



**California Energy Commission
March 12, 2026 Business Meeting
Backup Materials for The Regents of the University of California as Manager and
Operator of the Lawrence Berkeley National Laboratory**

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

1. Proposed Resolution
2. Grant Request Form
3. Scope of Work

CALIFORNIA ENERGY COMMISSION

**PROPOSED RESOLUTION: The Regents of the University of California as
Manager and Operator of the Lawrence Berkeley National Laboratory**

RESOLUTION NO: 26-0312-XX

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-25-043 with Lawrence Berkeley National Laboratory for a \$500,000 grant. This agreement will fund the development, testing, and demonstration of advanced window retrofit solutions that significantly improve thermal performance and reduce air infiltration in existing frames; and

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

APPROVED AND ADOPTED this 12th day of March 2026, by the following vote:

AYE:

NAY:

ABSENT:

ABSTAIN:

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 approved and adopted by affirmative vote of the CEC at a meeting held on March 12, 2026.

Kim Todd
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-25-043

B. Division Information

1. Division Name: ERDD
2. Agreement Manager: Amir Ehyai
3. MS-:None
4. Phone Number:

C. Recipient's Information

1. Recipient's Legal Name: The Regents of the University of California as Manager and Operator of the Lawrence Berkeley National Laboratory

D. Title of Project

Title of project: Innovative Window Retrofits: Enhancing Thermal Efficiency and Infiltration Performance of Existing Windows

E. Term and Amount

1. Start Date: 4/20/2026
2. End Date: 9/30/2030
3. Amount: \$500,000

F. Business Meeting Information

1. Are the ARFVTP agreements \$75K and under delegated to Executive Director? No
2. The Proposed Business Meeting Date: 3/12/2026 .
3. Consent or Discussion? Discussion
4. Business Meeting Presenter Name: Jeanie Mar
5. Time Needed for Business Meeting: 5 minutes.
6. The email subscription topic is: Electric Program Investment Charge (EPIC) Program

Project Description:

The Regents of the University of California as Manager and Operator of the Lawrence Berkeley National Laboratory. The project will develop advanced window retrofit solutions to improve thermal performance and reduce air infiltration in existing window frames at a research lab in Berkeley, California. Laboratory testing and simulations will be used to optimize the performance of prototypes, ensure compliance with Title 24 energy standards, and durability under real-world conditions while validating energy savings, improved indoor comfort, and reduce health risks associated with condensation and mold growth. (EPIC Funding) Contact: Jeanie Mar

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?

No

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: None

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: Cal. Code Regs., tit. 14, § 15301; Cal. Code Regs. tit. 14, sec. 15306.

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

No

If yes, explain reason why Agreement is exempt under the above section. If no, enter "Not applicable" and go to the next section.

Section 15301 provides that projects which consist of the operation, repair, maintenance, permitting, leasing, licensing, or minor alteration of existing public or private structures, facilities, mechanical equipment, or topographical features, and which involve negligible or no expansion of use beyond that existing at the time of the lead agency's determination, are categorically exempt from the provisions of the California Environmental Quality Act (CEQA). The activities funded by this agreement are exempt under Cal. Code Regs, tit.14, section 15301 because they involve development of energy efficiency retrofit solutions and advanced window prototypes developed within a laboratory setting in Berkeley, California. The project involves data collection with no serious or major disturbance to an environmental resource. This project therefore falls under categorical exemption Section 15301.

Cal. Code Regs., tit. 14, sec. 15306 provides that projects which consist 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 are exempt from the provisions of CEQA. This project will involve testing and collecting data on window materials when exposed to different temperature and moisture conditions in a laboratory setting. Accordingly, this activity will not have a serious or major disturbance to an environmental resource and falls under categorical exemption Section 15306.



Additionally, the project will not impact an environmental resource of hazardous or critical concern where designated, precisely mapped, and officially adopted pursuant to law by federal, state, or local agencies; does not involve 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. Is this project considered “Infrastructure”?

