



**CONTRACT REQUEST FORM (CRF)**



**J) Budget Information**

| Funding Source                                                 | Funding Year of Appropriation | Budget List No.      | Amount    |
|----------------------------------------------------------------|-------------------------------|----------------------|-----------|
| State - ERPA                                                   | 16/17                         |                      | \$100,000 |
| State - ERPA                                                   |                               |                      | \$        |
| Funding Source                                                 |                               |                      | \$        |
| Funding Source                                                 |                               |                      | \$        |
| Funding Source                                                 |                               |                      | \$        |
| R&D Program Area: <input type="checkbox"/> Select Program Area |                               |                      | \$100,000 |
| Explanation for "Other" selection                              |                               |                      |           |
| Reimbursement Contract #:                                      |                               | Federal Agreement #: |           |

|                   |                     |                   |                       |
|-------------------|---------------------|-------------------|-----------------------|
| Name:             | Jamie Brannan       | Name:             | Cori Jackson          |
| Address:          | 633 Pena Drive      | Address:          | 633 Pena Drive        |
| City, State, Zip: | Davis, CA 95618     | City, State, Zip: | Davis, CA 95618       |
| Phone:            | 530-747-3840        | Fax:              | 530-747-3812          |
| Phone:            | 530-747-3843        | Fax:              | 530-747-3812          |
| E-Mail:           | brannan@ucdavis.edu | E-Mail:           | cmjackson@ucdavis.edu |

Solicitation Select Type Solicitation #: \_\_\_\_\_ - - \_\_\_\_\_ # of Bids: \_\_\_\_\_ Low Bid?  No  Yes  
 Non Competitive Bid (Attach CEC 96)  
 Exempt Interagency

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)

No  Yes  
 If yes, check appropriate box:  SB  MB  DVBE

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

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

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 overhead rate identified in this contract is the negotiated rate between the University of California and the Energy Commission. The labor rates charged are in accordance with standard published state rates for these classifications.

- 1.  Exempt (Interagency/Other Government Entity)
- 2.  Meets DVBE Requirements DVBE Amount:\$ 0 DVBE %: \_\_\_\_\_  
 Contractor is Certified DVBE  
 Contractor is Subcontracting with a DVBE: \_\_\_\_\_
- 3.  Contractor selected through CMAS or MSA with no DVBE participation.
- 4.  Requesting DVBE Exemption (attach CEC 95)

- 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  Other...
- 5. Will a final report be required?  No  Yes
- 6. Is the Agreement, with amendments, longer than a year? If yes, why?  
 No  Yes  
 It will take more than one year to complete the requested deliverables

- 1. Exhibit A, Scope of Work  N/A  Attached
- 2. Exhibit B, Budget Detail  N/A  Attached
- 3. CEC 96, NCB Request  N/A  Attached
- 4. CEC 95, DVBE Exemption Request  N/A  Attached
- 5. CEQA Documentation  N/A  Attached
- 6. Resumes  N/A  Attached
- 7. CEC 105, Questionnaire for Identifying Conflicts  Attached

\_\_\_\_\_  
 Agreement Manager                      Date                      Office Manager                      Date                      Deputy Director                      Date

# EXHIBIT A

|                                            |
|--------------------------------------------|
| <b>Project Summary &amp; Scope of Work</b> |
|--------------------------------------------|

## TASK LIST

| Task # | Task Name                                                |
|--------|----------------------------------------------------------|
| 1      | Agreement Management                                     |
| 2      | Consumer Outreach and Education for Title 20             |
| 3      | Industry Stakeholder Outreach and Education for Title 20 |

## ACRONYMS/GLOSSARY

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

| Acronym               | Definition                                |
|-----------------------|-------------------------------------------|
| Appliance Regulations | Title 20 Appliance Efficiency Regulations |
| CAM                   | Commission Agreement Manager              |
| CCT                   | Correlated Color Temperature              |
| CLTC                  | California Lighting Technology Center     |
| Energy Commission     | California Energy Commission              |
| LED                   | Light-emitting diode                      |

## BACKGROUND/PROBLEM STATEMENT

*The purpose of this contract is to provide the California Energy Commission (Energy Commission) lighting-related educational tools, videos, training and information to support the Title 20 Appliance Efficiency Regulations (Appliance Regulations). The California Lighting Technology Center (CLTC) will provide technical expertise and guidance to the Energy Commission on a variety of lighting topics as they relate to the Title 20 Appliance Efficiency Regulations (Appliance Regulations). CLTC expertise will help to improve appliance efficiency and educate consumers and other stakeholders on forthcoming Appliance Regulations. Work will include collaboration with a diverse team of industry, utility, and policy stakeholders, as well as academic advisors, in order to support California Appliance Efficiency Regulations and related activities.*

## GOALS OF THE AGREEMENT

The goals of the Agreement are to improve clarity, content and understanding of the Appliance Regulations through targeted technical support and resource development.

