



STATE OF CALIFORNIA

**CONTRACT AMENDMENT REQUEST FORM (CARF)**

CEC-276 (Revised 12/2019)

CALIFORNIA ENERGY COMMISSION

Original Agreement # 300-15-007 Amendment # 2

Division	Agreement Manager:	MS-	Phone
ERDD	Joshua Croft	51	925-452-7638

Recipient's Legal Name	Federal ID Number
California Clean Energy Fund dba CalCEF Ventures	77-0640000

Revisions: (check all that apply)	Additional Requirements
<input checked="" type="checkbox"/> Term Extension New End Date: 3/31/2027	Include revised schedule and complete items A, B, C, D, & H below.
<input checked="" type="checkbox"/> Budget Augmentation Amendment Amount: \$ 33,000,000	Include revised budget and complete items A, B, C, D, E, F, & H below.
<input checked="" 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 checked="" 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 checked="" 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 Resolution

Proposed Business Meeting Date 6/9/2021  Consent  Discussion

Business Meeting Presenter Anthony Ng Time Needed: 5 minutes

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



# CONTRACT AMENDMENT REQUEST FORM (CARF)

## Agenda Item Subject and Description:

Proposed resolution approving Amendment 2 to Agreement 300-15-007 with California Clean EnergyFund dba CalCEF Ventures to augment the budget with \$33,000,000 to update the Scope of Work, extend the agreement term by four years, and adopting staff's determination that this action is exempt from CEQA. This amendment will continue and expand the successful CalSEED Initiative program established under this agreement, Of the \$33 million, \$12.7 million is immediately available and the remaining \$20.3 million will be available contingent upon approval of future EPIC funding. CalSEED provides seed funding, mentoring, technical consulting, and business development services to support clean energy entrepreneurs and research teams to develop breakthrough solutions that will benefit California's Investor Owned Utility electric ratepayers and help achieve the goals of SB 100. (EPIC funding) Contact: Josh Croft

### 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)
- Non-Competitive Bid - Follow-on Funding (SB 115)

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

Legal Company Name:	Budget
The Greenlining Institute	\$730,635
Elemental Excelerator, Inc.	\$16,180
Umberg Zipser LLP	\$220,465
University of California, Davis	\$99,500
University of California, San Diego	\$99,500
Center for Sustainable Energy	\$187,500
Lawrence Berkeley National Laboratory	\$1,080,000
Build Momentum (fka Grant Farm)	\$1,193,976
Los Angeles Cleantech Incubator	\$2,147,264
Surge Consultant Group, LLC	\$470,500
CalSEED Review Committee Scorers and Judges	\$266,400
Industrial Economics, Incorporated	\$187,500



**CONTRACT AMENDMENT REQUEST FORM (CARF)**

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

<b>Legal Company Name:</b>

**E) Budget Information** (only include amendment amount information)

Funding Source	Funding Year of	Budget List	Amount
EPIC	19-20	301.001G	\$7,236
EPIC	19-20	301.001G	\$350,000
EPIC	20-21	300.001H	\$11,992,764
EPIC	20-21	300.001H	\$350,000
EPIC	21-22	301.001I	\$18,000,000
EPIC	21-22	300.001I	\$2,300,000

R&D Program Area: EDMFO: EDMF

TOTAL: \$ 33,000,000

Explanation for "Other" selection

Reimbursement Contract #:

Federal Agreement #:

**F) Disabled Veteran Business Enterprise Program (DVBE)**

- Exempt (Interagency/Other Government Entity)
- Meets DVBE Requirements DVBE Amount: \$ 470,500 DVBE 5.81%
  - Contractor is Certified DVBE
  - Contractor is Subcontracting with a DVBE: Surge Consultant Group LLC
- Contractor selected through CMAS or MSA with no DVBE participation
- Requesting DVBE Exemption (attach CEC 95)

**G) California Environmental Quality Act (CEQA) Compliance** *NOE not required for this amendment.*

- Is Agreement considered a "Project" under CEQA?
  - Yes (skip to question 2)
  - No (complete the following (PRC 21065 and 14 CCR 15378)):
- If Agreement is considered a "Project" under CEQA:
  - Agreement **IS** exempt.
    - 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 Agreement is exempt under the above section:

The Energy Commission made CEQA findings pertaining to this project, including a NOE filed with the Governor's Office of Planning and Research (OPR) when the project was originally adopted by the Commission on 3/22/2016.



# CONTRACT AMENDMENT REQUEST FORM (CARF)

The currently-proposed budget augmentation, reallocation, term extension and continuation of project tasks, do not change the purpose of the scope, will result in no impact to the environment beyond that already considered on 3/22/2016, and do not constitute a substantial change or new information of substantial importance under the exemptions filed with OPR under California Code of Regulations, title 14, sections 15262, 15306 and 15061.

b)  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/Schedule                | <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. DGS-GSPD-09-007, NCB Request                     | <input checked="" type="checkbox"/> N/A | <input type="checkbox"/> Attached            |
| 4. CEC 95. DVBE Exemption Request                   | <input type="checkbox"/> N/A            | <input checked="" 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**

**Exhibit A**  
**Scope of Work**  
**California Clean Energy Fund dba CalCEF Ventures**

**I. TASK ACRONYM/TERM LISTS**

**A. Task List**

<b>Task #</b>	<b>CPR<sup>1</sup></b>	<b>Task Name</b>
1	X	General Project Tasks
2		CalSEED Initiative Plan
3		Technical Aspects of the CalSEED Initiative
4		Solicit Applications for Series A Funding (Concept Awards)
5		Annual Business Plan Competition for Series B Funding (Prototype Awards)
6		Project Management
7		Evaluation of Project Benefits
8		Technology/Knowledge Transfer Activities

**B. Acronym/Term List**

<b>Word/Term</b>	<b>Definition</b>
CalSEED	California Sustainable Energy Entrepreneur Development Initiative
CAM	Commission Agreement Manager, the person designated by the Energy Commission to oversee the performance of a contract resulting from this solicitation and to serve as the main point of contact for the Recipient
Contractor	The Bidder who receives a contract from the Energy Commission performs the tasks specified in this Scope of Work under the direction of the Energy Commission's Agreement Manager (CAM).
CPUC	California Public Utilities Commission
DVBE	Disabled Veteran Business Enterprise
EPIC	Electric Program Investment Charge, the source of funding for the projects awarded under this solicitation
Energy Commission	California Energy Commission
GHG	Greenhouse Gas

<sup>1</sup> Please see subtask 1.3 in Part III of the Scope of Work (General Project Tasks) for a description of Critical Project Review (CPR) Meetings.

