



**California Energy Commission
March 6, 2023 Business Meeting
Backup Materials for Agenda Item No 06:**

**National Wind Technology Consortium, Inc dba National Offshore Wind Research
and Development Consortium (NOWRDC)**

The following backup materials for the above-referenced agenda item are available in this PDF packet as listed below:

1. Proposed Resolution (attached below).
2. Grant Request Form or Grant Amendment Request Form or Contract Request Form or Loan Request Form (applicable form attached below).
3. Scope of Work (attached below).
4. CEQA documents (if applicable, attached below).
5. Other relevant documentation or link to other documentation (if applicable, attached below).

STATE OF CALIFORNIA

STATE ENERGY RESOURCES
CONSERVATION AND DEVELOPMENT COMMISSION

**RESOLUTION: National Wind Technology Consortium, Inc. dba National Offshore
Wind Research and Development Consortium (NOWRDC)**

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 Agreement EPC-22-009 with NOWRDC for a grant up to \$5,000,000 to establish and manage a collaborative effort to develop solicitations that will support California's offshore wind deployment. The solicitations will reflect the offshore wind priorities identified in the Electric Program Investment Charge (EPIC) investment plan. With CEC approval, NOWRDC will competitively select grant recipients, leveraging federal and state funds and benefiting California ratepayers. Updates on research and development investments and offshore wind planning activities to support California's aspirational planning goals will also be provided; and

FURTHER BE IT RESOLVED, that the Executive Director or their 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 March 6, 2023.

AYE:

NAY:

ABSENT:

ABSTAIN:

Dated:

Liza Lopez
Secretariat



GRANT REQUEST FORM (GRF)

A. New Agreement Number

IMPORTANT: New Agreement # to be completed by Contracts, Grants, and Loans Office.

New Agreement Number: EPC-22-009

B. Division Information

1. Division Name: ERDD
2. Agreement Manager: Daphne Molin
3. MS-:None
4. Phone Number: (916) 776-0807

C. Recipient's Information

1. Recipient's Legal Name: National Wind Technology Consortium, Inc. d/b/a National Offshore Wind Research and Development Consortium
2. Federal ID Number: 82-4740333

D. Title of Project

Title of project: National Offshore Wind Research and Development Consortium - CEC-NOWRDC Offshore Wind Block Grant Program

E. Term and Amount

1. Start Date: 4/1/2023
2. End Date: 9/30/2027
3. Amount: \$5,000,000

F. Business Meeting Information

1. Are the ARFVTP agreements \$75K and under delegated to Executive Director? No
2. The Proposed Business Meeting Date: 3/6/2023 .
3. Consent or Discussion? Discussion
4. Business Meeting Presenter Name: Daphne Molin
5. Time Needed for Business Meeting: 10 minutes.
6. The email subscription topic is: EPIC (Electric Program Investment Charge).

Agenda Item Subject and Description:

National Wind Technology Consortium, Inc dba National Offshore Wind Research and Development Consortium (NOWRDC).

Proposed resolution approving Agreement EPC-22-009 with NOWRDC for a grant up to \$5,000,000 to establish and manage a collaborative effort to develop solicitations that will support California's offshore wind deployment, and adopting staff's determination that this action is exempt under CEQA. The solicitations will reflect the offshore wind priorities identified in the Electric Program Investment Charge (EPIC) investment plan. With CEC approval, NOWRDC will competitively select grant recipients, leveraging federal and state funds and benefiting California ratepayers. Updates on research and development investments and offshore wind planning activities to support California's aspirational planning goals will also be provided. (EPIC Funding) Contact: Daphne Molin (Staff Presentation: 10 minutes)



G. California Environmental Quality Act (CEQA) Compliance

1. Is Agreement considered a "Project" under CEQA?

Yes

If yes, skip to question 2.

If no, complete the following (PRC 21065 and 14 CCR 15378) and explain why Agreement is not considered a "Project":

2. If Agreement is considered a "Project" under CEQA answer the following questions.

a) Agreement **IS** exempt?

Yes

Statutory Exemption?

Yes

If yes, list PRC and/or CCR section number(s) and separate each with a comma. If no, enter "None" and go to the next question.

PRC section number: PRC 15262

CCR section number: None

Categorical Exemption?

Yes

If yes, list CCR section number(s) and separate each with a comma. If no, enter "None" and go to the next question.

CCR section number: CCR tit. 14 section number 15306

Common Sense Exemption? 14 CCR 15061 (b) (3)

No

If yes, explain reason why Agreement is exempt under the above section.

Public Resources Code section 15262 provides that a project involving only feasibility or planning studies for possible future actions which the agency, board, or commission has not approved, adopted, or funded does not require the preparation of an EIR or negative declaration but does require consideration of environmental factors. This project involves planning studies for possible future solicitations which the Commission has not yet approved, adopted, or funded. Awards funded from this block grant agreement will also be subject to approval at a future Energy Commission business meeting, and CEQA will be addressed on a project by project basis.

Therefore, this project is exempt under Public Resources Code section 15262.