The Energy Commission expects that:

- Consumers and the public will gain a better understanding about lighting and how to make smart lighting choices on light-emitting diode (LED) replacement light bulbs.

## **TASK 1: AGREEMENT MANAGEMENT**

### **Subtask 1.1 Deliverables**

The goal of this subtask is to establish the requirements for submitting agreement deliverables (e.g., reports, summaries, plans, and presentation materials). Unless otherwise specified by the Commission Agreement Manager (CAM), the Contractor must deliver deliverables as required below by the dates listed in the Schedule of Deliverables. Deliverables that require a draft version are indicated by marking “**(draft and final)**” after the deliverable name in the “Deliverables” section of the task/subtask. If “(draft and final)” does not appear after the deliverable name, only a final version of the deliverable is required. With respect to due dates within this Scope of Work, “**days**” means working days.

#### **The Contractor shall:**

##### For deliverables that require a draft version

- Submit all draft deliverables to the CAM for review and comment in accordance with the Schedule of Deliverables and due dates. The CAM will provide written comments to the Contractor on the draft deliverable within 15 days of receipt, unless otherwise specified in the task/subtask for which the deliverable is required.
- Submit the final deliverable to the CAM once agreement has been reached on the draft. The CAM will provide written approval of the final deliverable within 15 days of receipt, unless otherwise specified in the task/subtask for which the deliverable is required.
- If the CAM determines that the final deliverable does not sufficiently incorporate his/her comments, submit the revised deliverable to the CAM within 10 days of notice by the CAM, unless the CAM specifies a longer time period.

##### For deliverables that require a final version only

- Submit the deliverable to the CAM for approval per the Schedule of Deliverables and due dates.
- If the CAM determines that the deliverable requires revision, submit the revised deliverable to the CAM within 10 days of notice by the CAM, unless the CAM specifies a longer time period.

##### For all deliverables

- Submit all data and documents required as deliverables in accordance with the following Instructions for Submitting Electronic Files and Developing Software:

##### **Electronic File Format**

- Submit all data and documents required as deliverables under this Agreement in an electronic file format that is fully editable and compatible with the Energy Commission’s software and Microsoft (MS)-operating computing platforms, or any other format approved by the CAM. Deliver an electronic copy of the full text of any Agreement data and documents in a format specified by the CAM, such as memory stick or CD-ROM.
- The following describes the accepted formats for electronic data and documents provided to the Energy Commission as deliverables under this Agreement, and establishes the software versions that will be required to review and approve all software deliverables:
  - Data sets will be in MS Access or MS Excel file format (Version 2007 or later), or any other format approved by the CAM.
  - Text documents will be in MS Word file format, version 2007 or later.
  - Documents intended for public distribution will be in PDF file format.
  - The Contractor must also provide the native Microsoft file format.
  - Project management documents will be in Microsoft Project file format, version 2007 or later.
- All video files will be submitted in the format and medium specified by the Energy Commission’s Media and Public Communications Office, as directed by the CAM.

- Any exceptions to the Electronic File Format requirements above must be approved in writing by the CAM. The CAM will consult with the Energy Commission's Information Technology Services Branch to determine whether the exceptions are allowable.

### **Subtask 1.2 Kick-off Meeting**

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, Project Manager, and the Commission Agreement Officer. The meeting will be held at the Energy Commission and the Contractor shall include their Project Manager, Contracts Administrator, Accounting Officer, and may include others designated by the CAM in this meeting (some participants may attend by teleconference with pre-approval). The administrative and technical aspects of this Agreement will be discussed at the meeting. Priorities and deadlines will also be discussed with the Contractor.
- Prepare an updated Schedule of Deliverables based on the decisions made in the kick-off meeting if necessary.

#### **The CAM shall:**

- Arrange the meeting, including scheduling the date and time.
- Provide a list of deliverables to be developed for the Appliance Regulations.
- Provide an agenda to all potential meeting participants prior to the kick-off meeting.

#### **Deliverables:**

- Updated Schedule of Deliverables.

### **Subtask 1.3 Invoices**

#### **The Contractor shall:**

- Prepare invoices for all reimbursable expenses incurred performing work under this Agreement in compliance with Exhibits B and C of the Terms and Conditions of the Agreement. Invoices shall be submitted with the same frequency as progress reports (Task 1.5). Invoices must be submitted to the Energy Commission's Accounting Office.