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IOU	Investor-Owned Utility, including Pacific Gas and Electric Co., San Diego Gas and Electric Co., and Southern California Edison Co.
Project Manager	The person designated by the bidder to oversee the project and to serve as the main point of contact for the Energy Commission
Proposal	Formal written response to this document from Bidder
Subawardee	The recipient of a subaward.
Subaward	Funding from CalSEED Series A and Series B
RFP	Request for Proposal
State	State of California
TAC	Technical Advisory Committee
Technology Readiness Level (TRL)	Technology Readiness Level is a metric used for describing technology maturity.

**II. PURPOSE OF AGREEMENT, PROBLEM/SOLUTION STATEMENT, AND GOALS AND OBJECTIVES**

**A. Purpose of Agreement**

The purpose of this Agreement is to provide seed funding as well as mentoring, technical consulting, and business development services to support energy entrepreneurs and research teams in their quest to develop breakthrough solutions that will benefit electric ratepayers in Pacific Gas and Electric, Southern California Edison, and San Diego Gas & Electric service territories. Entrepreneurs receive funding in two stages. Concept Awards provide funding of up to \$150,000 and are conducted through open solicitations; Prototype Awards provide funding of up to \$450,000 and are only available to companies who have received a Concept Award.

This agreement also seeks to ensure that the Energy Commission’s Research and Development programs reflect the rich and diverse characteristics of California and its people. This includes encouraging greater participation by underrepresented groups, specifically Disabled Veteran Business Enterprises (DVBE’s), small businesses; as well as encouraging greater geographic representation throughout California.

For purposes of this contract, underrepresented groups include:

- DVBE’s.
- 
- Small businesses.
- Businesses located in disadvantaged communities as defined by CalEnviroScreen 3.0. ([tp://oehha.ca.gov/ej/ces2.html](http://oehha.ca.gov/ej/ces2.html))
- Organizations and businesses located in the following geographic locations:
  - San Joaquin Valley (Fresno, Kern, Kings, Madera, Merced, San Joaquin, Stanislaus and Tulare Counties)

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- North State (Colusa, Del Norte, Glenn, Humboldt, Lake, Lassen, Mendocino, Modoc, Plumas, Shasta, Siskiyou, Tehama, and Trinity Counties)
- Inland Empire (Inyo, Riverside, and San Bernardino Counties)

**B. Problem/ Solution Statement**

**Problem**

California's forward-thinking energy policies are driving entrepreneurs and researchers to conceptualize new technological solutions for achieving a cleaner, safer, more affordable and more resilient energy future. For most energy entrepreneurs and researchers to successfully bring their innovations to market, they need multiple rounds of funding over several years. To obtain this sustained, long-term funding – either through private capital and/or large government grants – entrepreneurs and researchers must first demonstrate that their concept is feasible.

However, funding opportunities to prove the feasibility of new energy concepts are limited and

clean energy entrepreneurs have trouble securing very early stage funding for potential breakthrough technologies even if those technologies would merit significant follow-on funding after the proof-of-concept is completed. Additionally, entrepreneurs with technology concepts often do not have adequate access to the mentoring, technical consulting, and business services that they need to successfully bring their technology to market.

**Solution**

This contract will fund applied research and development to accelerate the development of new energy concepts. As opposed to other EPIC funding opportunities that focus on the more mature stages of technology development, this contract will address a critical gap in the early technology development phase where small amounts of funding can have a significant impact in bringing new ratepayer-beneficial innovations to market. In addition to small amounts of funding, CalSEED provides mentoring, technical consulting, and business development services to support energy entrepreneurs and research teams in their quest to develop breakthrough clean energy solutions.

**C. Goals and Objectives of the Agreement**

**Agreement Goals**

The goals of this Agreement are to:

- Establish the technical merits and commercial potential of promising early-stage energy technology concepts that provide the greatest benefits to Investor-Owned Utility (IOU) electric ratepayers. These are technologies with a Technology Readiness Level (TRL) 2-4.

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- Attract and present follow on funding opportunities to clean energy innovations supported through the California Sustainable Energy Entrepreneur Development (CalSEED) Initiative.
- Encourage broad and diverse participation in the CalSEED Initiative from entrepreneurs and researchers throughout California.
- Ensure a fair, simplified, streamlined, and transparent process for identifying entrepreneurs and researchers to receive support from the CalSEED Initiative.

*Ratepayer Benefits:*<sup>2</sup> This Agreement will result in ratepayer benefits through selecting and supporting clean energy entrepreneurs developing technologies that have the potential to improve grid reliability, reduce costs, and improve safety when scaled, and accelerating their commercial development.

*Technological Advancement and Breakthroughs:*<sup>3</sup> This Agreement will lead to technological advancement and breakthroughs to overcome barriers to the achievement of the State of California's statutory energy goals by providing grants and professional development for innovators and entrepreneurs working to bring early stage clean energy concepts to market.

The CalSEED Initiative is a funding program that supports diverse entrepreneurs who deliver equitable outcomes from their clean tech innovations. The first round of funding (Series A) is through a Concept Award of \$150,000. CalSEED Concept Awardees can compete for a second round of funding (Series B) through a Prototype Award of \$450,000.

CalSEED funds technologies that are at a Technical Readiness Level (TRL) of 2-4 for clean energy innovations to move from a collection of scientific principles and experiments to validating the basic functionality of a prototype or pilot project, ultimately demonstrating proof of concept and performance. The focus will be on scientific breakthroughs that are early stage, higher risk, and higher reward. Each annual solicitation will focus on strategic technology areas which will be determined by an analysis of the energy landscape to determine where the needs for breakthrough technologies are.