Cal. Code Regs., tit. 14, sect. 15306 consists of basic data collection, research, experimental management, and resource evaluation activities which do not result in a serious or major disturbance to an environmental resource. These may be strictly for information gathering purposes, or as part of a study leading to an action which a public agency has not yet approved, adopted, or funded. This project involves research of promising new energy concepts and development of solicitations based on that research to fund technologies. This project helps establish the technical merits and commercial potential of promising technologies. NOWRDC will be assessing offshore wind deployment projects for potential future awards that will be



considered by the CEC. For these reasons, the proposed project will have no significant effect on the environment and is categorically exempt under section 15306.

This project does not involve impacts on any particularly sensitive environment; any cumulative impacts of successive projects of the same type in the same place that might be considered significant; does not involve unusual circumstances that might have a significant effect on the environment; will not result in damage to scenic resources within a highway officially designated as a state scenic highway; the project site is not included on any list compiled pursuant to Government Code section 65962.5, and the project will not cause a substantial adverse change in the significance of a historical resource. Therefore, none of the exceptions to categorical exemptions listed in CEQA Guidelines section 15300.2 apply to this project and this project will not have a significant effect on the environment.

b) Agreement **IS NOT** exempt.

IMPORTANT: consult with the legal office to determine next steps.

No

If yes, answer yes or no to all that applies. If no, list all as “no” and “None” as “yes”.

Additional Documents	Applies
Initial Study	No
Negative Declaration	No
Mitigated Negative Declaration	No
Environmental Impact Report	No
Statement of Overriding Considerations	No
None	Yes

H. Subcontractors

List all Subcontractors listed in the Budget (s) (major and minor). Insert additional rows if needed. If no subcontractors to report, enter “No subcontractors to report” and “0” to funds.

Delete any unused rows from the table.

Subcontractor Legal Company Name	CEC Funds	Match Funds
No subcontractors to report	\$	\$

I. Vendors and Sellers for Equipment and Materials/Miscellaneous

List all Vendors and Sellers listed in Budget(s) for Equipment and Materials/Miscellaneous. Insert additional rows if needed. If no vendors or sellers to report, enter “No vendors or sellers to report” and “0” to funds. **Delete** any unused rows from the table.

Vendor/Seller Legal Company Name	CEC Funds	Match Funds
No vendors to report	\$	\$



J. Key Partners

List all key partner(s). Insert additional rows if needed. If no key partners to report, enter "No key partners to report." **Delete** any unused rows from the table.

Key Partner Legal Company Name
No key partners to report

K. Budget Information

Include all budget information. Insert additional rows if needed. If no budget information to report, enter "N/A" for "Not Applicable" and "0" to Amount. **Delete** any unused rows from the table.

Funding Source	Funding Year of Appropriation	Budget List Number	Amount
EPIC	20-21	301.001H	\$ 3,000,000
EPIC	21-22	301.001I	\$ 2,000,000

TOTAL Amount: \$ 5,000,000

R&D Program Area: EGRB: Renewables

Explanation for "Other" selection Not applicable

Reimbursement Contract #: Not applicable

Federal Agreement #: Not applicable

L. Recipient's Contact Information

1. Recipient's Administrator/Officer

Name: Lyndie Hice-Dunton

Address: 1000 Innovation Rd

City, State, Zip: Stony Brook, NY 11794-6044

Phone: 848-863-3269

E-Mail: lyndie.hice-dunton@nationaloffshorewind.org

3. Recipient's Project Manager

Name: Kori Groenveld

Address: PO Box 38019

City, State, Zip: Albany, NY 12203-8019

Phone: 805-657-7197

E-Mail: kori.groenveld@nationaloffshorewind.org



M. Selection Process Used

There are three types of selection process. List the one used for this GRF.

Selection Process	Additional Information
Competitive Solicitation #	Not applicable
First Come First Served Solicitation #	Not applicable
Other	Non-competitive bid (sole source), approved by Joint Legislative Budget Committee on December 8, 2022.

N. Attached Items

1. List all items that should be attached to this GRF by entering "Yes" or "No".

Item Number	Item Name	Attached
1	Exhibit A, Scope of Work/Schedule	Yes
2	Exhibit B, Budget Detail	Yes
3	CEC 105, Questionnaire for Identifying Conflicts	Yes
4	Recipient Resolution	No
5	Awardee CEQA Documentation	No

Approved By

Individuals who approve this form must enter their full name and approval date in the MS Word version.

Agreement Manager: Daphne Molin

Approval Date: 1/27/2023

Office Manager: Kevin Uy

Approval Date: 1/27/2023

Deputy Director: Angie Gould

Approval Date: 1/27/2023

EXHIBIT A SCOPE OF WORK

I. TASK and ACRONYM/TERM LISTS

A. TASK LIST

Task #	CPR ¹	Task Name
1		General Project Tasks
2		CEC-NOWRDC Offshore Wind Initiative
3	X	Solicitation Scoping and Preparation
4		Solicitation Management
5	X	Application Scoring
6	X	Project Management
7		Annual Project Merit Review
8		Evaluation of Project Benefits
9		Knowledge Transfer Activities

B. Acronym/Term List

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

Acronym	Definition
AB	Assembly Bill
CAM	Commission Agreement Manager
CAO	Commission Agreement Officer
CEC	California Energy Commission
CPR	Critical Project Review
EPIC	Electric Program Investment Charge
GHG	Greenhouse Gas Emissions
GW	Gigawatts
Initiative	CEC-NOWRDC Offshore Wind Initiative
NOWRDC	National Offshore Wind Research and Development Consortium
R&D	Research and Development
RD&D	Research, Development, and Demonstration
Subaward	Project funded from this block grant agreement
Subrecipient	The recipient of a subaward
TAC	Technical Advisory Committee
TRC	Technical Review Committee

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

A. Purpose of Agreement

1 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.

