

CONTRACT REQUEST FORM (CRF)

CEC-94 (Revised 10/2015)

CALIFORNIA ENERGY COMMISSION

A) New Agreement 300-15-009 (To be completed by CGL Office)

B) Division	Agreement Manager:	MS-	Phone
ERDD	Nicholas Blair	51	916-445-5377

C) Contractor's Legal Name	Federal ID Number
Navigant Consulting, Inc.	36-4094854

D) Title of Project
Connecting Emerging Energy Technologies and Strategies to Market Needs and Opportunities

E) Term and Amount	Start Date	End Date	Amount
	6/13/2016	3/31/2021	\$ 6,937,889

F) Business Meeting Information			
<input checked="" type="checkbox"/> Operational agreement (see CAM Manual for list) to be approved by Executive Director			
<input type="checkbox"/> ARFVTP agreements under \$75K delegated to Executive Director.			
Proposed Business Meeting Date	4/13/2016	<input type="checkbox"/> Consent	<input checked="" type="checkbox"/> Discussion
Business Meeting Presenter	Nicholas Blair	Time Needed:	5 minutes
Please select one list serve. EPIC (Electric Program Investment Charge)			

Agenda Item Subject and Description
Proposed resolution approving Agreement 300-15-009 with Navigant Consulting, Inc. for a \$6,937,889 contract to conduct market analyses and provide commercialization assistance that will increase the market impact of energy technologies funded through the Electric Program Investment Charge (EPIC). Activities will include identifying key customer pain points and proving tech-to-market guidance for select EPIC technologies.

G) California Environmental Quality Act (CEQA) Compliance
1. Is Agreement considered a "Project" under CEQA? <input checked="" type="checkbox"/> Yes (skip to question 2) <input type="checkbox"/> No (complete the following (PRC 21065 and 14 CCR 15378)): Explain why Agreement is not considered a "Project": Agreement will not cause direct physical change in the environment or a reasonably foreseeable indirect physical change in the environment because
2. If Agreement is considered a "Project" under CEQA: <input checked="" type="checkbox"/> a) Agreement IS exempt. (Attach draft NOE) <input type="checkbox"/> Statutory Exemption. List PRC and/or CCR section number: _____ <input checked="" type="checkbox"/> Categorical Exemption. List CCR section number: <u>Cal. Code Regs., tit 14, § 15306</u> <input type="checkbox"/> Common Sense Exemption. 14 CCR 15061 (b) (3) Explain reason why Agreement is exempt under the above section: Contractor will finalize and implement the Energy Innovation Market Acceleration Plan to facilitate the commercial success and market adoption of technologies, strategies, and other innovations funded through the EPIC Program. Activities include analyzing current and future projects under the EPIC program, collecting and analyzing market research data by conducting surveys and receiving feedback from stakeholders, and developing tools and resources to accelerate commercialization, such as funding opportunities and access to market experts. Therefore, this project is exempt because it consists of basic data collection and research that does not result in a serious or major disturbance to an environmental resource.
<input type="checkbox"/> b) Agreement IS NOT exempt. (Consult with the legal office to determine next steps.) Check all that apply <input type="checkbox"/> Initial Study <input type="checkbox"/> Environmental Impact Report <input type="checkbox"/> Negative Declaration <input type="checkbox"/> Statement of Overriding Considerations <input type="checkbox"/> Mitigated Negative Declaration

H) List all subcontractors (major and minor) and equipment vendors: (attach additional sheets as necessary)

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Legal Company Name:	Budget	SB	MB	DVBE
Ewald & Wasserman Research Company	\$ 308,956	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input type="checkbox"/>
ConSol	\$ 400,368	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
SkipsoLabs	\$ 540,000	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
Tierra Resource Consultants, LLC	\$ 225,025	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input type="checkbox"/>
iCatalysts	\$ 343,575	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input type="checkbox"/>
Greg D. Ander LLC	\$ 144,900	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
Redhorse Corporation	\$ 354,932	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input checked="" type="checkbox"/>
	\$	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
	\$	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>

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I) List all key partners: (attach additional sheets as necessary)
Legal Company Name:

J) Budget Information			
Funding Source	Funding Year of Appropriation	Budget List No.	Amount
EPIC	14-15	301.001B	\$3,328,211
EPIC	15-16	301.001C	\$3,609,678
			\$
			\$
			\$
			\$
R&D Program Area:	EDMFO: EDMF	TOTAL:	\$6,937,889
Explanation for "Other" selection			
Reimbursement Contract #:		Federal Agreement #:	

K) Contractor's Administrator/ Officer				Contractor's Project Manager			
Name:	Karin Corfee			Name:	Karin Corfee		
Address:	1 Market Ste 1200			Address:	1 Market Ste 1200		
City, State, Zip:	San Francisco, CA 94105-1596			City, State, Zip:	San Francisco, CA 94105-1596		
Phone:	415-356-7178 /	Fax:	- -	Phone:	415-356-7178 /	Fax:	- -
E-Mail:	karin.corfee@navigant.com			E-Mail:	karin.corfee@navigant.com		