### **Agreement Objectives**

The objectives of this Agreement are to fund energy entrepreneurs and researchers at two levels:

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<sup>2</sup> California Public Resources Code, Section 25711.5(a) requires projects funded by the Electric Program Investment Charge (EPIC) to result in ratepayer benefits. The California Public Utilities Commission, which established the EPIC in 2011, defines ratepayer benefits as greater reliability, lower costs, and increased safety (See CPUC "Phase 2" Decision 12-05-037 at page 19, May 24, 2012, [http://docs.cpuc.ca.gov/PublishedDocs/WORD\\_PDF/FINAL\\_DECISION/167664.PDF](http://docs.cpuc.ca.gov/PublishedDocs/WORD_PDF/FINAL_DECISION/167664.PDF)).

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- **Series A (Concept Award):** Series A will provide support to selected entrepreneurs and researchers to establish the technical feasibility of their promising energy technology concepts. Series A will include up to \$150,000 in funding as well as business support and acceleration, guidance for follow-on funding, and leadership development training. A minimum of 20% of combined Series A and Series B support must go to projects from underrepresented groups.
- **Series B (Prototype Award):** Series B will provide entrepreneurs and researchers whose energy technology concepts show significant commercial promise with additional support, including up to \$450,000 in follow-on funding, to further develop their innovations. Only energy concepts that receive Series A funding may be eligible for Series B.

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**III. TASK 1 GENERAL PROJECT TASKS**

**PRODUCTS**

**Subtask 1.1 Products**

The goal of this subtask is to establish the requirements for submitting project products (e.g., reports, summaries, plans, and presentation materials). Unless otherwise specified by the Commission Agreement Manager (CAM), the Recipient must deliver products as required below by the dates listed in the **Project Schedule (Part V)**. All products submitted which will be viewed by the public, must comply with the accessibility requirements of Section 508 of the federal Rehabilitation Act of 1973, as amended (29 U.S.C. Sec. 794d), and regulations implementing that act as set forth in Part 1194 of Title 36 of the Federal Code of Regulations. All technical tasks should include product(s). Products that require a draft version are indicated by marking “**(draft and final)**” after the product name in the “Products” section of the task/subtask. If “(draft and final)” does not appear after the product name, only a final version of the product is required. With respect to due dates within this Scope of Work, “**days**” means working days.

**The Recipient shall:**

For products that require a draft version, including the Final Report Outline and Final Report

- Submit all draft products to the CAM for review and comment in accordance with the Project Schedule (Part V). The CAM will provide written comments to the Recipient on the draft product within 15 days of receipt, unless otherwise specified in the task/subtask for which the product is required.
- Consider incorporating all CAM comments into the final product. If the Recipient disagrees with any comment, provide a written response explaining why the comment was not incorporated into the final product.
- Submit the revised product and responses to comments within 10 days of notice by the CAM, unless the CAM specifies a longer time period, or approves a request for additional time.

For products that require a final version only

- Submit the product to the CAM for acceptance. The CAM may request minor revisions or explanations prior to acceptance.

For all products

- Submit all data and documents required as products in accordance with the following:

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Instructions for Submitting Electronic Files and Developing Software:

○ **Electronic File Format**

- Submit all data and documents required as products under this Agreement in an electronic file format that is fully editable and compatible with the California Energy Commission's (CEC) software and Microsoft (MS)-operating computing platforms, or with 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.

The following describes the accepted formats for electronic data and documents provided to the CEC as products under this Agreement, and establishes the software versions that will be required to review and approve all software products:

- 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.
- Project management documents will be in Microsoft Project file format, version 2007 or later.

○ **Software Application Development**

Use the following standard Application Architecture components in compatible versions for any software application development required by this Agreement (e.g., databases, models, modeling tools), unless the CAM approves other software applications such as open source programs:

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

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**MEETINGS**

**Subtask 1.2 Kick-off Meeting**

The goal of this subtask is to establish the lines of communication and procedures for implementing this Agreement.

**The Recipient shall:**

- Attend a “Kick-off” meeting with the CAM, the Commission Agreement Officer (CAO), and any other CEC staff relevant to the Agreement. The Recipient will bring its Project Manager and any other individuals designated by the CAM to this meeting. The administrative and technical aspects of the Agreement will be discussed at the meeting. Prior to the meeting, the CAM will provide an agenda to all potential meeting participants. The meeting may take place in person or by electronic conferencing (e.g., WebEx), with approval of the CAM.

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

- Terms and conditions of the Agreement;
- Invoicing and auditing procedures;
- Administrative products (subtask 1.1);
- CPR meetings (subtask 1.3);
- Match fund documentation (subtask 1.8);
- Permit documentation (subtask 1.9);
- Subcontracts (subtask 1.10); 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 products (subtask 1.1);
  - Progress reports (subtask 1.6);
  - Annual Reports (subtask 1.7);
  - Final Report (subtask 1.8);
  - Technical Advisory Committee meetings (subtasks 1.12 and 1.13); and
  - Any other relevant topics.
- Provide *Kick-off Meeting Presentation* to include but not limited to:
    - Project overview (i.e. project description, goals and objectives, technical tasks, expected benefits, etc.)
    - Project schedule that identifies milestones
    - List of potential risk factors and hurdles, and mitigation strategy
  - Provide an *Updated Project Schedule, Match Funds Status Letter, and Permit Status Letter*, as needed to reflect any changes in the documents.

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**The CAM shall:**

- Designate the date and location of the meeting.
- Send the Recipient a *Kick-off Meeting Agenda*.

**Recipient Products:**

- Kick-off Meeting Presentation
- Updated Project Schedule (*if applicable*)
- Match Funds Status Letter (subtask 1.8) (*if applicable*)
- Permit Status Letter (subtask 1.9) (*if applicable*)

**CAM Product:**

- Kick-off Meeting Agenda

**Subtask 1.3 Monthly Progress Calls with CAM**

The Recipient shall participate in brief phone calls that will occur at least monthly and which will be initiated by the CAM to briefly discuss project progress and identify any emerging issues. Monthly calls might not be held on those months when a quarterly progress report is submitted, or the CAM determines that a monthly call is unnecessary.