EXHIBIT A SCOPE OF WORK

The purpose of this Agreement is to fund the National Offshore Wind Technology Consortium, Inc. d/b/a National Offshore Wind Research and Development Consortium (NOWRDC) to establish and manage a collaborative CEC-NOWRDC Offshore Wind Initiative (“Initiative”) to inform the development of one or more solicitations that will support California’s offshore wind deployment. The initiative will reflect the needs of offshore wind development in California, be informed by industry experts, and incorporate input and receive approval from the California Energy Commission (CEC) staff. The Recipient will develop and manage at least one solicitation, co-funded by California, federal, and other state funds, based on the initiative, and competitively select research and development (R&D) projects that will address technological barriers and lead to technological advancements and breakthroughs as mandated by California Public Resources Code Section 25711.5(a). Decision (D.) 21-11-028,² Appendix A (revising former guiding principles within D. 12-05-037³, Ordering Paragraph 2). These projects will benefit California ratepayers, defined by the Electric Program Investment Charge (EPIC) guiding principles within California Public Utilities (CPUC) decisions as follows:

EPIC's mandatory guiding principle is to provide ratepayer benefits. Ratepayer benefits are defined here as (1) improving safety, (2) increasing reliability, (3) increasing affordability, (4) improving environmental sustainability, and (5) improving equity, all as related to California's electric system.⁴

The Recipient will provide project management as a block grant administrator, providing fiduciary and technical oversight for projects.

B. Problem/ Solution Statement

Problem

California has a significant offshore wind energy resource that is anticipated to be an important component of California’s 100 percent clean energy future and for supporting grid reliability. Such potential is recognized at the federal and state level, e.g., Assembly Bill (AB) 525 (Chiu, Chapter 231, Statutes of 2021), which requires the CEC to prepare a strategic plan for offshore wind energy development in federal waters off the California coast. The CEC released a report, pursuant to AB 525⁵ in August 2022, that established a preliminary planning goal range of 2 gigawatts (GW) to 5 GW of offshore wind for 2030, and 25 GW for 2045. In comparison, the technical potential for offshore wind

2 <https://docs.cpuc.ca.gov/PublishedDocs/Published/G000/M425/K515/425515575.PDF>

3 https://docs.cpuc.ca.gov/PublishedDocs/WORD_PDF/FINAL_DECISION/167664.PDF

4 Decision (D.) 21-11-028, Appendix A (revising former guiding principles within D. 12-05-037, Ordering Paragraph 2).

5 California Energy Commission. 2022. [Offshore Wind Development off the California Coast: Maximum Feasible Capacity and Megawatt Planning Goals for 2030 and 2045.](https://www.energy.ca.gov/filebrowser/download/4361)

<https://www.energy.ca.gov/filebrowser/download/4361>

EXHIBIT A SCOPE OF WORK

resource for California is estimated at 201 GW,⁶ with about 96 percent of this resource potential located in waters deeper than 60 meters where floating technology is needed. Specifically, offshore wind installations in California are anticipated to be significantly deeper than any other installations to date.

California faces unique challenges to deploy offshore wind, including a lack of technical history and technological maturity of floating systems, high technology costs, deep coastal waters, harsh ocean environments (e.g., seismic activity, wave conditions), and sensitive marine habitat.

While fixed-bottom offshore wind has been installed internationally and on the U.S. East Coast, floating technologies require additional R&D for different aspects, such as mooring lines, anchors, and environmental interactions. In addition, compared to technologies for traditional oil and gas floating platforms developed decades ago, floating wind farms will require R&D for complex site-specific configurations, reduced technology costs, and minimized environmental impacts. Floating offshore wind technology designs, installation, and operation must consider these challenges to ensure long term operational performance, including efficiency and reliability. There also is a need for continuing evaluation of technically feasible capacity, considering different factors such as sea space, transmission and grid integration needs, port infrastructure, and impacts on coastal resources.

Solution

The NOWRDC is a nationally focused, not-for-profit organization that supports and promotes R&D activities that address technological and supply chain barriers to deployment and helps lower development risk to investors. The NOWRDC manages industry-focused R&D with state and federal government collaboration to reduce offshore wind development costs and risks while maximizing economic benefits. Collaborating with NOWRDC through a block grant agreement will help address the challenges and accelerate the deployment of offshore wind, advance offshore wind energy technology and strategies for California through co-funded research and development and add to the pool of technology and expert resources needed to overcome various challenges. The NOWRDC's access to a network of experts from the offshore wind industry, state and federal government resources, and results and lessons from offshore wind deployment projects in other states will inform the development and deployment of an offshore wind solicitation and resulting projects.

While the U.S. Department of Energy has research initiatives working towards their Floating Offshore Wind Shot goal⁷ and the CEC has floating offshore wind initiatives in their EPIC Investment Plan, the opportunity to leverage federal and other state funds would catalyze R&D in novel ways. This collaboration will result in California having the opportunity to contribute to the national offshore wind efforts by way of research direction and priorities with respect to project awards and cost share funding.