L) Selection Process Used (For amendments, address amendment exemption or NCB, do not identify solicitation type of original agreement.)							
<input checked="" type="checkbox"/>	Solicitation	RFP	Solicitation #:	RFP-15-304	# of Bids:	4	Low Bid? <input checked="" type="checkbox"/> No <input type="checkbox"/> Yes
<input type="checkbox"/>	Non Competitive Bid (Attach CEC 96)						
<input type="checkbox"/>	Exempt Select Exemption (see instructions)						

M) Contractor Entity Type	
<input checked="" type="checkbox"/>	Private Company (including non-profits)
<input type="checkbox"/>	CA State Agency (including UC and CSU)
<input type="checkbox"/>	Government Entity (i.e. city, county, federal government, air/water/school district, joint power authorities, university from another state)

N) 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

O) Civil Service Considerations
<input type="checkbox"/> Not Applicable (Agreement 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 checked="" 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 checked="" 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 checked="" type="checkbox"/> The Services are of such an:
<input type="checkbox"/> urgent
<input checked="" type="checkbox"/> temporary, or
<input checked="" type="checkbox"/> occasional nature
that the delay to implement under civil service would frustrate their very purpose.

Justification:

The work performed under this contract requires highly specialized knowledge and technical expertise of market and economic factors necessary to: identify market needs, develop economic modeling for manufacturing and business growth, and develop path-to-market strategies for EPIC technologies. These highly specialized tasks will be performed temporarily (usually a few months), before moving onto other highly specialized tasks that will require different knowledge and expertise of market and economic factors, a fast transition period, and immediate availability



of resources from the contractor.

P) Payment Method

- A. Reimbursement in arrears based on:
 - Itemized Monthly
 - Itemized Quarterly
 - Flat Rate
 - One-time
- B. Advanced Payment
- C. Other, explain:

Q) Retention

- 1. Is Agreement subject to retention? No Yes
- If Yes, Will retention be released prior to Agreement termination? No Yes

R) Justification of Rates

The rates used for personnel to be used in this agreement are reasonable and comparable to those provided by other private consulting firms that also bid on the solicitation for this project.

S) Disabled Veteran Business Enterprise Program (DVBE)

- 1. Exempt (Interagency/Other Government Entity)
- 2. Meets DVBE Requirements DVBE Amount:\$ 354,932.00 DVBE %: 5
 - Contractor is Certified DVBE
 - Contractor is Subcontracting with a DVBE: Redhorse Corporation
- 3. Contractor selected through CMAS or MSA with no DVBE participation.
- 4. Requesting DVBE Exemption (attach CEC 95)

T) Miscellaneous Contract Information

- 1. Will there be Work Authorizations? No Yes
- 2. Is the Contractor providing confidential information? No Yes
- 3. Is the Contractor going to purchase equipment? No Yes
- 4. Check frequency of progress reports
 - Monthly
 - Quarterly
 - _____
- 5. Will a final report be required? No Yes
- 6. Is the agreement, with amendments, longer than a year? If yes, why? No Yes

The Department of General Services has agreed to give the Commission blanket authority to execute multi-year contracts to support the Commission's RD&D Programs. This stems from the fact that RD&D projects do not neatly fit in a short timeframe and allowing longer timeframes supports projects (1) of greater complexity and (2) moving from testing to commercialization, both of which provide greater benefits to Californians.

The proposed contract likewise needs a longer duration to fully realize the benefits of the proposed work. The contractor will inform future research and development funding decisions for the EPIC Program with market analyses of current emerging energy technologies. Continuity through these analyses is critical to determine best options and can only be accomplished with a longer term contract since Energy Commission staff will be implementing work authorization tasks throughout this contract meet the most present and crucial needs faced by the EPIC Program.

U) The following items should be attached to this CRF (as applicable)

- | | | |
|---|---|--|
| 1. Exhibit A, Scope of Work | <input type="checkbox"/> N/A | <input checked="" type="checkbox"/> Attached |
| 2. Exhibit B, Budget Detail | <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 type="checkbox"/> N/A | <input checked="" type="checkbox"/> Attached |
| 5. CEC 95, DVBE Exemption Request | <input checked="" type="checkbox"/> N/A | <input type="checkbox"/> Attached |
| 6. CEQA Documentation | <input type="checkbox"/> N/A | <input checked="" type="checkbox"/> Attached |
| 7. Resumes | <input type="checkbox"/> N/A | <input checked="" type="checkbox"/> Attached |
| 8. CEC 105, Questionnaire for Identifying Conflicts | <input type="checkbox"/> N/A | <input checked="" type="checkbox"/> Attached |

Exhibit A
SCOPE OF WORK

TASK LIST

Task #	Task Name
1	Agreement Management
2	Energy Innovation Market Acceleration Plan (MAP)
3	Conduct Activities Identified in the Energy Innovation MAP
4	Provide Market Expertise to Energy Commission
5	Evaluate Contract Benefits