#### **Deliverables:**

- Quarterly Invoices.

### **Subtask 1.4 Manage Subcontractors**

The goal of this task is to ensure quality products, to enforce subcontractor Agreement 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 comply with the Terms and Conditions of the Agreement; and notify the CAM who will follow the Energy Commission's process for adding or replacing subcontractors.

#### **Deliverables:**

- Copy of all executed subcontract agreements.

### **Subtask 1.5 Progress Reports**

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

#### **The Contractor shall:**

- Prepare progress reports which summarize all Agreement activities conducted by the Contractor for the reporting period, including, but not limited to, an assessment of the ability to complete the Agreement within the current budget and any anticipated cost overruns, task-by-task updates, invoices for services, and deliverable production status. Each progress report is due within 15 calendar days after the end of the reporting period.

#### **The CAM shall:**

- Provide the format for the progress reports.

#### **Deliverables:**

- Quarterly Progress Reports.

### **Subtask 1.6 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 format for the Final Report can be found by clicking on "Document Template" at:

[http://www.energy.ca.gov/contracts/consultant\\_reports/index.html](http://www.energy.ca.gov/contracts/consultant_reports/index.html).

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.

#### **The Contractor shall:**

- Prepare the draft Final Report for this Agreement.
- 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's comments.

#### **Deliverables:**

- Draft Final Report and Final Report.

## **TASK 2: CONSUMER OUTREACH AND EDUCATION FOR TITLE 20**

The goal of this task is to increase consumer awareness of the three forthcoming changes to the lighting portion of the Title 20 Appliance Efficiency Regulations (Appliance Regulations) that become effective on January 1, 2018: the 45 lumen per watt “backstop” that will remove most general service incandescent lamps from the California market, state-regulated LED lamps, and state-regulated small diameter directional lamps.

### **The Contractor shall:**

- Develop at least two simple consumer fact sheets, infographics, or other materials written in layman terms to provide information that will assist consumers in choosing a state-regulated LED lamp. The CAM will give final approval for the type of material to be developed. The fact sheets shall cover correlated color temperature (CCT), lamp brightness, dimming, usage of LED lamps in enclosed fixtures, and bulb shape, including retrofit kits, as requested by Energy Commission. Such documents are to be electronic copies, ready for public use and in a format appropriate for the Energy Commission to post online or print in hard copy.
  - Address lifecycle benefits relative to purchasing costs for low income and disadvantaged consumers, particularly those who rent.
- Determine most effective method to distribute deliverables to consumers.
- Prepare at least two YouTube type infomercial videos (video length is not to exceed three minutes) to educate consumers on the LED characteristics and consumer purchasing options, for use and/or online posting by the Energy Commission.
- Create and update a Frequently Asked Questions (FAQ) by consumers for use and online posting by the Energy Commission.

### **Deliverables:**

- At least two fact sheets, infographics or other material containing information on LED CCT, lamp brightness, dimming, usage in enclosed fixtures, and bulb shape.
- Report on most effective method to distribute deliverables to consumers.
- At least two YouTube type infomercial videos.
- Frequently asked questions repository – format TBD for use and online posting.

### **TASK 3: INDUSTRY STAKEHOLDER OUTREACH AND EDUCATION FOR TITLE 20**

The goal of this task is to increase industry stakeholder awareness of the three forthcoming changes to the lighting portion of the Title 20 Appliance Efficiency Regulations (Appliance Regulations) that become effective on January 1, 2018: the 45 lumen per watt “backstop” that will remove most general service incandescent lamps from the California market, state-regulated LED lamps, and state-regulated small diameter directional lamps.

#### **The Contractor shall:**

- Develop, coordinate and host at least one meeting in California with national industry, advocacy, and regulatory groups to develop a uniform, consistent message relative to forthcoming changes in the Appliance Regulations. Contractor will email CAM the suggested list of participants for CAM approval.
- Develop at least one fact sheet, infographic, or other materials to disseminate information for industry stakeholders on forthcoming changes, state energy efficiency programs, measures, codes and regulations as requested by Energy Commission. The CAM will give final approval for the type of material to be developed. Such documents are to be electronic copies, ready for public use and in a format appropriate for the Energy Commission to post online or print in hard copy.
- Develop, coordinate and host at least one meeting or webinar for lighting product manufacturers, sales teams, and other stakeholder groups serving the California lighting market. Program(s) will be designed to educate this stakeholder group on the forthcoming changes to the lighting portion of the Appliance Regulations. Contractor will email CAM the suggested list of participants for CAM approval.
- Collect questions from event participants or others as received and provide written responses.