6 National Renewable Energy Laboratory. 2020. [2020 Offshore Wind Resource Assessment for the California Pacific Outer Continental Shelf](https://www.nrel.gov/docs/fy21osti/77642.pdf), <https://www.nrel.gov/docs/fy21osti/77642.pdf>

7 U.S. Department of Energy. 2022. [Floating Offshore Wind Shot](https://www.energy.gov/eere/wind/floating-offshore-wind-shot). <https://www.energy.gov/eere/wind/floating-offshore-wind-shot>

EXHIBIT A SCOPE OF WORK

C. Goals and Objectives of the Agreement

Agreement Goals

The goals of this Agreement are to advance the state of offshore wind energy technologies that are suited for California's conditions and address various technological, environmental, and cost barriers to help accelerate the deployment of offshore wind in California. This will be achieved through developing an offshore wind R&D initiative that identifies research priorities, developing a grant solicitation, conducting project selection for funding, and managing awarded research projects. This effort will:

- Establish priority topics and technical expectations for offshore wind projects, informed by consultation with relevant experts, industries, research and development entities, academia, and investors.
- Facilitate crucial information exchange between key industry-focused R&D projects to leverage results and benefit from lessons learned from other states.
- Ensure California representation in NOWRDC's research priorities.
- Ensure a fair, streamlined, and transparent process for identifying research and development projects to receive funding with input and approval from the CEC.

Ratepayer Benefits:⁸ This Agreement will result in the ratepayer benefits of reliability, affordability, safety, and environmental sustainability by filling the gaps needed to advance and deploy offshore wind energy in California. Ratepayer benefits can include:

- reduced risks and uncertainty related to environmental impacts and technology development by filling critical knowledge gaps for environmental permitting;
- increased reliability by decreasing turbine downtime due to understanding or mitigating environmental impacts or component failure or improving and validating technological maturity and performance;
- lowered costs, such as costs for permitting or improving the manufacturability or installation efficiency of components;
- increased safety by improving installation, operations and maintenance strategies, or remote monitoring capabilities to reduce exposure of personnel to ocean conditions; and
- increased environmental sustainability by developing and implementing strategies that minimize impacts to ocean environments or marine life or designing components that minimize end-of-life challenges and reduce waste.

Deployment of offshore wind energy will provide clean, renewable, and reliable electricity to the grid, complement solar and other sources of electricity, reduce dependence on fossil-fueled power plants thus reducing criteria air pollutant and greenhouse gas emissions (GHG), and create jobs and economic opportunities for California communities.

⁸ 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).

EXHIBIT A SCOPE OF WORK

Technological Advancement and Breakthroughs:⁹ 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 for offshore wind technology innovators, researchers, and project developers. These projects will advance the technology readiness, lower the costs, and support the future deployment of offshore wind in California. The agreement will leverage NOWRDC's network of experts and existing industry-focused research activities to implement the Initiative that will support a broad range of entities working on different maturity levels of offshore wind technologies and strategies.

Agreement Objectives

The objectives of this Agreement are to:

- Thoroughly review relevant literature, publicly available materials, and research plans to inform project tasks.
- Develop, in consultation with CEC staff and industry experts, an offshore wind R&D initiative plan that identifies research priorities and solicitation requirements based on California's unique challenges.
- Develop and implement grant solicitations, including cost-share funding initiatives that leverage support from other members of NOWRDC in accordance with the initiative plan, with input and approval from the CEC.
- Execute and manage grant agreements for awarded R&D projects following CEC Business Meeting approval.
- Conduct annual merit review of awarded projects, project benefits analysis, and outreach activities that share project results and lessons learned.

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.

⁹ California Public Resources Code, Section 25711.5(a) also requires EPIC-funded projects to lead to technological advancement and breakthroughs to overcome barriers that prevent the achievement of the state's statutory and energy goals.

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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:

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 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.
- **Documents intended for public distribution will be in PDF file format.**
- The Recipient must also provide the native Microsoft file format.
- Project management documents will be in Microsoft Project file format, version 2007 or later.

○ **Software Application Development**

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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.

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 1.7);
- Permit documentation (subtask 1.8);
- Subcontracts (subtask 1.9); and
- Any other relevant topics.

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

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- 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 1.5);
 - Final Report (subtask 1.6);
 - Technical Advisory Committee meetings (subtasks 1.10 and 1.11); 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.

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 1.7) (*if applicable*)
- Permit Status Letter (subtask 1.8) (*if applicable*)

CAM Product:

- Kick-off Meeting Agenda

Subtask 1.3 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, 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. 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,

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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(s)
- Progress Determination

Subtask 1.4 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 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., Zoom or WebEx), with approval of the CAM.

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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 *All Draft and Final Written Products* on a Zip file, CD-ROM or USB memory stick, organized by the tasks in the Agreement.

Products:

- Final Meeting Agreement Summary
- Schedule for Completing Agreement Closeout Activities
- All Draft and Final Written Products

REPORTS AND INVOICES

Subtask 1.5 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 a 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 month, including accomplishments, problems, milestones, products, schedule, fiscal status, and an assessment of the ability to complete the Agreement within the current budget and any anticipated cost overruns. See the Progress Report Format Attachment for the recommended specifications.
 - Participate in a monthly progress call with the CAM to address questions on the Monthly Call Form.
- 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

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Fund and in-state expenditures.