ACRONYMS/GLOSSARY

Specific acronyms and terms used throughout this scope of work are defined as follows:

Word/Term	Definition
CAM	Commission Agreement Manager, the person designated by the Energy Commission to oversee the performance of an agreement resulting from this contract and to serve as the main point of contact for the Contractor
CAO	Commission Agreement Officer
Contractor	Recipient who will perform the tasks specified in this Scope of Work under the direction of the Energy Commission's Agreement Manager (CAM).
CPUC	California Public Utilities Commission
DGS	Department of General Services
DVBE	Disabled Veteran Business Enterprise
EPIC	Electric Program Investment Charge, the source of funding for the project awarded under this contract
Energy Commission	California Energy Commission
IOU	Investor-Owned Utility, including Pacific Gas and Electric Co., San Diego Gas and Electric Co., and Southern California Edison Co.
MAP	Market Acceleration Plan, the deliverable from task #2, that will be used as a strategic plan for the overall project
Project Manager	The person designated by the Contractor to oversee the project and to serve as the main point of contact for the Energy Commission
Project Partner	An entity or individual that contributes financially or otherwise to the project (e.g., match funding, provision of a demonstration site), and does not receive Energy Commission funds
WA	Work Authorization

BACKGROUND/PROBLEM STATEMENT

Clean energy entrepreneurs and startup companies face a number of obstacles to successfully commercialize their promising innovations. Chief among these is the need to raise capital to further develop and scale-up their technologies. Investors often need to see a viable path to commercialization before they are willing or ready to make a financial commitment. In addition to assurance that the technology is feasible from a technical standpoint, they need to know that it has an early winnable market and commercial potential, and that it can be implemented at scale. Many researchers and entrepreneurs lack viable commercialization strategies; business expertise, experience, and connections; and an understanding of the needs of potential

customers. Additionally, it is critical that the Commission access and utilize market intelligence in its project selection and management. It is essential that the Energy Commission target funding on technologies that have a high likelihood of success in the market. A third party perspective on the potential success of Electric Program Investment Charge (EPIC) funded technologies will provide key insights into how the EPIC program has mobilized the commercialization of clean energy technologies, and how future funding decisions can continue this trend. Therefore, qualified expertise on market factors will provide the best information for future funding decisions.

RATEPAYER BENEFITS, TECHNOLOGICAL ADVANCEMENTS, AND BREAKTHROUGHS

California Public Resources Code Section 25711.5(a) requires EPIC-funded projects to:

- Benefit electricity ratepayers; and
- Lead to technological advancement and breakthroughs to overcome the barriers that prevent the achievement of the state's statutory energy goals.

The California Public Utilities Commission (CPUC) defines "ratepayer benefits" as greater reliability, lower costs, and increased safety.¹ The CPUC has also adopted the following guiding principles as complements to the key principle of electricity ratepayer benefits: societal benefits; greenhouse gas emissions mitigation and adaptation in the electricity sector at the lowest possible cost; the loading order; low-emission vehicles/transportation; economic development; and efficient use of ratepayer monies.²

The ratepayer benefits of emerging energy technologies and strategies are fully realized when successfully adopted in the market. This solicitation will ensure there is a realistic and promising path-to-market for technologies and strategies that meet the benefit metrics listed above. Furthermore, this solicitation will help bridge information and communication gaps between researchers and entrepreneurs of clean energy technologies and financial institutions capable of commercializing energy innovations.

The Contractor must describe how the EPIC funded project will: (1) benefit California Investor-Owned Utility (IOU) ratepayers by increasing reliability, lowering costs, and/or increasing safety; and (2) lead to technological advancement and breakthroughs to overcome barriers to achieving the state's statutory energy goals. The Contractor may also discuss any benefits related to the EPIC guiding principles.

¹ CPUC "Phase 2" Decision 12-05-037 at page 19,
http://docs.cpuc.ca.gov/PublishedDocs/WORD_PDF/FINAL_DECISION/167664.PDF.

² *Id.* at pp. 19-20.

GOALS AND OBJECTIVES OF THE CONTRACT

The goal of this Contract is to facilitate the commercial success and market adoption of technologies, strategies and other innovations funded through the EPIC Program. The objectives of this Contract are the following:

- Conduct independent analysis on the market viability of current and future EPIC investments and projects.
- Evaluate market innovations and other approaches that can create market pull for emerging energy technologies and strategies.
- Provide market intelligence on the commercialization status and market performance of technologies and companies funded through the EPIC Program.
- Develop tools and resources that can be deployed statewide to accelerate the commercialization of emerging energy technologies and innovations that benefit California IOU electric ratepayers.

The Contractor will perform the tasks specified in this Scope of Work under the direction of the Energy Commission's Agreement Manager (CAM). The CAM will oversee the management and administration of the contract. The resulting contract will include defined tasks. Work Authorizations (WA) will be used on an as-needed basis. The specific activities and the degree of effort for each activity may vary. Work Authorizations will depend on the Energy Commission's demand for service as determined by the CAM.