#### **Deliverables:**

- At least one fact sheet, infographic or other material containing information on the forthcoming lighting portion of the Appliance Regulations.
- Education programs/events for manufacturers and other professionals serving the California lighting market.
  - Event agenda, announcements, training materials/presentations, video of event.
  - Suggested participant lists.
- Database of questions received from each event with responses.

#### **If Third-Party Confidential Information is to be provided by the State:**

- Performance of the Scope of Work is anticipated to involve use of third-party Confidential Information and is subject to the terms of this Agreement; **OR**
- A separate CNDA between the University and third-party is required by the third-party and is incorporated in this Agreement as Exhibit A7.

## EXHIBIT A-1

### SCHEDULE OF DELIVERABLES

List all items that will be delivered to the State under the proposed Scope of Work. Include all reports, including draft reports for State review, and any other deliverables, if requested by the State and agreed to by the Parties.

| Deliverable*                                                                                      | Description                                                                                                                                    | Due Date                                                                               |
|---------------------------------------------------------------------------------------------------|------------------------------------------------------------------------------------------------------------------------------------------------|----------------------------------------------------------------------------------------|
| <b>The following Deliverables are subject to paragraph 18, Copyrights, Section A of Exhibit C</b> |                                                                                                                                                |                                                                                        |
| <b>TASK 1</b>                                                                                     | <b>AGREEMENT MANAGEMENT</b>                                                                                                                    |                                                                                        |
| 1.1                                                                                               | Draft and/or Final deliverables (data or documents) submitted in required file format                                                          | As directed by CAM                                                                     |
| 1.2                                                                                               | Updated Schedule of Deliverables                                                                                                               | 1 week after kick-off meeting                                                          |
| 1.3                                                                                               | Quarterly Invoices submitted with quarterly Progress Report (see 1.5 below)                                                                    | Quarterly, 15th of the month                                                           |
| 1.4                                                                                               | Copy of executed subcontract agreements                                                                                                        | TBD (upon Agreement approval)                                                          |
| 1.5                                                                                               | Quarterly Progress Reports                                                                                                                     | Quarterly, 15th of the month                                                           |
| 1.6                                                                                               | Draft Final Report<br><br>Final Report                                                                                                         | Draft Final Report 30 days prior to Final Report<br><br>Final Report due June 15, 2018 |
| <b>TASK 2</b>                                                                                     | <b>CONSUMER OUTREACH AND EDUCATION FOR TITLE 20</b>                                                                                            |                                                                                        |
|                                                                                                   | At least two fact sheets, infographics or other published documents containing information on LED CCT, brightness, dimming, and shape          | September 22, 2017                                                                     |
|                                                                                                   | Report on most effective method to distribute deliverables to consumers                                                                        | September 22, 2017                                                                     |
|                                                                                                   | At least two YouTube type infomercial videos                                                                                                   | September 22, 2017                                                                     |
|                                                                                                   | Frequently Asked Questions repository                                                                                                          | September 22, 2017                                                                     |
| <b>TASK 3</b>                                                                                     | <b>INDUSTRY STAKEHOLDER OUTREACH AND EDUCATION FOR TITLE 20</b>                                                                                |                                                                                        |
|                                                                                                   | At least one fact sheet, infographic or other material containing information on the forthcoming lighting portion of the Appliance Regulations | September 22, 2017                                                                     |
|                                                                                                   | Education programs/events for industry                                                                                                         | December 15, 2017                                                                      |
|                                                                                                   | Education programs/events for manufacturers and sales teams                                                                                    | December 15, 2017                                                                      |
|                                                                                                   | Database of questions and responses                                                                                                            | March 30, 2018                                                                         |

\* If use of any Deliverable is restricted or is anticipated to contain Preexisting Data or copyrightable works with any restricted use, it will be clearly identified in Exhibit A4, Use of Preexisting Data, Copyrighted Works and Deliverables.

STATE OF CALIFORNIA

STATE ENERGY RESOURCES  
CONSERVATION AND DEVELOPMENT COMMISSION

RESOLUTION - RE: UNIVERSITY OF CALIFORNIA, DAVIS

**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 400-16-003 with the Regents of the University of California on behalf of the Davis campus's California Lighting Technology Center for a \$100,000 contract to increase consumer and industry awareness of forthcoming changes to the lighting portion of the Title 20 Appliance Efficiency Regulations that will go into effect in 2018 in California and 2020 nationwide; 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 March 8, 2017.

AYE: [List of Commissioners]

NAY: [List of Commissioners]

ABSENT: [List of Commissioners]

ABSTAIN: [List of Commissioners]

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Cody Goldthrite,  
Secretariat