**The Recipient shall:**

- Participate in monthly progress calls as deemed necessary by the CAM.

**The CAM shall:**

- Schedule and initiate regular calls with Recipient to briefly discuss project progress and identify emerging issues.
- Hold the progress calls monthly, unless the CAM determines that a call is unnecessary in a given month.

**Products:**

- N/A

**Subtask 1.4 Critical Project Review (CPR) Meetings**

The goal of this subtask is to determine if the project should continue to receive CEC funding, and if so whether any modifications must be made to the tasks, products, schedule, or budget. CPR meetings provide the opportunity for frank discussions between the CEC and the Recipient. As determined by the CAM or Contractor, discussions may include project status, challenges, successes, advisory group findings and recommendations, final report preparation, and progress on technical transfer and production readiness activities (if applicable). Participants will include the CAM and the Recipient and may include the CAO and any other individuals selected by the CAM to provide support to the CEC.

CPR meetings generally take place at key, predetermined points in the Agreement, as determined by the CAM and as shown in the Task List on page 1 of this Exhibit.

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However, the CAM may schedule additional CPR meetings as necessary. The budget will be reallocated to cover the additional costs borne by the Recipient, but the overall Agreement amount will not increase. CPR meetings generally take place at the CEC, but they may take place at another location, or may be conducted via electronic conferencing (e.g., WebEx) as determined by the CAM.

**The Recipient shall:**

- Prepare and submit a *CPR Report* for each CPR meeting that: (1) discusses the progress of the Agreement toward achieving its goals and objectives; and (2) includes recommendations and conclusions regarding continued work on the project.
- Attend the CPR meeting.
- Present the CPR Report and any other required information at each CPR meeting.

**The CAM shall:**

- Determine the location, date, and time of each CPR meeting with the Recipient's input.
- Send the Recipient a *CPR Agenda* with a list of expected CPR participants in advance of the CPR meeting. If applicable, the agenda will include a discussion of match funding and permits.
- Conduct and make a record of each CPR meeting. Provide the Recipient with a schedule for providing a Progress Determination on continuation of the project.
- Determine whether to continue the project, and if so whether modifications are needed to the tasks, schedule, products, or budget for the remainder of the Agreement. If the CAM concludes that satisfactory progress is not being made, this conclusion will be referred to the Deputy Director of the Energy Research and Development Division.
- Provide the Recipient with a *Progress Determination* on continuation of the project, in accordance with the schedule. The Progress Determination may include a requirement that the Recipient revise one or more products.

**Recipient Products:**

- CPR Report(s)

**CAM Products:**

- CPR Agenda
- Progress Determination

**Subtask 1.5 Final Meeting**

The goal of this subtask is to complete the closeout of this Agreement.

**The Recipient shall:**

- Meet with CEC staff to present project findings, conclusions, and recommendations. The final meeting must be completed during the closeout of this

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Agreement. This meeting will be attended by the Recipient and CAM, at a minimum. The meeting may occur in person or by electronic conferencing (e.g., WebEx), with approval of the CAM.

The technical and administrative aspects of Agreement closeout will be discussed at the meeting, which may be divided into two separate meetings at the CAM's discretion.

- The technical portion of the meeting will involve the presentation of findings, conclusions, and recommended next steps (if any) for the Agreement. The CAM will determine the appropriate meeting participants.
- The administrative portion of the meeting will involve a discussion with the CAM and the CAO of the following Agreement closeout items:
  - Disposition of any procured equipment.
  - The CEC's request for specific "generated" data (not already provided in Agreement products).
  - Need to document the Recipient's disclosure of "subject inventions" developed under the Agreement.
  - "Surviving" Agreement provisions such as repayment provisions and confidential products.
  - Final invoicing and release of retention.
- Prepare a *Final Meeting Agreement Summary* that documents any agreement made between the Recipient and Commission staff during the meeting.
- Prepare a *Schedule for Completing Agreement Closeout Activities*.
- Provide copies of *All Final Products* on a USB memory stick, organized by the tasks in the Agreement.

**Products:**

- Final Meeting Agreement Summary (*if applicable*)
- Schedule for Completing Agreement Closeout Activities
- All Final Products

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**REPORTS AND INVOICES**

**Subtask 1.6 Progress Reports and Invoices**

The goals of this subtask are to: (1) periodically verify that satisfactory and continued progress is made towards achieving the project objectives of this Agreement; and (2) ensure that invoices contain all required information and are submitted in the appropriate format.

**The Recipient shall:**

- Submit quarterly *Progress Report* to the CAM. Each progress report must:
  - Summarize progress made on all Agreement activities as specified in the scope of work for the preceding quarter, including accomplishments, problems, milestones, products, schedule, and an assessment of the ability to complete the Agreement within the current budget and any anticipated cost overruns.
- Submit a monthly or quarterly *Invoice* that follows the instructions in the “Payment of Funds” section of the terms and conditions, including a financial report on Match Funds and in-state expenditures.

**Products:**

- Progress Reports
- Invoices

**Task 1.7 Annual Reports**

The goal of this subtask is to prepare a written Annual Report that details the current results of the CalSEED Initiative. The Annual Report will include at a minimum the following information:

- Yearly and cumulative information on:
  - Number of applications received
  - Total amount of funds requested
  - Number of projects funded
  - Total amount of funding awarded
  - Summary of the operating budget, including expenditure rates
  - Number of proposals received and total amount requested from underrepresented groups.
- For each project that was active or that closed within the last year:
  - Principle Investigator
  - Organization
  - Address and Project Location (if different from address)
  - Status, if applicable, as DVBE
  - Funding amount received
  - Technical consulting received (if applicable) including:
    - Description of the services received

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- Name, affiliation and contact information of expert(s) providing the technical consulting services
- Cost of technical consulting
- Amount and source of funding used for technical consulting
- Project Description
- Description of how the innovation will benefit electric ratepayers in California IOU service territories and lead to technological advancement or breakthroughs to overcome barriers to achieving the state's statutory energy goals
- Status update including technical and commercialization milestones achieved such as public and/or private follow-on funding

**The Recipient shall:**

- Prepare and submit a Draft Annual Report to the CAM for review and approval. The CAM will provide written comments to the Contractor on the draft report. The Contractor shall review the comments and discuss any concerns regarding the recommended changes with the CAM.
- Prepare and submit the Annual Report, incorporating CAM comments.