- The Recipient's cost to administer the block grant program shall not exceed the direct labor and fringe category budgets provided in the agreement budget. The Subrecipients category will solely be utilized for subawards.

Products:

- Progress Reports
- Invoices

Subtask 1.6 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. The CAM will review the Final Report, which will be due at least **two months** before the Agreement end date. When creating the Final Report Outline and the Final Report, the Recipient must use the Style Manual provided by the CAM.

Subtask 1.6.1 Final Report Outline

The Recipient shall:

- Prepare a *Final Report Outline* in accordance with the *CEC Style Manual* provided by the CAM. (See Task 1.1 for requirements for draft and final products.)
-

Recipient Products:

- Final Report Outline (draft and final)

CAM Product:

- CEC Style Manual
- Comments on Draft Final Report Outline
- Acceptance of Final Report Outline

Subtask 1.6.2 Final Report

The Recipient shall:

- Prepare a *Final Report* for this Agreement in accordance with the approved Final Report Outline, CEC 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)

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- 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 on Draft Final Report* 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 response explaining why the comment was 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 on Draft Final Report
- Final Report (draft and final)
- Written Responses to Comments on the Draft Final Report

CAM Product:

- Written Comments on the Draft Final Report

MATCH FUNDS, PERMITS, AND SUBCONTRACTS

Subtask 1.7 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.

EXHIBIT A SCOPE OF WORK

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.
- A copy of a letter of commitment from an authorized representative of each source of match funding that the funds or contributions have been secured.
- At the Kick-off meeting, discuss match funds and the impact on the project if they are significantly reduced or not obtained as committed. If applicable, match funds will be included as a line item in the progress reports and will be a topic at 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 1.8 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.

EXHIBIT A SCOPE OF WORK

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*.
- 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 1.9 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 CEC 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 the executed subcontract.

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- 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 1.10 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. TAC members will serve at the CAM's discretion.

The purpose of the TAC is to:

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

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

- Researchers knowledgeable about the initiative and solicitation subject matter;
- Members of trades that will apply the results of the projects (e.g., designers, engineers, architects, contractors, and trade representatives);
- Public interest market transformation implementers;
- Product developers relevant to the projects;

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- U.S. Department of Energy research managers, or experts from other federal or state agencies relevant to the project;
- Environmental non-governmental organizations;
- Utility representatives;
- Air district staff; and
- Members of relevant technical society committees.

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 1.11.
- 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 Potential TAC Members
- List of TAC Members
- Documentation of TAC Member Commitment

Subtask 1.11 TAC Meetings

The goal of this subtask is for the TAC to provide strategic guidance for projects 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.

Products:

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

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- TAC Meeting Summaries

IV. 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: CEC-NOWRDC OFFSHORE WIND INITIATIVE

The goal of this task is to develop a *CEC-NOWRDC Offshore Wind Initiative Plan* that will serve as the strategic operational plan for the offshore wind solicitation development and project management. The initiative describes the research priorities as well as procedures, processes, tools, templates, and resources that will be used to develop and implement the Tasks in a manner that achieves the Goals and Objectives of the Agreement.

The Recipient shall:

- Conduct a review of relevant literature, publicly available materials, and research plans to inform the development of an offshore wind solicitation, consistent with the requirements in this Agreement.
- Develop a stakeholder engagement plan and outreach materials to enable participation in the development of the Offshore Wind Initiative from a diverse team of researchers, technology developers, and project implementors including those from underrepresented groups.
- Conduct a consultation with CEC staff and TAC members, including industry experts and consortium members, to inform high priority research areas that support California’s offshore wind development.
- Outline the procedures and processes that will be used for the implementation of this Agreement, including, but not limited to, review and approval processes, internal and external document management, Advisory Board scope and expectations for the subawards, and application screening, including handling confidential information.
- Outline the templates, tools, and resources that will be used for the implementation of this Agreement, including, but not limited to, solicitation templates, agreement templates, project repositories, and webpages.
- Prepare an Inventory of Technical Information containing the following information for the offshore wind-related technical experts used in the Initiative:
 - Name
 - Affiliation
 - Area(s) of expertise
 - Email and phone number
 - Services provided (for example: technical review of proposals, technical consulting).
- Identify and evaluate options for research priorities, including how the research would address critical barriers (e.g., technological, economic, environmental), why NOWRDC and EPIC funds are uniquely suited to address the research

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areas, why the timing for the research priorities are aligned with the CEC-NOWRDC solicitation, and estimated project funding amounts to address the research gaps.

- Identify and evaluate opportunities to leverage NOWRDC, federal, or other state funds.
- Submit a *Draft CEC-NOWRDC Offshore Wind Initiative Plan* to the CAM for review and comment. The Initiative Plan will include, but not be limited to:
 - Research topics recommended for funding, including the rationale for how they were prioritized, considering different co-funding amounts and opportunities, with relevant references. The CEC contribution to the co-funded solicitation will be \$1 million to \$5 million.
 - A detailed description of how those topics address California-specific offshore wind research needs, are consistent with the current EPIC Investment Plan, and would result in benefits to California ratepayers.
 - Outline of processes, procedures, templates, tools, and resources used in the implementation of this Agreement.
 - Inventory of Technical Expert Information developed in this task.
- Submit the *Final CEC-NOWRDC Offshore Wind Initiative Plan* for CAM written approval.
- Provide or support briefings to CEC management, if requested by the CAM.