No

I. 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	\$	\$

J. 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	\$	\$

K. 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
United States Department of Energy

L. 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	25-26	301.001M	\$ 500,000

TOTAL Amount: \$ 500,000

R&D Program Area: ICMB: Buildings

Explanation for “Other” selection Not applicable

Reimbursement Contract #: Not applicable

Federal Agreement #: Not applicable

M. Recipient’s Contact Information

1. Recipient’s Administrator/Officer

Name: Joanna Santoro

Address: 1 Cyclotron Rd

City, State, Zip: Berkeley, CA 94720-0001

Phone: 510 486-6824

E-Mail: jlsantoro@lbl.gov

2. Recipient’s Project Manager

Name: Robert Hart

Address: 1 Cyclotron Rd MS #90R2121

City, State, Zip: Berkeley, CA 94720

Phone: 510-486-4244

E-Mail: RGhart@lbl.gov

N. Selection Process Used



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

Selection Process	Additional Information
Competitive Solicitation #	GFO-24-310
First Come First Served Solicitation #	Not applicable
Other	Not applicable

O. 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: Amir Ehyai

Approval Date: 1/23/26

Branch Manager: Anthony Ng

Approval Date: 1/28/2026

Director: Jonah Steinbuck delegated to the Branch Manager

Approval Date: 1/28/2026

Exhibit A
Scope of Work
The Regents of the University of California as Manager and Operator of the
Lawrence Berkeley National Laboratory

I. TASK AND ACRONYM/TERM LISTS

A. Task List

Task #	CPR ¹	Task Name
1		General Project Tasks
2		Thermal Performance Development
3		Air Infiltration Reduction Development
4	X	Laboratory Testing and Characterization
5		Measurement and Verification (M&V)
6		Best Practices and Integration Guidelines
7		Evaluation of Project Benefits
8		Technology/Knowledge Transfer Activities

B. Acronym/Term List

Acronym/Term	Meaning
BTU	British Thermal Unit
CAM	Commission Agreement Manager
CAO	Commission Agreement Officer
CEC	California Energy Commission
CPR	Critical Project Review
M&V	Measurement and Verification
TAC	Technical Advisory Committee
U-Factor	A Measure of Thermal Performance
VIG	Vacuum Insulating Glazing

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

A. Purpose of Agreement

The purpose of this Agreement is to fund the development, testing, and demonstration of innovative window retrofit solutions that enhance energy efficiency and reduce air infiltration in California. It aims to ensure successful project execution, alignment with Title 24 standards, and measurable benefits for communities disproportionately burdened by pollution through energy savings, improved comfort, indoor air quality, and environmental impact reduction.

B. Problem/ Solution Statement

Problem

This project addresses the critical problem of poor thermal performance and excessive air infiltration in existing windows, which are among the least efficient components of the building

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 Regents of the University of California as Manager and Operator of the Lawrence Berkeley National Laboratory

envelope. Single-pane windows, prevalent in about half of California homes, have a low thermal resistance of R-1, significantly reducing overall wall performance and contributing to high energy consumption, occupant discomfort, and health risks such as mold growth due to condensation. Additionally, air infiltration through poorly sealed windows accounts for over 10% of residential envelope leakage, further exacerbating energy waste and indoor air quality issues. These challenges disproportionately affect low-income rate payers, where outdated windows are more common and energy efficiency upgrades are less accessible.

To date, the problem has not been adequately addressed due to cost barriers associated with full window replacements, limited availability of retrofit solutions tailored to existing frames, and insufficient integration of air infiltration impacts into energy compliance standards like Title 24. Addressing this issue is urgent, as California aims to achieve increased energy efficiency equivalent to 40% of current energy demand, particularly in communities disproportionately burdened by pollution where energy burdens are highest. By developing low-cost, easy-to-install retrofit solutions and integrating air infiltration reduction into compliance software, this project fills critical knowledge gaps, accelerates adoption, and provides affordable benefits to vulnerable populations.

