checkbox"/> Not Applicable (Contract is with a CA State Entity or a membership/co-sponsorship) <input type="checkbox"/> Public Resources Code 25620, et seq., authorizes the Commission to contract for the subject work. (PIER) <input type="checkbox"/> The Services Contracted: <input type="checkbox"/> are not available within civil service <input type="checkbox"/> cannot be performed satisfactorily by civil service employees <input type="checkbox"/> are of such a highly specialized or technical nature that the expert knowledge, expertise, and ability are not available through the civil service system. <input type="checkbox"/> The Services are of such an: <input type="checkbox"/> urgent <input type="checkbox"/> temporary, or <input type="checkbox"/> occasional nature that the delay to implement under civil service would frustrate their very purpose. Justification: This contract is exempt because the contract is for work or services of the University of California.	

Payment Method	
<input type="checkbox"/> A. Reimbursement in arrears based on: <input type="checkbox"/> Itemized Monthly <input checked="" type="checkbox"/> Itemized Quarterly <input type="checkbox"/> Flat Rate <input type="checkbox"/> One-time <input type="checkbox"/> B. Advanced Payment <input checked="" type="checkbox"/> C. Other, explain: as services rendered	

Retention	
1. Is contract subject to retention?	<input checked="" type="checkbox"/> No <input type="checkbox"/> Yes
If Yes, Do you plan to release retention prior to contract termination?	<input type="checkbox"/> No <input type="checkbox"/> Yes

Justification of Rates

Disabled Veteran Business Enterprise Program (DVBE)	
1. <input checked="" type="checkbox"/> Not Applicable	
2. <input type="checkbox"/> Meets DVBE Requirements DVBE Amount:\$ _____ DVBE %: _____ <input type="checkbox"/> Contractor is Certified DVBE <input type="checkbox"/> Contractor is Subcontracting with a DVBE: _____	
3. <input type="checkbox"/> Contractor selected through CMAS or MSA with no DVBE participation.	
4. <input type="checkbox"/> Requesting DVBE Exemption (attach CEC 95)	

Is Contractor a certified Small Business (SB), Micro Business (MB) or DVBE?	<input checked="" type="checkbox"/> No <input type="checkbox"/> Yes
If yes, check appropriate box:	<input type="checkbox"/> SB <input type="checkbox"/> MB <input type="checkbox"/> DVBE

Is Contractor subcontracting any services?	<input checked="" type="checkbox"/> No <input type="checkbox"/> Yes
If yes, give company name and identify if they are a Small Business (SB), Micro Business (MB) and/or DVBE:	
	<input type="checkbox"/> No <input type="checkbox"/> SB <input type="checkbox"/> MB <input type="checkbox"/> DVBE
	<input type="checkbox"/> No <input type="checkbox"/> SB <input type="checkbox"/> MB <input type="checkbox"/> DVBE
	<input type="checkbox"/> No <input type="checkbox"/> SB <input type="checkbox"/> MB <input type="checkbox"/> DVBE

Miscellaneous Contract Information	
1. Will there be Work Authorizations?	<input checked="" type="checkbox"/> No <input type="checkbox"/> Yes
2. Is the Contractor providing confidential information?	<input checked="" type="checkbox"/> No <input type="checkbox"/> Yes
3. Is the contractor going to purchase equipment?	<input checked="" type="checkbox"/> No <input type="checkbox"/> Yes
4. Check frequency of progress reports <input type="checkbox"/> Monthly <input type="checkbox"/> Quarterly <input checked="" type="checkbox"/> as classes are given	
5. Will a final report be required?	<input checked="" type="checkbox"/> No <input type="checkbox"/> Yes
6. Is the contract, with amendments, longer than a year? If yes, why? Training could extend past one year.	<input type="checkbox"/> No <input checked="" type="checkbox"/> Yes

CONTRACT REQUEST FORM (CRF)