**Products:**

- Annual Report (Draft and Final)

**CAM Product:**

- Energy Commission Style Manual or latest version of template
- Written Comments on Draft Annual Report

**Subtask 1.8 Final Report**

The goal of this subtask is to prepare a comprehensive Final Report that describes the original purpose, approach, results, and conclusions of the work performed under this Agreement. When creating the Final Report Outline and the Final Report, the Recipient must use the CEC Style Manual provided by the CAM.

**Subtask 1.8.1 Final Report Outline**

**The Recipient shall:**

- Prepare a *Final Report Outline* in accordance with the *Energy Commission Style Manual* provided by the CAM.

**Recipient Products:**

- Final Report Outline (draft and final)

**CAM Product:**

- Energy Commission Style Manual
- Comments on Draft Final Report Outline
- Acceptance of Final Report Outline

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**Subtask 1.8.2 Final Report**

**The Recipient shall:**

- Prepare a *Final Report* for this Agreement in accordance with the approved Final Report Outline, Energy Commission Style Manual, and Final Report Template provided by the CAM with the following considerations:
  - Ensure that the report includes the following items, in the following order:
    - Cover page (**required**)
    - Credits page on the reverse side of cover with legal disclaimer (**required**)
    - Acknowledgements page (optional)
    - Preface (**required**)
    - Abstract, keywords, and citation page (**required**)
    - Table of Contents (**required**, followed by List of Figures and List of Tables, if needed)
    - Executive summary (**required**)
    - Body of the report (**required**)
    - References (if applicable)
    - Glossary/Acronyms (If more than 10 acronyms or abbreviations are used, it is required.)
    - Bibliography (if applicable)
    - Appendices (if applicable) (Create a separate volume if very large.)
    - Attachments (if applicable)
  - Submit a draft of the Executive Summary to the TAC for review and comment.
  - Develop and submit a *Summary of TAC Comments* received on the Executive Summary. For each comment received, the recipient will identify in the summary the following:
    - Comments the recipient proposes to incorporate.
    - Comments the recipient does propose to incorporate and an explanation for why.
  - Submit a draft of the report to the CAM for review and comment. The CAM will provide written comments to the Recipient on the draft product within 15 days of receipt.
  - Incorporate all CAM comments into the *Final Report*. If the Recipient disagrees with any comment, provide a *Written Responses to Comments* explaining why the comments were not incorporated into the final product.
  - Submit the revised *Final Report* electronically with any *Written Responses to Comments* within 10 days of receipt of CAM's *Written Comments* on the Draft Final Report, unless the CAM specifies a longer time period or approves a request for additional time.

**Products:**

- Summary of TAC Comments

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- Draft Final Report
- Written Responses to Comments (*if applicable*)
- Final Report

**CAM Product:**

- Written Comments on the Draft Final Report

**MATCH FUNDS, PERMITS, AND SUBCONTRACTS**

**Subtask 1.9 Match Funds**

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

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

**The Recipient shall:**

- Prepare a *Match Funds Status Letter* that documents the match funds committed to this Agreement. If no match funds were part of the proposal that led to the CEC awarding this Agreement and none have been identified at the time this Agreement starts, then state this in the letter.

If match funds were a part of the proposal that led to the CEC awarding this Agreement, then provide in the letter:

- 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 Recipient must identify its owner and provide a contact name, address, telephone number, and the address where the property is located.
  - If different from the solicitation application, provide 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

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will be included as a line item in the progress reports and will be a topic at CPR meetings.

- Provide a *Supplemental Match Funds Notification Letter* to the CAM of receipt of additional match funds.
- Provide a *Match Funds Reduction Notification Letter* to the CAM if existing match funds are reduced during the course of the Agreement. Reduction of match funds may trigger a CPR meeting.

**Products:**

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

**Subtask 1.10 Permits**

The goal of this subtask is to obtain all permits required for work completed under this Agreement in advance of the date they are needed to keep the Agreement schedule on track. Permit costs and the expenses associated with obtaining permits are not reimbursable under this Agreement, with the exception of costs incurred by University of California recipients. Permits must be identified and obtained before the Recipient may incur any costs related to the use of the permit(s) for which the Recipient will request reimbursement.

**The Recipient shall:**

- Prepare a *Permit Status Letter* that documents the permits required to conduct this Agreement. If no permits are required at the start of this Agreement, then state this in the letter. If permits will be required during the course of the Agreement, provide in the letter:
  - A list of the permits that identifies: (1) the type of permit; and (2) the name, address, and telephone number of the permitting jurisdictions or lead agencies.
  - The schedule the Recipient will follow in applying for and obtaining the permits.

The list of permits and the schedule for obtaining them will be discussed at the Kick-off meeting (subtask 1.2), and a timetable for submitting the updated list, schedule, and copies of the permits will be developed. The impact on the project if the permits are not obtained in a timely fashion or are denied will also be discussed. If applicable, permits will be included as a line item in progress reports and will be a topic at CPR meetings.

- If during the course of the Agreement additional permits become necessary, then provide the CAM with an *Updated List of Permits* (including the appropriate information on each permit) and an *Updated Schedule for Acquiring Permits*.
- Send the CAM a *Copy of Each Approved Permit*.

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- If during the course of the Agreement permits are not obtained on time or are denied, notify the CAM within 5 days. Either of these events may trigger a CPR meeting.