FORMAT/REPORTING REQUIREMENTS

Deliverables/Reports

When creating reports, the Contractor shall use and follow, unless otherwise instructed in writing by the Commission Contract Manager (CCM), the latest version of the Consultant Reports Style Manual published on the Energy Commission's web site:

http://www.energy.ca.gov/contracts/consultant_reports/index.html

Each final deliverable shall be delivered as one original, reproducible, 8 ½" by 11", camera-ready master in black ink. Illustrations and graphs shall be sized to fit an 8 ½" by 11" page and readable if printed in black and white.

Electronic File Format

The Contractor shall deliver an electronic copy (CD ROM or memory stick or as otherwise specified by the CCM) of the full text in a compatible version of Microsoft Word (.doc).

The following describes the accepted formats of electronic data and documents provided to the Energy Commission as contract deliverables and establishes the computer platforms, operating systems and software versions that will be required to review and approve all software deliverables.

- Data sets shall be in Microsoft (MS) Access or MS Excel file format.
- PC-based text documents shall be in MS Word file format.
- Documents intended for public distribution shall be in PDF file format, with the native file format provided as well.
- Project management documents shall be in MS Project or MS Excel file format.

Software Application Development

If this scope of work includes any software application development, including but not limited to databases, websites, models, or modeling tools, Contractor shall utilize the following standard Application Architecture components in compatible versions:

- Microsoft ASP.NET framework (version 3.5 and up) Recommend 4.0
- Microsoft Internet Information Services (IIS), (version 6 and up) Recommend 7.5
- Visual Studio.NET (version 2008 and up) Recommend 2010
- C# Programming Language with Presentation (UI), Business Object and Data Layers
- SQL (Structured Query Language)
- Microsoft SQL Server 2008, Stored Procedures Recommend 2008 R2
- Microsoft SQL Reporting Services Recommend 2008 R2
- XML (external interfaces)

Any exceptions to the Software Application Development requirements above must be approved in writing by the Energy Commission Information Technology Services Branch.

TASK 1- CONTRACT MANAGEMENT

The Contractor shall manage a team capable of undertaking all work assignments identified in this Scope of Work. The CAM will prepare and issue written Work Authorizations (WAs) that define the scope of work, the schedule of deliverables, and the project budget. Final assignment of tasks and maximum payment for individual projects will be described in WAs signed by the Contractor and the Commission. Written authorization must be obtained from the Commission before work can begin on any WA.

All project work performed by the Contractor team shall be directed by and coordinated with Energy Commission staff as designated by the CAM. Work performed by the Contractor or its subcontractors beyond the term end date of the contract will not be reimbursed for payment.

Task 1.1 Kick-off Meeting

The goal of this subtask is to establish the lines of communication and procedures for implementing this Contract. The meeting will be held in Sacramento, CA and the CAM will designate the specific location, or via Web-Ex or teleconference. The administrative and technical aspects of this Contract will be discussed at the meeting.

The administrative portion of the meeting will include discussion of the following:

- Terms and conditions of the Contract;
- Administrative deliverables;
- Project meetings and briefings;
- Match fund documentation (if applicable);
- Permit documentation (if applicable);
- Subcontracts; and
- Any other relevant topics.

The technical portion of the meeting will include discussion of the following:

- The CAM's expectations for accomplishing tasks described in the Scope of Work;
- An updated Project Schedule;
- Technical deliverables;
- Progress reports and invoices;
- Final Report;
- Technical Advisory Committee meetings; and
- Any other relevant topics.

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 via Web-Ex or teleconference. 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 Contract will be discussed at the meeting.
- Provide a List of Match Funds, as applicable.
- 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)
- A List of Match Funds (if applicable)

Task 1.2 Invoices

The goal of this subtask is to ensure that invoices contain all required information and are submitted in the appropriate format.

The Contractor shall:

- Prepare monthly invoices for all reimbursable expenses incurred performing work under this Contract in compliance with the Exhibit B of the Terms and Conditions of the Contract and in the format provided by the CAM. In addition, each invoice must document and verify:
 - Energy Commission funds received by California-based entities
 - Energy Commission funds spent in California (if applicable)
 - Match fund expenditures (if applicable)
 - Invoices shall be submitted monthly together with progress reports (task 1.3). Invoices must be submitted to the Energy Commission's Accounting Office.

Deliverables:

- Monthly Invoices

Task 1.3 Monthly Progress Reports

The goal of this task is to periodically verify that satisfactory and continued progress is made towards achieving the objectives of this Contract.

The Contractor shall:

- Prepare progress reports that summarize all Contract activities conducted by the Contractor and any subcontractors for the reporting period, including an assessment of the ability to complete the Contract within the current budget and any anticipated cost overruns. Each progress report is due within 15 calendar days after the end of the reporting period. The CAM will provide the format for the progress reports.

