



STATE OF CALIFORNIA

CONTRACT AMENDMENT REQUEST FORM (CARF)

CEC-276 (Revised 12/2019)

CALIFORNIA ENERGY COMMISSION

Original Agreement # 300-15-007 Amendment # N/A

Division	Agreement Manager:	MS-	Phone
300 Energy Research Development	Joshua Croft	51	916-445-5309

Recipient's Legal Name	Federal ID #
California Clean Energy Fund dba CalCEF Ventures	77-064000

Revisions: (check all that apply)	Additional Requirements
<input type="checkbox"/> Term Extension New End Date: / /	Include revised schedule and complete items A, B, C, D, & H below.
<input type="checkbox"/> Budget Augmentation Amendment Amount: \$ 0	Include revised budget and complete items A, B, C, D, E, F, & H below.
<input type="checkbox"/> Budget Reallocation	Include revised budget and complete items A, B, C, D, & H below.
<input type="checkbox"/> Scope of Work Revision	Include revised scope of work and complete items A, B, C, D, & H below.
<input type="checkbox"/> Change in Project Location or Demonstration Site	Include revised scope of work and complete items A, B, C, D, G, & H below.
<input type="checkbox"/> DVBE Replacement	Include revised scope of work and complete items A, B, C, D, F & H below.
<input type="checkbox"/> Novation/Name Change of Prime Recipient	Include novation documentation and complete items A, B, D, & H below.
<input type="checkbox"/> Terms and Conditions Modification	Include applicable exhibits with bold/underline/ strikeout and complete items A, B, C, D & H below.

A) Business Meeting Information**Business Meeting approval is not required for the following types of Agreements:**☐ Minor amendments delegated to Executive Director per December 2013 ResolutionProposed Business Meeting Date 1 / 22 / 2020 ☒ Consent ☐ Discussion

Business Meeting Presenter Joshua Croft Time Needed: N/A minutes

Please select one list serve. EPIC (Electric Program Investment Charge)

Agenda Item Subject and Description:

CALIFORNIA CLEAN ENERGY FUND DBA CALCEF VENTURES. Proposed resolution approving changes of recipients of three California Sustainable Energy Entrepreneur Development (CalSEED) small grant awards issued under Agreement 300-15-007. All aspects of each project including the project team, technology under development, Scope of Work, and Terms and Conditions will remain the same. (EPIC funding) Contact: Joshua Croft.

i. Transfer of \$150,000 award for project titled "Enhancing Renewable Fuel Production with CO2 Microbubbles" from University of California, Riverside to OceanForesters.

ii. Transfer of \$150,000 award for project titled "Graphite-coated High Energy Density Powder" from University of California, Riverside to SiLi-ion, Inc.

iii. Transfer of \$150,000 award for project titled "Low-Cost Portable Smart Wi-Fi Programmable Learning Bio-Mimicking Solar Shrub" from California State University, Fullerton to Aura Technology LLC.



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B) Amendment Justification (For contract amendments only)

- ☐ Non Competitive Bid (Attach DGS-GSPD-09-007) <https://www.dgs.ca.gov/PD/Forms>
- ☐ Exempt Select Exemption (see instructions)

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

Legal Company Name:	Budget
	\$ 0.00

D) List all key partners: (attach additional sheets as necessary)

Legal Company Name:

E) Budget Information (only include amendment amount information)

Funding Source	Funding Year of Appropriation	Budget List Number	Amount
			\$

R&D Program Area: Select Program Area TOTAL: \$

Explanation for "Other" selection

Reimbursement Contract #:

Federal Agreement #:

F) Disabled Veteran Business Enterprise Program (DVBE)

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

G) California Environmental Quality Act (CEQA) Compliance

- 1 Is Agreement considered a "Project" under CEQA?
- ☒ Yes (skip to question 2) ☐ No (complete the following (PRC 21065 and 14 CCR 15378)):

Explain why Agreement is not considered a "Project":

- 2 If Agreement is considered a "Project" under CEQA:

- c) ☒ Agreement **IS** exempt.
- ☐ Statutory Exemption. List PRC and/or CCR section number:

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☒ Categorical Exemption. List CCR section number: Cal. Code Regs., tit. 14, Sections 15301, 15306

☐ Common Sense Exemption. 14 CCR 15061 (b) (3) Explain reason why Agreement is exempt under the above section:

The Energy Commission made CEQA findings pertaining to each of the three grant projects, including finding each to be categorically exempt under one or more of the categorical exemptions identified above, when the projects were originally approved by the Commission at its September 21, 2018 business meeting. The currently proposed changes are changes to the recipients of the grant awards. These changes will not alter any aspects of the actual projects, including project team, project work, the technologies being developed, etc. These changes therefore will not result in any environmental impacts beyond those already considered and approved in September 2018 and do not change the applicability of the categorical exemptions.

d) ☐ Agreement **IS NOT** exempt. (consult with the legal office to determine next steps)

Check all that apply

☐ Initial Study

☐ Negative Declaration

☐ Mitigated Negative Declaration

☐ Environmental Impact Report

☐ Statement of Overriding Considerations

H) The following items should be attached to this CARF (as applicable)

- | | | |
|---|---|--|
| 1. Exhibit A, Scope of Work | <input checked="" type="checkbox"/> N/A | <input type="checkbox"/> Attached |
| 2. Exhibit B, Budget Detail | <input checked="" type="checkbox"/> N/A | <input type="checkbox"/> Attached |
| 3. DGS-GSPD-09-007, NCB Request | <input checked="" type="checkbox"/> N/A | <input type="checkbox"/> Attached |
| 4. CEC 95. DVBE Exemption Request | <input checked="" type="checkbox"/> N/A | <input type="checkbox"/> Attached |
| 5. CEQA Documentation | <input checked="" type="checkbox"/> N/A | <input type="checkbox"/> Attached |
| 6. Novation Documentation | <input checked="" type="checkbox"/> N/A | <input type="checkbox"/> Attached |
| 7. CEC 105, Questionnaire for Identifying Conflicts | | <input checked="" type="checkbox"/> Attached |

Agreement Manager

Date

Office Manager

Date

Deputy Director

Date

STATE OF CALIFORNIA

STATE ENERGY RESOURCES
CONSERVATION AND DEVELOPMENT COMMISSION

RESOLUTION - RE: CALIFORNIA CLEAN ENERGY FUND
DBA CALCEF VENTURES

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

RESOLVED, that the CEC approves changes of recipients of three California Sustainable Energy Entrepreneur Development (CalSEED) small grant awards issued under Agreement 300-15-007. All aspects of each project including the project team, technology under development, Scope of Work, and Terms and Conditions will remain the same.

- i. Transfer of \$150,000 award for project titled "Enhancing Renewable Fuel Production with CO2 Microbubbles" from University of California (UC), Riverside to OceanForesters.
- ii. Transfer of \$150,000 award for project titled "Graphite-coated High Energy Density Powder" from UC, Riverside to SiLi-ion, Inc.
- iii. Transfer of \$150,000 award for project titled "Low-Cost Portable Smart Wi-Fi Programmable Learning Bio-Mimicking Solar Shrub" from California State University, Fullerton to Aura Technology LLC; and

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

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 CEC held on January 22, 2020.

AYE:

NAY:

ABSENT:

ABSTAIN:

Cody Goldthrite
Secretariat