**Products:**

- Permit Status Letter
- Updated List of Permits (*if applicable*)
- Updated Schedule for Acquiring Permits (*if applicable*)
- Copy of Each Approved Permit (*if applicable*)

**Subtask 1.11 Subcontracts**

The goals of this subtask are to: (1) procure subcontracts required to carry out the tasks under this Agreement; and (2) ensure that the subcontracts are consistent with the terms and conditions of this Agreement.

**The Recipient shall:**

- Manage and coordinate subcontractor activities in accordance with the requirements of this Agreement.
- Incorporate this Agreement by reference into each subcontract.
- Include any required Energy Commission flow-down provisions in each subcontract, in addition to a statement that the terms of this Agreement will prevail if they conflict with the subcontract terms.
- If required by the CAM, submit a draft of each *Subcontract* required to conduct the work under this Agreement.
- Submit a final copy of each executed subcontract.
- Notify and receive written approval from the CAM prior to adding any new subcontractors (see the discussion of subcontractor additions in the terms and conditions).

**Products:**

- Subcontracts (*draft if required by the CAM*)

**TECHNICAL ADVISORY COMMITTEE**

**Subtask 1.12 Technical Advisory Committee (TAC)**

The goal of this subtask is to create an advisory committee for this Agreement. The TAC should be composed of diverse professionals. The composition will vary depending on interest, availability, and need. CalSEED TAC members will serve at the Contractor's discretion. The CalSEED-TAC is anticipated to meet at least once per year.

The TAC may be composed of qualified professionals spanning the following types of disciplines:

- Researchers knowledgeable about the project subject matter;

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- Members of trades that will apply the results of the project (e.g., designers, engineers, architects, contractors, and trade representatives);
- Public interest market transformation implementers;
- 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;
- Public interest environmental groups;
- Utility representatives;
- Air district staff; and
- Members of relevant technical society committees.

The purpose of the CalSEED-TAC is to:

- Aid in solicitation design by suggesting technology areas (see Task 3).
- Provide recommendations to the Contractor on ways to improve the CalSEED Initiative to meet the goals and objectives of the contract.

**The Recipient 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 1.12.
- 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.

**Products:**

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

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**Subtask 1.13 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 Recipient 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.

**The TAC shall:**

- Help set the project team's goals and contribute to the development and evaluation of its statement of proposed objectives as the project evolves.
- Provide a credible and objective sounding board on the wide range of technical and financial barriers and opportunities.
- Help identify key areas where the project has a competitive advantage, value proposition, or strength upon which to build.
- Advocate on behalf of the project in its effort to build partnerships, governmental support and relationships with a national spectrum of influential leaders.
- Ask probing questions that insure a long-term perspective on decision-making and progress toward the project's strategic goals.
- Review and provide comments to proposed project performance metrics.

**Products:**

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

**Subtask 1.14 Project Performance Metrics**

The goal of this subtask is to finalize key performance targets for the project based on feedback from the CalSEED-TAC and report on final results in achieving those targets. The performance targets should reflect outreach efforts, companies supported, technology development, and aggregation of rate-payer benefits that provide the most significant indicator of the program's success.

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**The Recipient shall:**

- Complete and submit the project performance metrics from the *Initial Project Benefits Questionnaire*, developed in the Evaluation of Project Benefits task, to the CAM.
- Present the draft project performance metrics to subcontractors, the CalSEED-TAC and the CAM to solicit input and comments.
- Develop and submit a *CalSEED-TAC Performance Metrics Summary* that summarizes comments received from stakeholders on the proposed project performance metrics. The *CalSEED-TAC Performance Metrics Summary* will identify:
  - Comments the Recipient proposes to incorporate into the Initial Project Benefits Questionnaire, developed in the Evaluation of Project Benefits task.
  - Comments the Recipient does not propose to incorporate with and explanation why.
- Develop and submit a *Project Performance Metrics Results* document describing the extent to which the Recipient met each of the performance metrics in the *Final Project Benefits Questionnaire*, developed in the Evaluation of Project Benefits task.
- Discuss the *Project Performance Metrics Results* at the Final Meeting.

**Products:**

- CalSEED-TAC Performance Metrics Summary
- Project Performance Metrics Results

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**TECHNICAL TASKS**

*Products that require a draft version are indicated by marking “(draft and final)” after the product name in the “Products” section of the task/subtask. If “(draft and final)” does not appear after the product name, only a final version of the product is required.*

*Subtask 1.1 (Products) describes the procedure for submitting products to the CAM.*

**TASK 2: CalSEED INITIATIVE PLAN**

The goal of this task is to maintain and keep up to date the *CalSEED Initiative Plan* completed during the first five years of the CalSEED Initiative. This will serve as the strategic and operation plan for the CalSEED Initiative. The plan describes the procedures, processes, tools, templates and resources that will be used to implement, develop, and manage the CalSEED Initiative in a manner that achieves the Goals and Objectives of the contract.

The plan shall be updated when significant changes from the existing version have been made. Procedures, processing, and templates that are more likely to change have been included as appendices to the *CalSEED Initiative Plan*. Proposed changes to the Appendices do not require updates to or review of the entire main document.

**The Recipient shall:**

- Submit draft changes of *CalSEED Initiative Plan* to the Energy Commission for review and comment.
- Meet with the CAM, and others invited by the CAM, to discuss necessary changes to the plan.
- Submit the *Final CalSEED Initiative Plan* for CAM approval.

**Products:**

- CalSEED Initiative Plan Updates (Draft and Final)

**TASK 3: TECHNICAL ASPECTS OF THE CALSEED INITIATIVE**

The goal of this task is to develop and manage the technical aspects of the CalSEED Initiative in accordance with the *CalSEED Initiative Plan*.

**The Recipient shall:**

- Work with the CAM to determine eligible technology areas for each solicitation through research on scientific breakthroughs, possible future scientific breakthroughs, and their potential applications to energy, as well as what the needs for breakthrough technologies are within the scope of EPIC. These technology areas will establish eligibility criteria for the solicitation and be included in the *CalSEED Application Manual* (See Task 4).
- Provide a *Technology Areas Document for Each Solicitation*
- Develop innovative approaches and *Marketing Materials* to encourage participation in the CalSEED Initiative including by underrepresented groups.