Deliverables:

- Monthly Progress Reports

Task 1.4 Work Authorizations

The goal of this subtask is to develop and manage all technical and budgetary aspects of WAs in accordance with the requirements of this Contract for work to be performed under Task 3 and 4.

The Contractor shall:

- Help prepare WAs in accordance with the contract requirements.
 - The WA format and content shall be specified by the CAM.
 - The WA term end date should be no later than 90 days prior to the termination of the contract. This allows the Contractor time to complete closeout activities for all WAs and to prepare the Final Report.
- Administer WAs.
 - Establish and maintain contractual agreements with entities performing work.
 - Develop project schedules.
 - Manage subcontractor activities in accordance with the contract terms and conditions.
 - Provide oversight and first-level review of reports and documentation, and comment on the content of deliverables.
 - Review and approve all WA invoices.
 - Provide audit and accounting services for all WAs.
 - Immediately report any significant variances affecting performance of WAs and recommend mitigation actions for consideration by the Energy Commission's Work Authorization Manager (WAM) and CAM. Examples of significant variances include the inability to deliver products by key WA dates, unavailability of key personnel that will effect timely submittal of deliverables, and key technical issues that would require change in scope, budget, redirection of the effort, or discontinuation of the project.
 - Coordinate with the CAM to close out completed WAs and remaining unallocated balances.
- Monitor and Track each WA and the Overall Contract
 - Determine the fiscal status of each WA and the overall contract.

- Prevent accumulation of cost overruns.
- Determine if each WA is on schedule.
- Determine whether deliverables have been submitted and accepted.
- Track the start, progress, and closure of each WA.

Deliverables:

- WAs in a format to be provided by the CAM to include the following but not limited to:
 - Project SOW
 - Project Team
 - Project and Deliverables Schedule
 - Project Budget

Task 1.5 Manage Subcontractors

The goal of this task is to ensure quality products, to enforce subcontractor Contract provisions, and in the event of failure of the subcontractor to satisfactorily perform services, recommend solutions to resolve the problem.

The Contractor shall:

- Manage and coordinate subcontractor activities. The Contractor is responsible for the quality of all subcontractor work and the Energy Commission will assign all work to the Contractor. If the Contractor decides to add new subcontractors, they shall 1) comply with the Terms and Conditions of the Contract, and 2) notify the CAM who will follow the Energy Commission’s process for adding or replacing subcontractors.

Task 1.6 Project Meetings and Briefings

The goal of this subtask is to determine whether any modifications must be made to the tasks, products, schedule, or budget. Project meetings provide the opportunity for frank discussions between the Energy Commission and the Contractor. As determined by the CAM, discussions may include project status, challenges, successes, findings, project goals and benefits, recommendations, and final report preparation. Participants will include the CAM and the Contractor, and may include the Commission Agreement Officer (CAO) and any other individuals selected by the CAM to provide support to the Energy Commission.

The Contractor shall:

- Attend or participate in program support and project-related meetings or discussions in person or via WebEx or conference call, as requested by the CAM.
- Respond to e-mails or other written communication requests regarding project management status and issues, as requested by the CAM.
- Prepare meeting notes for each formal meeting that: (1) discusses the progress of the Contract toward achieving its goals and objectives; and (2) includes recommendations and conclusions regarding continued work on the project, as requested by the CAM.
- Submit the meeting notes to the CAM for review and approval.

Deliverables:

- Responses to written requests on project status.

- Meeting notes for each formal meeting.

Task 1.7 Technical Advisory Committee (TAC)

The goal of this subtask is to create an advisory committee for this Contract. The TAC should be composed of diverse professionals. The composition will vary depending on interest, availability, and need. TAC members will serve at the CAM's discretion. The purpose of the TAC is to:

- Provide guidance in project direction. The guidance may include scope and methodologies, timing, and coordination with other projects. The guidance may be based on:
 - Technical area expertise;
 - Knowledge of market applications; or
 - Linkages between the Contract work and other past, present, or future projects (both public and private sectors) that TAC members are aware of in a particular area.
- Review products and provide recommendations for needed product adjustments, refinements, or enhancements.
- Evaluate the tangible benefits of the project to the State of California, and provide recommendations as needed to enhance the benefits.

The TAC shall be composed of qualified professionals with expertise which may span the following types of disciplines:

- Researchers knowledgeable about the project subject matter;
- Members of trades that will apply the results of the project (e.g., designers, engineers, architects, contractors, and trade representatives);
- Product developers relevant to the project;
- U.S. Department of Energy research managers, or experts from other federal or state agencies relevant to the project;
- Utility representatives; and
- Members of relevant technical society committees.

The Contractor shall:

- Prepare a *List of Potential TAC Members* that includes the names, companies, physical and electronic addresses, and phone numbers of potential members. The list will be discussed at the Kick-off meeting, and a schedule for recruiting members and holding the first TAC meeting will be developed.
- Recruit TAC members. Ensure that each individual understands member obligations and the TAC meeting schedule developed in subtask 1.7.
- Prepare a *List of TAC Members* once all TAC members have committed to serving on the TAC.
- Submit *Documentation of TAC Member Commitment* (such as Letters of Acceptance) from each TAC member to the CAM.