Products:

- CEC-NOWRDC Offshore Wind Initiative Plan (draft and final)

CAM Products:

- Final CEC-NOWRDC Offshore Wind Initiative Plan Approval
- Selected research topic(s) for CEC-NOWRDC Solicitation

TASK 3: SOLICITATION SCOPING AND PREPARATION

The goal of this task is to develop at least one co-funded solicitation, including technical rationale and project requirements, that aligns with the priorities identified in the CEC-NOWRDC Offshore Wind Initiative.

The Recipient shall:

- Identify the technical scope and requirements of the solicitation research topics.
 - Conduct further literature reviews and stakeholder engagement, as specified by the CAM, to identify key performance indicators or target metrics for the technologies (e.g., cost, performance, technical characteristics) to support achieving benefits to California ratepayers. Stakeholder engagement could include consultation with the CAM (and other CEC staff as recommended by the CAM), TAC members, industry experts, and consortium members. Stakeholder engagement may include meetings or correspondence with experts or hosting a public workshop.
- Provide details on solicitation design, timeline, funding amounts, and the subrecipient management process, as requested by the CAM.
- Develop and maintain the procedures and processes that will be used for the implementation of this Agreement, including, but not limited to, review and

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approval processes, internal and external document management, and application screening, including handling confidential information.

- Prepare an outreach plan to encourage eligible entities, including those from geographically and organizationally diverse, or underrepresented, groups, to apply to the CEC-NOWRDC solicitation.
- Update the *Inventory of Technical Expert Information* with a list of proposed Technical Review Committee members with expertise to review or score anticipated project proposals, which may be composed of diverse professionals representing groups such as, but not limited to:
 - CEC staff.
 - Researchers knowledgeable about specific technical subject matter;
 - Members of trades that will apply the results of the project (e.g., developers, designers, engineers, architects, contractors, and trade representatives);
 - U.S. Department of Energy research managers, or experts from other federal or state agencies;
 - Environmental non-governmental organizations
 - Utility representatives;
 - Air district staff;
 - Members of relevant technical society committees;
 - Venture Capital firms; and
 - Environmental Justice organizations.
- Prepare and submit an *Offshore Wind Solicitation Concept Package* to the CAM for written approval, which will include a summary of the proposed solicitation, how the draft solicitation aligns with the initiative and will benefit California ratepayers, the co-funding opportunity, how expert feedback informed the design of the proposed solicitation, a planned outreach strategy, and a funding matrix laying out CEC, NOWRDC, federal, or other state funds that will be leveraged for the upcoming solicitation.
- Provide or support briefings to CEC management, if requested by the CAM.
- Prepare a *CPR Report #1* and participate in a CPR meeting in accordance with subtask 1.3 (CPR Meetings).

Products:

- Inventory of Technical Expert Information
- Offshore Wind Solicitation Concept Package (draft and final)
- CPR Report #1

CAM Products:

- Final Offshore Wind Solicitation Concept Package Approval

TASK 4: SOLICITATION MANAGEMENT

The goal of this task is to manage at least one solicitation for offshore wind Research, Development, and Demonstration (RD&D) projects. The solicitation must align with the priorities identified in the CEC-NOWRDC Offshore Wind Concept Package.

The Recipient shall:

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- Develop an *Offshore Wind Solicitation Manual* consistent with the *Offshore Wind Solicitation Concept Package*. The *Offshore Wind Solicitation Manual* shall reflect the List of Potential Evaluation Areas in D. 13-11-025 Attachment 4. This will be a public document that will describe, at minimum, the following to potential applicants:
 - The solicitation release and notification process
 - The process for submitting applications
 - The application screening and selection criteria
 - The award recommendation and CEC approval process
 - The process for unsuccessful applicants to request debriefings
 - The subrecipient management process
 - The NOWRDC in-kind resources and services available to support awarded projects.
- Each solicitation intended to use CEC funds shall include the language and scoring criteria recommended by the CAM including but not limited to:
 - **Impacts and Benefits for California IOU Ratepayers.** This criterion should count *no less than 20 percent* of the scoring criteria.
 1. Explains how the proposed project will benefit California Investor-Owned Utility (IOU) electricity ratepayers and provides clear, plausible, and justifiable (quantitative preferred) potential benefits. Estimates the energy benefits including:
 - annual electricity (kilowatt-hour and therms), energy cost reductions, peak load reduction and/or shifting, infrastructure resiliency, infrastructure reliability.
 - In addition, estimates of the non-energy benefits including:**
 - GHG reductions, air emission reductions (e.g., NOx), water savings and cost reduction, and/or increased safety.
 2. States the timeframe, assumptions with sources, and calculations for the estimated benefits, and explains their reasonableness. Include baseline or “business as usual” over timeframe.
 3. Explains the path-to-market strategy including near-term (i.e., initial target markets), mid-term, and long-term markets for the technology, size and penetration or deployment rates, and underlying assumptions.
 - **Project Funds Spent in California.** This criterion should count *no less than 15 percent* of the scoring criteria. The recipient shall coordinate with CAM for the specific calculations of funds spent in California during the solicitation development stage.
- Develop and maintain the templates, tools, and resources that will be used for the implementation of this Agreement, including, but not limited to, solicitation templates, agreement templates, project repositories, and webpages.
- Create *Application Forms* for the offshore wind funding opportunities.
- Provide or support briefings to CEC management, if requested by the CAM.
- Obtain written approval from the CAM to advertise the solicitation.
- Projects that maximize the spending of funds under this solicitation in California will receive points as indicated in the table below.