The following items should be attached to this CRF			
1. Scope of Work, Attach as Exhibit A.	<input type="checkbox"/> N/A	<input checked="" type="checkbox"/> Attached	
2. Budget Detail, Attach as Exhibit B.	<input type="checkbox"/> N/A	<input checked="" type="checkbox"/> Attached	
3. CEC 96, NCB Request	<input checked="" type="checkbox"/> N/A	<input type="checkbox"/> Attached	
4. CEC 30, Survey of Prior Work	<input checked="" type="checkbox"/> N/A	<input type="checkbox"/> Attached	
5. CEC 95, DVBE Exemption Request	<input checked="" type="checkbox"/> N/A	<input type="checkbox"/> Attached	
6. Draft CEQA Notice of Exemption (NOE)	<input checked="" type="checkbox"/> N/A	<input type="checkbox"/> Attached	
7. Resumes	<input checked="" type="checkbox"/> N/A	<input type="checkbox"/> Attached	
8. CEC 105, Questionnaire for Identifying Conflicts		<input checked="" type="checkbox"/> Attached	
9. CEC 106, IT Component Reporting Form		<input type="checkbox"/> Attached	

 Contract Manager Date Office Manager Date Deputy Director Date

The following signatures are only required when contract approval is delegated to the Executive Office and not approved at a Business Meeting. See Business Meeting Information Section.

 Presiding Policy Committee Date Associate Policy Committee Date Executive Director Date

Exhibit A
SCOPE OF WORK

MANAGEMENT EXCELLENCE ACADEMY

BACKGROUND/PROBLEM STATEMENT:

The California Energy Commission (Energy Commission) has a diverse portfolio of energy-related regulatory, research, and investment activities managed across five different divisions. Its managers are experts in energy policy and other technical aspects of their field and dedicated to the Energy Commission's mission.

Under new leadership since 2011, the Energy Commission is poised to further raise its profile and influence. To meet the challenges ahead, the Energy Commission is seeking an expert partner to design and deliver a management development program. A successful program will equip its approximately 115 managers and supervisors with the knowledge, tools and skills to hire, train and lead the best people toward excellent performance.

The Energy Commission has done an initial assessment of what management competencies should be included in this program:

High Priority Competencies	Other Desirable Competencies
Supervision/Day to Day Management Basic/Advanced Communication Skills Motivation of Others Meeting timelines: estimating, forecasting Delegation and tracking Critical thinking Negotiation and influence Team building Hiring the best employees Quality work products Customer service	Organizational development planning Interpersonal communication Problem solving and decision making Strategic thinking Organizational awareness/vision Ethics/integrity Mentoring

The high-priority competencies are intended to jump-start improvements in day to day performance, however this program should also help build Energy Commission's managers of the future, so it must address the long-term, strategic and organizational management listed under "other desired competencies."

Throughout the program, the Energy Commission would like to emphasize dissemination of best practices and management tools, e.g. dashboards, balanced scorecards, and other performance enhancement methods, that will, over time, make management excellence the norm for the Energy Commission.

APPROACH TO SCOPE OF WORK:

UC Davis Extension (UCDE or Contractor) has considerable experience developing management programs tailored to meet an organization's unique needs. They specialize in assessing the organizational needs, diagnosing issues, and designing programs to improve organizational performance. UCDE has an extensive catalog of courses to address the competencies the Energy Commission has already identified, and this extensive list may need to be further prioritized in order to maximize learning in a five- to seven-day program.

Course Information

Training courses will be taught during regular business hours, typically from 9:00 AM to 4:00 PM, at the UC Davis Extension Sutter Galleria campus (2901 K Street, Sacramento). Each class will train up to 30 participants. UCDE will provide training participants with all relevant training material. Training will be delivered by instructor/facilitators considered experts in the topic areas. The Energy Commission Agreement Manager (CAM) and UCDE will mutually agree on the specific instructors/facilitators. The CAM and UCDE will also mutually agree on the specific dates for each task and training session, depending on scheduling of the instructor/facilitators and Energy Commission staff receiving training.

GOALS OF THE AGREEMENT

A pilot training program will be developed and deployed to determine:

- The effectiveness of the training
- The desired results/outcomes, and revisions as needed with consultation from the Energy Commission.