Deliverables:

- List of Potential TAC Members
- List of TAC Members
- Documentation of TAC Member Commitment

Subtask 1.8 TAC Meetings

The goal of this subtask is for the TAC to provide strategic guidance for the project by participating in regular meetings, which may be held via teleconference.

The Contractor shall:

- Discuss the TAC meeting schedule with the CAM at the Kick-off meeting. Determine the number and location of meetings (in-person and via teleconference) in consultation with the CAM.
- Prepare a *TAC Meeting Schedule* that will be presented to the TAC members during recruiting. Revise the schedule after the first TAC meeting to incorporate meeting comments.
- Prepare a *TAC Meeting Agenda* and *TAC Meeting Back-up Materials* for each TAC meeting.
- Organize and lead TAC meetings in accordance with the TAC Meeting Schedule. Changes to the schedule must be pre-approved in writing by the CAM.
- Prepare *TAC Meeting Summaries* that include any recommended resolutions of major TAC issues.

Deliverables:

- TAC Meeting Schedule (draft and final)
- TAC Meeting Agendas (draft and final)
- TAC Meeting Back-up Materials
- TAC Meeting Summaries

Task 1.9 Final Report

The goal of this subtask is to prepare a written Final Report that incorporates a comprehensive description of the project and approach, and presents detailed findings and results of the work completed under this Contract. It must also include a summary of all data collected, technology transfer activities performed during the project, and how the data may be accessed. 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 Contract in accordance with the Schedule of Deliverables.

The Final Report shall be a public document. If the Contractor's work on all or part of this project has obtained confidential status from the Energy Commission, then the Contractor must prepare both a public and a confidential version of the Final Report, and the Contractor shall perform the following subtasks for both the public and confidential versions of the Final Report. When creating the Final Report, the Recipient must use a Style Manual provided by the CAM.

Task 1.9.1 Final Report Outline

The Contractor shall:

- Prepare a draft outline of the Final Report.
- Submit the draft outline of the Final Report to the CAM for review and approval. The CAM will provide written comments to the Contractor on the draft outline. The Contractor shall review the comments and discuss any concerns regarding the recommended changes with the CAM.
- Prepare and submit the final outline of the Final Report, incorporating the CAM's comments.

Deliverables:

- Outline of the Final Report (Draft and Final)

Task 1.9.2 Final Report

The Contractor shall:

- Prepare the draft Final Report for this Contract in accordance with the approved final report outline.
- Submit the draft Final Report for review and comment. The CAM will provide written comments to the Contractor. The Contractor shall review the comments and discuss any issues with the recommended changes with the CAM.
- Prepare and submit the Final Report, incorporating CAM comments.

Deliverables:

- Final Report (Draft and Final)

Task 1.10 Final Meeting

The goal of this subtask is to discuss closeout of this Contract and review the project. The meeting will be held in Sacramento, CA and the CAM will designate the specific location, or via Web-Ex or teleconference. The administrative and technical aspects of Contract closeout will be discussed at the meeting.

The Contractor shall:

- Meet with Energy Commission staff prior to the term end-date of this Contract. This meeting will be attended by the Contractor Project Manager and the CAM. The CAM will determine any additional appropriate meeting participants. Present findings, conclusions, and recommended next steps (if any) for the Contract, based on the information included in the Final Report.
- Prepare a written document of meeting agreements and unresolved activities.

- Prepare a schedule for completing the closeout activities for this Contract, based on determinations made during the meeting.
- Provide ALL Draft and Final written deliverables provided under this Contract on a CD-ROM or USB memory stick, organized by the tasks in the Contract.

Deliverables:

- Written documentation of meeting agreements
- Schedule for completing closeout activities
- CD-ROM or USB memory stick containing ALL draft and final written deliverables provided under this Contract, organized by task

Task 1.11 Match Funds (If applicable)

The goal of this subtask is to ensure that the Contractor obtains any match funds planned for this Contract and applies them to the Contract during the Contract term.

While the costs to obtain and document match funds are not reimbursable under this Contract, the Contractor may spend match funds for this task. The Contractor may only spend match funds during the Contract term, either concurrently or prior to the use of Energy Commission funds. Match funds must be identified in writing, and the Contractor must obtain any associated commitments before incurring any costs for which the Contractor will request reimbursement.