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- Develop and maintain the tools and resources identified in the *CalSEED Initiative Plan*.
- Provide or make available on an as-needed-basis the tools and resources for use by applicants and recipients.

**Products:**

- Technology Areas Document for Each Solicitation
- Marketing Materials
- Other deliverables as specified in the final *CalSEED Initiative Plan* as approved by the CAM

**TASK 4: SOLICIT APPLICATIONS FOR SERIES A FUNDING (CONCEPT AWARDS)**

The goal of this task is to conduct one solicitation per year for Series A support, including screening applications for eligibility; initiating project evaluation and selection processes; and recommending selected projects for funding to the CAM.

The CAM will direct the contractor to enter into sub-awards with Series A applicants whose projects are approved for funding at an Energy Commission Business Meeting.

**The Recipient shall:**

- For each solicitation, develop the *CalSEED Application Manual* that communicates the aspects of the CalSEED Initiative necessary for entrepreneurs and researchers to produce quality applications for Series A funding. This will be a public document that will describe the following to potential applicants:
  - The solicitation release and notification process
  - An intuitive and streamlined application system for applicants
  - The application screening and scoring criteria
  - Notification that highest scoring applications are recommended to the Energy Commission for approval
  - The process for unsuccessful applicants to request feedback
  - The services available to entrepreneurs and researchers that receive Series A funding.
- Create *Application Forms* for Series A funding opportunity.
- Create *Scorer and Reviewer Forms* for Series A funding opportunity.
- Schedule one solicitation per year as directed by the CAM.
- Organize and maintain a CalSEED Review Committee (CRC) which will be composed of diverse professionals representing the following groups:
  - California Energy Commission staff.
  - One representative (four total) from each agreement awarded under GFO-15-306: “Regional Energy Innovation Clusters.” Regional Energy Innovation Cluster awardees will provide and coordinate key services, assistance,

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resources, and infrastructure needed by entrepreneurs and researchers in the region to successfully develop and commercialize new energy innovations.

- 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);
  - Public interest market transformation implementers;
  - U.S. Department of Energy research managers, or experts from other federal or state agencies;
  - Public interest environmental groups;
  - Utility representatives;
  - Air district staff;
  - Members of relevant technical society committees;
  - Venture Capital firms; and
  - Environmental Justice organizations.
- Provide a *CRC Members Summary* to the CAM, which includes a list of CRC members and documentation of each member's commitment.
  - Facilitate the CRC that will score proposals and make final recommendations for Series A subawardees. The committee will also score Business Plans and pitches and make final recommendations for Series B subawardees (see Task 5).
  - Submit a *Solicitation Package*, including the schedule, technology areas, and planned outreach materials, for each solicitation.
  - Seek approval from the CAM for the solicitation focus areas as each new solicitation is developed, ensuring all solicitations are consistent with the EPIC Triennial Investment Plans and the *CalSEED Initiative Plan*. Upon approval of the solicitation package, develop, release, and advertise the solicitation to promote geographically and organizationally diverse applicants in accordance with the process from *CalSEED Initiative Plan*.
  - Hold a CRC meeting to score proposals and identify recommended projects for each solicitation.
  - Recommend projects to the Energy Commission for funding for each solicitation with a *CalSEED Concept Award Project Recommendations Package* that includes information identified in the *CalSEED Initiative Plan*.
  - Continue to recruit CRC members. Ensure that each individual CRC member understands member obligations and the CRC meeting schedule.
  - Provide CRC members a *CRC Conflict of Interest Policy* to ensure that no conflicts of interest exist between CRC members and subawardees.
  - Obtain *Signed Conflict of Interest Forms* from each CRC member.

**Products:**

- CalSEED Application Manual (Draft and Final)
- Application Forms (Draft and Final)
- Scorer and Reviewer Forms (Draft and Final)

**Exhibit A**  
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- Solicitation Packages
- CalSEED Series A Project Recommendations Packages
- CRC Members Summary
- Conflict of Interest Policy
- Signed Conflict of Interest Forms

**TASK 5: ANNUAL BUSINESS PLAN COMPETITION FOR SERIES B FUNDING (PROTOTYPE AWARDS)**

The goal of this task is to plan and conduct Annual Business Plan Competitions. The Business Plan Competition will serve as the mechanism to evaluate which energy concepts that received Series A funding have the greatest commercial potential and merit Series B funding. The Annual Business Plan Competition will culminate in a “pitch fest” to a panel of technology and market experts. The CAM will direct the contractor to enter into sub-awards with the Series B applicant(s) whose projects are approved for funding at an Energy Commission Business Meeting.

**The Recipient shall:**

- Discuss and coordinate the date, location, panel members and format of the Annual Business Plan Competition with the CAM. The Contractor will ensure no potential conflict of interests exist between the review panel members and applicants participating in the Business Plan Competition.
- Submit *Annual Business Plan Competition Schedule* with the date, location, panel members and format of the Annual Business Plan Competition with a summary of credentials for each of the review panel members.
- Prepare *Annual Business Plan Competition Approval Packages* for each Annual Business Plan Competition and submit to the CAM for approval. The approval package shall include:
  - The Series A recipients eligible to participate in the upcoming Business Plan Competition
  - The review panel members for the Business Plan Competition. The review panel will be chosen based on their market expertise
  - The format, rules and requirements for the Business Plan Competition in the *CalSEED Initiative Plan*.
- Conduct the Annual Business Plan Competitions in accordance with the *CalSEED Initiative Plan* and the *Annual Business Plan Competition Approval Package*.
- Hold a CalSEED-TAC Meeting to finalize scores for Series B funding.
- Prepare and submit to the CAM the *CalSEED Series B Project Recommendation Package* that includes information identified in the *CalSEED Initiative Plan*.