As a result, this contract will begin with a brief design phase to test and refine these competencies into a coherent, engaging program. Specifically, UCDE will consult with the Energy Commission Director and Deputy Directors to determine which competencies are the *highest priority for immediate management development* and design the pilot phase to support that prioritization. As part of the design of this program, the Energy Commission may consider a management development sequence (e.g. Management Excellence 101 and 102). The first program would meet immediate performance enhancement needs, while the second would build and expand on the initial program and address more strategic organizational leadership competencies.

TASK 1- AGREEMENT MANAGEMENT

Task 1.1 Kick-off Meeting

UCDE will meet with CAM and administrative staff to kick off the contract, discuss scope of work, deliverables, schedule, budget and other administrative requirements related to the contract. The goal of this task is to establish the lines of communication and procedures for implementing this Agreement.

The Contractor shall:

- Attend a “kick-off” meeting with the CAM, the Contracts Officer, and a representative of the Accounting Office. The meeting will be held in Sacramento, CA at the Energy Commission. The CAM will designate the specific location. The Contractor shall include their Project Manager, Contracts Administrator, Accounting Officer, and others designated by the CAM in this meeting. The administrative and technical aspects of this Agreement will be discussed at the meeting.
- If necessary, prepare an updated Schedule of Deliverables based on the decisions made in the kick-off meeting.

The CAM shall:

- Arrange the meeting including scheduling the date and time.
- Provide an agenda to all potential meeting participants prior to the kick-off meeting.

Deliverables:

- An Updated Schedule of Deliverables (if applicable)

Task 1.2 Invoices

The Contractor shall:

- Prepare invoices for all reimbursable expenses incurred performing work under this Agreement in compliance with the Exhibit B of the Terms and Conditions of the Agreement. Invoices shall be submitted quarterly. Invoices must be submitted to the Energy Commission’s Accounting Office.

Deliverables:

- Invoices

Task 1.3 Final Report

The goal of this task is to prepare a comprehensive written Final Report that describes the original purpose, approach, results and conclusions of the work completed under this Agreement. The Final Report shall be prepared in language easily understood by the public or layperson with a limited technical background.

The Final Report must be completed before the termination date of the Agreement in accordance with the Schedule of Deliverables.

The Final Report shall be a public document. If the Contractor has obtained confidential status from the Energy Commission and will be preparing both a public and a confidential version of the Final Report, the Contractor shall perform the following subtasks for both the public and confidential versions of the Final Report.

Deliverables:

- Draft Final Report
- Final Report

Task 2: Design

The goal of this task is for UCDE to meet with Deputy Directors, draft a program outline, and conduct follow-up interviews to finalize the program. The anticipated completion date is the end of February 2013. If the task cannot be completed by then, the CAM and UCDE may agree on a later completion date.

The Contractor shall:

- Meet with the Deputy Directors to gain their insight on the content of the Management Excellence Program (e.g. feedback on priority competencies; overall goals for the program and desired shifts in culture; incorporation of case studies, best practices/tools for managers at the Energy Commission, such as dashboards, performance management, etc.), and how to introduce and gain support for this program (messaging/timing to introduce the program, on-boarding/ orientation of new managers, how to create a community of managers).
- Develop a draft Management Excellence Program outline;
- Test the draft program in follow-up, one-on-one interviews with Energy Commission's Deputy Directors;
- Create a final proposed program outline, including program topics, sequence, instructors, and plan for evaluation.

Deliverables:

- Draft Management Excellence Program Outline that includes program topics, sequence, instructors, and plan for evaluation.
- Final Management Excellence Program Outline that includes program topics, sequence, instructors, and plan for evaluation.

Task 3: Pilot Phase - Management Excellence Program

The goal of this task is for UCDE to provide a five to seven day long training class for the pilot program. At the end of this task, UCDE will use the information to refine and enhance the program for Task 4. The anticipated completion date is the end of March 2013. If the task cannot be completed by then, the CAM and UCDE may agree on a later completion date.