The Contractor shall (if applicable):

- If match funds were a part of the Proposal that led to the Energy Commission awarding this Contract, prepare a *Match Funds Status Letter* that documents the match funds committed to this Contract and includes:
 - A list of the match funds that identifies:
 - The amount of cash match funds, their source(s) (including a contact name, address, and telephone number), and the task(s) to which the match funds will be applied.
 - The amount of each in-kind contribution, a description of the contribution type (e.g., property, services), the documented market or book value, the source (including a contact name, address, and telephone number), and the task(s) to which the match funds will be applied. If the in-kind contribution is equipment or other tangible or real property, the Contractor must identify its owner and provide a contact name, address, telephone number, and the address where the property is located.
 - A copy of a letter of commitment from an authorized representative of each source of match funding that the funds or contributions have been secured.
- At the Kick-off meeting, discuss match funds and the impact on the project if they are significantly reduced or not obtained as committed. If applicable, match funds will be included as a line item in the progress reports and will be a topic at project meetings and briefings.
- Provide a *Supplemental Match Funds Notification Letter* to the CAM if receipt of additional match funds is obtained.
- Provide a *Match Funds Reduction Notification Letter* to the CAM if existing match funds are reduced during the course of the contract. Reduction of match funds may trigger a project meeting.

Deliverables (if applicable):

- Match Funds Status Letter
- Supplemental Match Funds Notification Letter (if applicable)
- Match Funds Reduction Notification Letter (if applicable)

Task 1.12 Participation on the Technical Advisory Committee for the SEED Initiative

The goal of this task is for a member from the project team to serve on the Technical Advisory Committee for the SEED Initiative (SEED-TAC). The SEED Initiative, which will be funded under a separate contract resulting from RFP-15-305, will provide small grant funding to energy entrepreneurs and researchers to establish the feasibility of their promising energy technology concepts. The SEED-TAC is expected to meet up to four times per year. See Task 1.6 of *RFP-15-304: Sustainable Energy Entrepreneur Development Initiative* for the roles and responsibilities of the SEED-TAC.

The Contractor shall:

- Meet member obligations and abide by the SEED-TAC meeting schedule

Deliverables:

- Documentation of SEED-TAC Member Commitment

TECHNICAL TASKS

Task 2 Energy Innovation Market Acceleration Plan (MAP)

The goal of this task is to finalize the Energy Innovation Market Acceleration Plan (MAP). The Contractor shall finalize the Energy Innovation MAP based on comments on the draft Energy Innovation MAP submitted in the proposal. The Energy Innovation MAP will describe the activities the Contractor will conduct in Task 3 to support the commercial success of EPIC investments. Examples of activities include the following:

- Conduct independent analyses that identify and articulate customer energy needs and requirements for key California industries and economic sectors in IOU service territories.
- Develop path-to-market strategies for select energy innovations and companies funded through the EPIC program as determined by Energy Commission staff.
- Evaluate innovative financing mechanisms, business models and other strategies that can help overcome market adoption barriers for emerging energy technologies and strategies.
- Develop a structured mechanism whereby the firms and industries in need of clean energy solutions can make those needs, and the associated procurement processes, known to entrepreneurs and their financial partners.
- Develop a statewide platform that connects EPIC recipients and other stakeholders in the energy innovation space to tools, information and resources such as:
 - Public and private funding opportunities.

- Market analysis and trends.
- Specific market opportunities.
- Incubators, accelerators and clusters located in California.
- Energy symposiums and events.

As described in the technical approach, the Energy Innovation MAP must describe at a minimum the following:

- Past and current efforts that are currently being conducted to support the commercial success and market adoption of energy innovations.
- How the activities in the Energy Innovation MAP will leverage these efforts, build on best practices and lessons learned, and fill gaps and needs.
- Methodology to estimate benefits, including benefits to IOU electric ratepayers, of connecting emerging energy technologies and strategies to market needs and opportunities
- Estimated funding amount and timeline for each activity identified in the Energy Innovation MAP.

The Contractor shall:

- Re-submit the draft Energy Innovation MAP previously submitted in the proposal to the Energy Commission for review and comment.
- Meet with the CAM, and others invited by the CAM including TAC members, to discuss finalizing the Energy Innovation MAP. This strategy meeting to discuss the MAP shall take place within ten (10) business days after the Kick-Off Meeting. The meeting will be held either at the Energy Commission or over the internet.
- Finalize the Energy Innovation MAP by incorporating feedback received at the strategy meeting.

Deliverables:

- Draft Energy Innovation MAP.
- Summary of comments received at the strategy meeting.
- Final Energy Innovation MAP.

Task 3 Conduct Activities Identified in the Energy Innovation MAP

The goal of this task is to conduct activities identified in the final Energy Innovation MAP developed in Task 2.

This is a Work Authorization Task and no work shall be undertaken unless authorized by the Energy Commission through a specific written document called a Work Authorization. The CAM for this contract will prepare and issue the written Work Authorizations which define the scope of work, the schedule of deliverables and the project budget.