Solution

This project will solve the problem by developing advanced window retrofit solutions that significantly improve thermal performance and reduce air infiltration in existing frames. High-performance glazing technologies, such as vacuum insulating glazing (VIG) and thin-triple glazing, will be tailored for retrofitting existing wood and vinyl frames, achieving a U-factor of ≤ 0.22 BTU/hr-ft²-°F. Additionally, innovative sealing systems, including compression seals and positive stops, will be developed to reduce air leakage to ≤ 0.3 cfm/sf at 75 Pa, addressing infiltration issues common in sliding and single-pane windows. These solutions will be cost-effective, scalable, and designed to minimize occupant disruption during installation.

The project will leverage laboratory testing and simulations to optimize the performance of prototypes, ensuring compliance with Title 24 standards and durability under real-world conditions while validating energy savings, improved indoor comfort, and reduced health risks associated with condensation and mold growth. Comprehensive measurement and verification (M&V) will quantify the energy impacts, while best practices installation guidelines and air infiltration reduction test procedures will enable widespread adoption. Development of air infiltration test procedures and the related modeling of their energy impacts could be integrated into building energy compliance software tools as a method for facilitating/advancing the adoption of the related technologies.

By overcoming cost and knowledge barriers, this project supports California's energy goals, increases access to energy-efficient solutions for low-income households, and enhances building resilience during power outages. The technological advancements achieved will accelerate the adoption of high-performance retrofits, addressing a critical gap in the residential energy efficiency market.

C. Goals and Objectives of the Agreement

Agreement Goals

The goals of this Agreement are to:

Exhibit A Scope of Work

The Regents of the University of California as Manager and Operator of the Lawrence Berkeley National Laboratory

- **Improve Energy Efficiency:** Develop and demonstrate advanced window retrofit solutions that significantly enhance thermal performance, achieving a U-factor of ≤ 0.22 BTU/hr-ft²-°F, and reduce air infiltration to ≤ 0.3 cfm/sf at 75 Pa.

Reduce Energy Costs for Californians: Provide cost-effective retrofit solutions that lower heating and cooling energy consumption, reducing utility bills for homeowners, particularly in low-income communities.

- **Enhance Indoor Comfort and Health:** Improve indoor thermal comfort, reduce drafts, and mitigate risks of condensation and mold growth, particularly in older homes with single-pane or poorly sealed windows.
- **Foster Market Adoption:** Create scalable, easy-to-install retrofit solutions and develop best practices guidelines to promote widespread adoption across California's residential building stock.
- **Develop Air Infiltration Reduction:** Develop air infiltration reduction test procedures that can support accurate modeling and the adoption of related technologies.

Ratepayer Benefits:² This Agreement will result in the ratepayer benefits of greater electricity reliability and lower costs by reducing energy demand and improving building energy efficiency. The advanced window retrofit solutions developed through this project will significantly lower heating and cooling building loads, reducing peak electricity demand and easing strain on California's energy grid. By improving thermal performance and minimizing air infiltration, buildings will require less energy to maintain comfortable indoor temperatures, contributing to greater grid reliability during extreme weather events or power outages.

Additionally, these retrofits will reduce utility bills for ratepayers, particularly in low-income communities, by lowering energy consumption for space conditioning. With up to 50% savings over single-pane windows and 7–10% savings compared to current code-compliant double-pane windows, building owners will experience significant cost reductions. The project also supports long-term affordability by enabling downsizing of heating, ventilation, and air conditioning equipment in retrofitted buildings, further reducing upfront and operating costs for ratepayers.

Technological Advancement and Breakthroughs:³ This Agreement will lead to technological advancements by developing innovative window retrofit solutions that significantly improve thermal performance and reduce air infiltration in existing frames. By leveraging high-performance glazing technologies such as vacuum insulating glazing (VIG) and thin-triple glazing, alongside advanced sealing systems like compression seals and positive stops, the project will overcome barriers to cost-effective retrofits and provide scalable solutions for California's aging housing stock. These technologies address the historically poor thermal performance of windows.

² 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).

³ 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.