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Percentage of CEC funds spent in California vs Total CEC funds requested (Derived from budget Attachment)	Percentage of Possible Points
>60%	20%
>65%	30%
>70%	40%
>75%	50%
>80%	60%
>85%	70%
>90%	80%
>95%	90%
>98%	100%

- "Funds Spent in California" means that:
 - (1) Funds in the "Direct Labor category and all categories calculated based on direct labor (e.g., fringe benefits, indirect costs and profit) are paid to individuals that pay California state income taxes on wages received for work performed under the Agreement. Payments made to out-of-state workers do not count as "funds spent in California." However, funds spent by out-of-state workers in California (e.g., hotel and food) can count as "funds spent in California."; AND
 - (2) Business transactions (e.g., material and equipment purchases, leases, and rentals) are entered into with a business located in California.
 - (3) Total should include any applicable subcontractors.
- Airline ticket purchases for out-of-state travel and payments made to out-of-state workers are not considered funds "spent in California." However, funds spent by out-of-state workers in California (e.g., lodging) and airline travel originating and ending in California are considered funds "spent in California." A business located in California means: 1) businesses registered with Secretary of State AND 2) transaction is with a location in California that is directly related to the grant project (e.g., direct purchase of material and equipment to be used in the grant) and results in the support of California business and jobs.
 - Example 1: Grant funds will be spent on temperature sensors. The temperature sensors are manufactured in Texas. The recipient orders the temperature sensors directly from a California based supply house. The invoice shows that the transaction occurred with the California based supply house. This transaction is eligible and can be counted as funds spent in California.
 - Example 2: Grant funds will be spent on temperature sensors. The temperature sensors are manufactured in Texas. The recipient orders the temperature sensors directly from Texas. The manufacturer has training centers in CA that instructs purchasers on how to use the sensors. The invoice shows that the transaction occurred in Texas. This transaction is not eligible and cannot be counted as funds spent in California.

Products:

- Offshore Wind Solicitation Manual (draft and final)
- Application Forms (draft and final)

EXHIBIT A SCOPE OF WORK

TASK 5: APPLICATION SCORING

The goal of this task is to evaluate applications and select projects to be recommended for awards. Selected projects must be approved for award at a CEC Business Meeting and the Recipient must have written approval from the CAM prior to entering into grant agreements with the awarded applicant(s). Each selected project must benefit California ratepayers as required by Public Resources Code Section 25711.5(a) and California Public Utilities Commission D. 21-11-028. The CEC will not approve projects that do not comply with EPIC statutory requirements.

The Recipient shall:

- Organize a Technical Review Committee (TRC) with technical area expertise to review and evaluate project proposals and make final recommendations for awardees.
 - Prepare a *List of Confirmed TRC Members* that includes the names, companies, electronic addresses, and phone numbers of confirmed members.
 - Submit *Documentation of TRC Member Commitment* (such as Letters of Acceptance) from each TRC member.
 - Ensure no potential or actual conflict of interests exist between the TRC members and applicants, subcontractors and partners.
- Create *Scorer and Reviewer Forms* for offshore wind funding opportunities.
- Facilitate a TRC meeting to review and/or score proposals and identify recommended projects for funding for each solicitation.
- Provide or support briefings to CEC management, if requested by the CAM.
- Recommend projects to the CAM to submit for CEC Business Meeting approval or disapproval for funding for each solicitation with a *Project Proposals and Recommendations Package* that includes a summary of technical, administrative, and funding information of each project recommended for an award, along with the scores, summary of strengths and weaknesses, and scorer and reviewer notes. A NOWRDC representative must be present at each CEC Business Meeting considering a recommended award to be available to answer questions of the CEC and the public on proposed project details and benefits to California ratepayers.
- Coordinate with the grant recipients to complete agreement documents, including but not limited to a Scope of Work, which includes performance metrics, Schedule, Budget, California Environmental Quality Act, and Confidentiality/Intellectual Property documents.
- Obtain approval from the CAM (and other CEC staff as recommended by the CAM) of *Agreement Documents for Recommended Projects*.
- Prepare a *CPR Report #2* and participate in a CPR meeting in accordance with subtask 1.3 (CPR Meetings).

Products:

- List of Confirmed TRC Members
- Documentation of TRC Member Commitment
- Scorer and Reviewer Forms (draft and final)

EXHIBIT A SCOPE OF WORK

- Project Proposals and Recommendations Package (draft and final)
- Agreement Documents for Recommended Projects
- CPR Report #2

CAM Products:

- Approval for Awarded Projects
- Approval for Agreement Documents

TASK 6: PROJECT MANAGEMENT

The goal of this task is for NOWRDC to manage each project receiving funding from the CEC under the funding opportunity described in Task 4, providing fiduciary and technical oversight for projects in accordance with the terms and conditions of this Agreement. NOWRDC will be the first line of communication with the subrecipients for all administrative needs.