Upon review of the Draft Innovation MAP, the Energy Commission will identify portions of the MAP that fit the Energy Commission’s needs and the goals of this project. Elements for consideration will include the applicant’s approach to improving the commercial success of EPIC projects by building on existing practices and filling gaps in clean energy adoption, detailing a benefits methodology, and estimating funding and timelines for activities identified in the Draft MAP to be included in the Final MAP. Examples of Work Authorizations could include the following:

- Conduct independent analyses that identify and articulate customer needs and requirements for key California industries and economic sectors in IOU service territories.
- Develop path-to-market strategies for select energy innovations and companies funded through the EPIC program as determined by Energy Commission staff.
- Evaluate innovative financing mechanisms, business models and other strategies that can help overcome market adoption barriers for emerging energy technologies and strategies.
- Develop a structured mechanism whereby the firms and industries in need of clean energy solutions can make those needs, and the associated procurement processes, known to entrepreneurs and their financial partners.
- Develop a statewide platform that connects EPIC recipients and other stakeholders in the energy innovation space to tools, information and resources such as:
 - Public and private funding opportunities.
 - Market analysis and trends.
 - Specific market opportunities.
 - Incubators, accelerators and clusters located in California.
 - Energy symposiums and events.

Deliverables:

- Products as defined in approved Work Authorizations.

Task 4 Provide Market Expertise to Energy Commission

The goal of this task is to provide market and financial expertise to the Energy Commission in the design, development, and implementation of new or enhanced tools and approaches the Energy Commission can incorporate into its program administration to strengthen the market impact of the EPIC Program.

This is a Work Authorization Task and no work shall be undertaken unless authorized by the Energy Commission through a specific written document called a Work Authorization. The CAM for this contract will prepare and issue the written Work Authorizations which define the scope of work, the schedule of deliverables and the project budget.

Examples of work to be completed for this task include:

- Develop and provide tools and training to Energy Commission staff on reviewing commercialization-related deliverables for projects they are managing.
- Develop a structured mechanism that can be utilized in the EPIC Program to evaluate the market readiness and receptiveness to proposed projects.
- Provide a list of market experts that can be called upon to assist Energy Commission staff in evaluating the commercial viability of EPIC. Market experts may be subcontractors and/or advisors to this project and may be invited to serve Technical Advisory Committees members for select EPIC-funded projects to provide market feedback and validation.

- Conduct market intelligence on the commercialization status and performance of EPIC-funded technologies.
- Develop a methodology to estimate how much EPIC investments have mobilized private sector funding.
- Work with Energy Commission staff to explore the feasibility and suitability of using funding mechanisms other than grants - such as pay-for-performance contracts and low-interest loans – to create market pull for emerging energy technologies and strategies.

Deliverables:

- Products as defined in approved Work Authorizations.

Task 5 Evaluate Contract Benefits

The goal of this task is to report the estimated benefits resulting from this contract.

The Contractor shall:

- Complete three Project Benefits Questionnaires that correspond to three main intervals in the Contract: (1) *Kick-off Meeting Benefits Questionnaire*; (2) *Mid-term Benefits Questionnaire*; and (3) *Final Meeting Benefits Questionnaire*. Develop a methodology to estimate the benefits of the final deliverables of this contract to IOU ratepayers as defined in CPUC Decision 13-11-025.³ The Contractor will describe how the final deliverables of this contract will help achieve these ratepayer benefits by achieving the goals and objectives of the Contract
- Incorporate, from MAP, the methodology to estimate benefits, including benefits to IOU electric ratepayers, of connecting emerging energy technologies and strategies to market needs and opportunities into the three Project Benefits Questionnaires.
- Respond to CAM questions regarding responses to the questionnaires.

Deliverables:

- Kick-off Meeting Benefits Questionnaire.
- Mid-term Benefits Questionnaire.
- Final Meeting Benefits Questionnaire.

³ <http://docs.cpuc.ca.gov/PublishedDocs/Published/G000/M081/K773/81773445.PDF>

STATE OF CALIFORNIA

**STATE ENERGY RESOURCES
CONSERVATION AND DEVELOPMENT COMMISSION**

RESOLUTION - RE: NAVIGANT CONSULTING, INC.

RESOLVED, that the State Energy Resources Conservation and Development Commission (Energy Commission) adopts the staff CEQA findings contained in the Agreement or Amendment Request Form (as applicable); and

RESOLVED, that the Energy Commission approves Agreement 300-15-009 from RFP-15-304 with Navigant Consulting, Inc. for a \$6,937,889 contract to conduct market analyses and provide commercialization assistance that will increase the market impact of energy technologies funded through the EPIC. Activities will include identifying customer pain points for key economic sectors in California, conducting market analysis for EPIC-funded projects, including Go-to-Market strategies, cost modeling, and supply chain and manufacturability analysis, and estimating the market potential for critical market segments; and

FURTHER BE IT RESOLVED, that the Executive Director or his/her designee shall execute the same on behalf of the Energy Commission.

CERTIFICATION

The undersigned Secretariat to the Commission does hereby certify that the foregoing is a full, true, and correct copy of a Resolution duly and regularly adopted at a meeting of the California Energy Commission held on April 13, 2016.

AYE: [List of Commissioners]

NAY: [List of Commissioners]

ABSENT: [List of Commissioners]

ABSTAIN: [List of Commissioners]

Cody Goldthrite,
Secretariat