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**Products:**

- Annual Business Plan Competition Schedule
- Annual Business Plan Competition Approval Packages
- CalSEED Series B Project Recommendation Packages

**TASK 6: PROJECT MANAGEMENT**

The goal of this task is for the Contractor to manage each project receiving Series A and Series B support from the CalSEED Initiative, providing fiduciary and oversight for projects in accordance with the CalSEED Initiative Plan. The Contractor will be the first line of communication with the recipients for all administrative needs.

**The Recipient shall:**

- Intervene to provide appropriate levels of assistance for projects that encounter problems.
- Continue to use *Completed Project Summary Template* that summarizes the findings, accomplishments, and next steps for each finished subawardee project.
- Provide annual, unless otherwise specified in writing by the CAM, *Completed Project Summaries* that provide details as outlined in the *Final Completed Project Summary Template* for each subaward that finishes Series A and Series B projects that year.
- Maintain real-time, up-to-date information on subawardees and their projects in a method that is readily accessible by the CAM. This may be accomplished via an online resource that can be filtered and sorted. The format, contents, location, and accessibility of this resource will be determined in coordination with the CAM and described in the CalSEED Initiative Plan. Sample data maintained in this resource may include, but is not limited to:
  - Technology Type
  - Latest Progress Report and/or Update
  - A two-sentence highlight statement about the project innovation
  - A picture of the company or innovation
  - Contact Information
  - The project's start and end date
  - The EnergizeInnovation.fund company profile URL

**Products:**

- Completed Project Summary Template (Draft and Final)
- Completed Project Summaries

**TASK 7: EVALUATION OF PROJECT BENEFITS**

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

**The Recipient shall:**

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- Complete the *Initial Project Benefits Questionnaire*. The *Initial Project Benefits Questionnaire* shall be initially completed by the Recipient with 'Kick-off' selected for the 'Relevant data collection period' and submitted to the CAM for review and approval.
- Complete the *Final Project Benefits Questionnaire*. The *Final Project Benefits Questionnaire* shall be completed by the Recipient with 'Final' selected for the 'Relevant data collection period' and submitted to the CAM for review and approval.
- Respond to CAM questions regarding the questionnaire drafts.
- Complete and update the project profile on the CEC's public online project and recipient directory on the [Energize Innovation website \(www.energizeinnovation.fund\)](http://www.energizeinnovation.fund), and provide *Documentation of Project Profile on EnergizeInnovation.fund*, including the profile link.
- If the Prime Recipient is an Innovation Partner on the project, complete and update the organizational profile on the CEC's public online project and recipient directory on the [Energize Innovation website \(www.energizeinnovation.fund\)](http://www.energizeinnovation.fund), and provide *Documentation of Organization Profile on EnergizeInnovation.fund*, including the profile link.
- Continue to use and improve upon the *CalSEED Ratepayer Benefits Assessment Framework* as a standardized and comprehensive approach to collecting and aggregating potential ratepayer benefits of funded technologies. This framework will be used by subawardees to project metrics for how the innovation could reduce emissions, lower costs, increase safety, and/or improve reliability when the technology scales. This framework will also include business development metrics for job creation, technology advancement, and commercialization timeline.

**Products:**

- Initial Project Benefits Questionnaire
- Final Project Benefits Questionnaire
- Documentation of Project Profile on EnergizeInnovation.fund
- Documentation of Organization Profile on EnergizeInnovation.fund
- CalSEED Ratepayer Benefits Assessment Framework

**TASK 8: TECHNOLOGY/KNOWLEDGE TRANSFER ACTIVITIES**

The goal of this task is to ensure the learning that resulted from this project is captured and disseminated so that similar efforts build on the lessons learned.

**The Recipient shall:**

- Develop and submit a *Project Case Study Plan (Draft/Final)* that outlines how the Recipient will document the planning, organization, and execution of the program being facilitated. The *Project Case Study Plan* should include:

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- An outline of the objectives, goals, and activities of the case study.
- The expected impact if that learning is applied to future programs.
- The organization that will be conducting the case study and the plan for conducting it.
- A list of professions and practitioners involved in the program's deployment.
- Specific activities the recipient will take to ensure the learning that results from the project is disseminated to those professions and practitioners.
- Presentations/webinars/training events to disseminate the results of the case study.
- Present the *Draft Project Case Study Plan* to the CALSEED-TAC for review and comment.
- Develop and submit a *Summary of CALSEED-TAC Comments* that summarizes comments received from the TAC members on the *Draft Project Case Study Plan*. This document will identify:
  - CALSEED-TAC comments the recipient proposes to incorporate into the *Final Technology Transfer Plan*.
  - CALSEED-TAC comments the recipient does not propose to incorporate with and explanation why.
- Submit the *Final Project Case Study Plan* to the CAM for approval.
- Execute the *Final Project Case Study Plan* and develop and submit a *Project Case Study (Draft/Final)*
- When directed by the CAM, develop presentation materials for an CEC-sponsored conference/workshop(s) on the project.
- When directed by the CAM, participate in annual EPIC symposium(s) sponsored by the CEC.
- Provide at least (6) six *High Quality Digital Photographs* (minimum resolution of 1300x500 pixels in landscape ratio) of pre and post technology installation at the project sites or related project photographs.

**Products:**

- Project Case Study Plan (Draft/Final)
- Summary of TAC Comments
- Project Case Study (Draft/Final)
- High Quality Digital Photographs

**IV. PROJECT SCHEDULE**

Please see the attached Excel spreadsheet.

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 Amendment 2 to Agreement 300-15-007 with California Clean Energy Fund dba CalCEF Ventures to augment the budget with \$33,000,000 to update the Scope of Work, extend the agreement term by four years. This amendment will continue and expand the successful CalSEED Initiative program established under this agreement, Of the \$33 million, \$12.7 million is immediately available and the remaining \$20.3 million will be available contingent upon approval of future EPIC funding. CalSEED provides seed funding, mentoring, technical consulting, and business development services to support clean energy entrepreneurs and research teams to develop breakthrough solutions that will benefit California's Investor Owned Utility electric ratepayers and help achieve the goals of SB 100; 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 CEC 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 June 9, 2021

AYE:

NAY:

ABSENT:

ABSTAIN:

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Patricia Carlos  
Secretariat