The Contractor Shall:

- Provide a five to seven day training class for the pilot program. The exact curriculum will be determined through the design phase (Task 2)
- Evaluate each class as well as the overall program upon its completion to assess whether its goals have been attained and where adjustments should be made.

Outcome:

- A five to seven day training class for up to 30 Energy Commission managers and supervisors in the pilot training program. At the end of this task, UCDE will use the information to refine and enhance the program for Task 4.

Deliverables:

- Pilot Training Program Refinement and Enhancement Report.

Task 4: Management Excellence Program II, III, and IV

The goal of this task is for UCDE to use the final information from the pilot phase and offer the revised and enhanced program to the remaining managers and supervisors. UCDE will

continue to evaluate and improve the program in consultation with the CAM and Energy Commission management. The anticipated completion date is the end of December 2013. If the task cannot be completed by then, the CAM and UCDE may agree on a later completion date.

Outcome:

UCDE will train up to 115 Energy Commission managers and supervisors. UCDE will provide ongoing assessment of the training objectives and revise the course curriculum as needed.

The Contractor Shall:

- Consult with the CAM on the development and tailoring of classes;
- Develop and deliver course materials and instruction for all classes;
- Coordinate all classroom training and coaching logistics and scheduling; and
- Evaluate each class, as well as the overall program, and use findings to enhance each subsequent offering.

Energy Commission's Responsibilities

- Energy Commission's Executive Director and Deputy Directors will meet with Contractor's instructor(s) to tailor classes to Energy Commission's unique culture and specific development needs;
- Energy Commission will identify participants for the program;
- At the end of each training session, the Energy Commission will evaluate how well each class and the overall program met Energy Commission's needs and program goals, and provide feedback to Contractor.

Deliverables:

- Final Report on the overall evaluation of the class and program. (See task 1.3)

STANDARD AGREEMENT

STD. 213 (NEW 02/98)

AGREEMENT NUMBER 200-12-006
REGISTRATION NUMBER

1. This Agreement is entered into between the State Agency and the Contractor named below

STATE AGENCY'S NAME
State Energy Resources Conservation and Development Commission (Energy Commission)

CONTRACTOR'S NAME
The Regents of the University of California, Davis
2. The term of this Agreement is: December 1, 2012 through June 30, 2014. The effective date of this Agreement is either the start date or the approval date by the Dept. of General Services, whichever is later. No work shall commence until the effective date.
3. The maximum amount of this Agreement is: \$ 169,000
4. The parties agree to comply with the terms and conditions of the following exhibits which are by this reference made a part of the Agreement:

Exhibit A – Scope of Work	5	Page(s)
Exhibit B – Budget Detail and Payment Provision	4	Page(s)
Exhibit B – Attachments	9	Page(s)
Exhibit C – General Terms and Conditions*	*GIA 610	
Exhibit D – Special Terms and Conditions	3	Page(s)
Exhibit E – Additional Provisions	4	Page(s)
Exhibit E - Attachment	1	Page(s)
Exhibit F – Contact Persons	1	Page(s)
Exhibit G – Intellectual Property	5	Page(s)
Exhibit H – Definitions	3	Page(s)

*View at <http://www.ols.dgs.ca.gov/Standard%20Language/default.htm>.

IN WITNESS WHEREOF, this Agreement has been executed by the parties hereto.

CONTRACTOR		CALIFORNIA Department of General Services Use Only
CONTRACTOR'S NAME (If other than an individual, state whether a corporation, partnership, etc.) The Regents of the University of California on behalf of the Davis campus		
BY (Authorized Signature) —	DATE SIGNED)	
PRINTED NAME AND TITLE OF PERSON SIGNING Sandra Stevens, Associate Director		
ADDRESS 1850 Research Park Dr, Ste. 300, Davis CA 95618		
STATE OF CALIFORNIA		
AGENCY NAME State Energy Resources Conservation and Development Commission		
BY (Authorized Signature) —	DATE SIGNED	
PRINTED NAME AND TITLE OF PERSON SIGNING Rachel L. Grant Kiley, Contracts Grants and Loans Office Manager		
ADDRESS 1516 Ninth Street, Sacramento, CA 95814		