The Recipient shall:

- Ensure projects follow the agreement documents, as approved by the CEC, by obtaining regular project status updates and making revisions as necessary. Written approval from the CAM is needed for any amendments to the Scope of Work. Substantive amendments to subaward purpose may require CEC Business Meeting approval.
- Intervene to provide appropriate levels of technical or administrative assistance for projects that encounter problems.
- Provide a *Completed Project Summaries* document that summarizes the findings, accomplishments, and next steps for each completed subaward project.
- Regularly maintain a repository of products and contract documents in a method that is readily accessible by the CAM.
- Regularly maintain information on subaward 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. Sample data maintained in this resource may include, but is not limited to:
 - Technology type
 - A two-sentence highlight statement about the project innovation
 - A picture of the company or innovation
 - Company contact information
 - The project's start and end date
 - The amount of funds spent to date
 - The EnergizeInnovation.fund company profile URL
- Update the *Inventory of Technical Expert Information*, including the list of Advisory Boards of each subaward.
- Prepare a *CPR Report #3* and participate in a CPR meeting in accordance with subtask 1.3 (CPR Meetings).

Products:

- Completed Project Summaries
- Updated Inventory of Technical Expert Information

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- CPR Report #3

TASK 7: ANNUAL PROJECT MERIT REVIEW

The goal of this task is for CEC staff to receive annual updates and presentations from NOWRDC subrecipients of this block grant on the subrecipient projects.

The Recipient shall:

- Prepare in person or virtual (as determined by the CAM) annual workshops where subrecipients are able to present their innovations and conduct question and answer sessions with CEC staff. When relevant and appropriate, this workshop may be combined with the annual NOWRDC symposium planned and organized separately by the Recipient if available and upon concurrence with the CAM.
- Prepare and submit a *Summary of Annual Technical Merit Review* document which summarizes the activities of the workshops described earlier in this task. These summaries shall include high quality photographs, quotes from NOWRDC staff and subrecipients, an overall summary of the events of the meeting, and the slides used by the presenters.

Products:

- Summary of Annual Technical Merit Review

TASK 8: EVALUATION OF PROJECT BENEFITS

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

The Recipient shall:

- Complete the initial, annual, and final project benefits questionnaires and project profiles as described below, for each RD&D project funded under this block grant Agreement.
- Complete the *Initial Project Benefits Questionnaire* with 'Kick-off' selected for the 'Relevant data collection period' and submit to the CAM for review and approval.
- Complete the *Annual Survey* by January 31st of each year. The Annual Survey includes but is not limited to the following information:
 - Technology commercialization progress
 - New media and publications
 - Company growth
 - Follow-on funding and awards received
- Complete the *Final Project Benefits Questionnaire* with 'Final' selected for the 'Relevant data collection period' and submit to the CAM for review and approval.
- Respond to CAM questions regarding responses to the questionnaires.
- Complete and update the project profile on the CEC's public online project and recipient directory on the [Energize Innovation website](http://www.energizeinnovation.fund) (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](http://www.energizeinnovation.fund) (www.energizeinnovation.fund), and

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provide *Documentation of Organization Profile on EnergizeInnovation.fund*, including the profile link.

The CEC may send the Recipient similar questionnaires after the Agreement term ends. Responses to these questionnaires will be voluntary.

Products:

- Initial Project Benefits Questionnaire
- Annual Survey(s)
- Final Project Benefits Questionnaire
- Documentation of Project Profile on EnergizeInnovation.fund
- Documentation of Organization Profile on EnergizeInnovation.fund (if applicable)

TASK 9: KNOWLEDGE TRANSFER ACTIVITIES

The goal of this task is to provide opportunities for subrecipients to present the scientific and techno-economic analysis, tools, and technological advancements developed under this agreement with stakeholders, including, but not limited to, researchers, academic community, and/or commercial sector.

The Recipient Shall:

- Develop and submit a *Knowledge Transfer Plan* that identifies the proposed activities the recipient will conduct to meet the goal of the task. The *Knowledge Transfer Plan* should include at a minimum:
 - Specific policy and planning efforts the subaward projects are expected to inform.
 - Specific stakeholder groups, including technology developers, project developers, and energy policy and planning practitioners, who will utilize the results of the subaward projects.
 - Proposed activities the Recipient will conduct to ensure the results from the subaward projects will be utilized and adopted by the groups identified above, including but not limited to:
 - Presenting at NOWRDC Symposiums and meetings.
 - Information sharing with active and past NOWRDC projects.
 - Publishing project information on NOWRDC webpages.
 - Presenting at EPIC Symposiums if requested by the CAM.
- Provide the *Draft Knowledge Transfer Plan* to the TAC for feedback and comments.
- Develop and submit a *Summary of TAC Comments* that includes comments received from the TAC members on the *Draft Knowledge Transfer Plan* and how the recipient will incorporate the feedback into the *Final Knowledge Transfer Plan*.
- Submit the *Final Knowledge Transfer Plan* to the CAM for approval.
- Implement the activities as described in the *Final Knowledge Transfer Plan*.
- Develop a *Knowledge Transfer Summary Report* that includes high level summaries of the activities, results, and lessons learned of tasks performed

EXHIBIT A SCOPE OF WORK

relating to implementing the Final Knowledge Transfer Plan. This report should not include any proprietary information.

Products:

- Knowledge Transfer Plan (draft and final)
- Summary of TAC Comments
- Knowledge Transfer Summary Report (draft and final)

V. PROJECT SCHEDULE

Please see the attached Excel spreadsheet.