Exhibit A Scope of Work

The Regents of the University of California as Manager and Operator of the Lawrence Berkeley National Laboratory

The project will also generate air infiltration reduction measures, enabling accurate modeling of energy savings associated with window retrofits. This breakthrough will fill a critical knowledge gap in quantifying infiltration impacts, streamlining market adoption. By creating best practices installation guidelines and demonstrating these solutions in low-income communities, the project will accelerate market adoption.

Agreement Objectives

The objectives of this Agreement are to:

- **Achieve High Thermal Performance:** Develop retrofit solutions that improve the thermal performance of existing windows, achieving a U-factor of ≤ 0.22 BTU/hr-ft²-°F, significantly reducing heating and cooling energy demand.
- **Reduce Air Infiltration:** Implement advanced sealing technologies to reduce air leakage in retrofitted windows to ≤ 0.3 cfm/sf at 75 Pa, addressing infiltration issues common in sliding and single-pane windows.
- **Validate Energy Savings:** Quantify energy savings from retrofitted windows through pre- and post-installation measurement and verification.
- **Enhance Installation Efficiency:** Streamline retrofit installation processes to achieve defect-free installations, requiring no more than 1–2 hours per window, with minimal occupant disruption.
- **Improve Occupant Comfort and Health:** Reduce risks of condensation and mold growth by increasing the condensation index, improving indoor air quality and thermal comfort.
- **Develop Best Practices:** Create comprehensive installation guidelines and air infiltration reduction procedures, ensuring consistent and scalable implementation of retrofit solutions.
- **Inform Efficiency:** Develop and test air infiltration reduction methods, enabling accurate modeling of energy savings from retrofits.
- **Support Market Adoption:** Provide actionable recommendations, training materials, and cost analysis to facilitate widespread adoption of retrofit technologies across California's residential building stock.

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.

Exhibit A
Scope of Work
The Regents of the University of California as Manager and Operator of the
Lawrence Berkeley National Laboratory

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 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.

Exhibit A
Scope of Work
The Regents of the University of California as Manager and Operator of the
Lawrence Berkeley National Laboratory

- 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, and other CEC staff relevant to the Agreement. The Recipient's Project Manager and any other individuals deemed necessary by the CAM or the Project Manager shall participate in 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., Teams, Zoom), with approval of the CAM.

The Kick-off meeting will include discussion of the following:

- The CAM's expectations for accomplishing tasks described in the Scope of Work;
- An updated Project Schedule;
- Terms and conditions of the Agreement;
- Invoicing and auditing procedures;
- Travel;
- Equipment purchases;
- Administrative and Technical products (subtask 1.1);
- CPR meetings (subtask 1.3);
- Monthly Calls (subtask 1.5)
- Quarterly Progress reports (subtask 1.6)
- Final Report (subtask 1.7)
- Match funds (subtask 1.8);
- Permit documentation (subtask 1.9);
- Subawards (subtask 1.10);
- Technical Advisory Committee meetings (subtasks 1.11 and 1.12);
- Agreement changes;
- Performance Evaluations; and
- Any other relevant topics.

Exhibit A
Scope of Work
The Regents of the University of California as Manager and Operator of the
Lawrence Berkeley National Laboratory

- 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 may 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.

Exhibit A
Scope of Work
The Regents of the University of California as Manager and Operator of the
Lawrence Berkeley National Laboratory

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 may 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. A determination of unsatisfactory progress This may result in project delays, including a potential Stop Work Order, while the CEC determines whether the project should continue.
- 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., 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 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.

Exhibit A
Scope of Work
The Regents of the University of California as Manager and Operator of the
Lawrence Berkeley National Laboratory

- 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* organized by the tasks in the Agreement.

Products:

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

MONTHLY CALLS, REPORTS AND INVOICES

Subtask 1.5 Monthly Calls

The goal of this task is to have calls at least monthly between the CAM and Recipient to verify that satisfactory and continued progress is made towards achieving the objectives of this Agreement on time and within budget.

The objectives of this task are to verbally summarize activities performed during the reporting period, to identify activities planned for the next reporting period, to identify issues that may affect performance and expenditures, to verify match funds are being proportionally spent concurrently or in advance of CEC funds or are being spent in accordance with an approved Match Funding Spending Plan, to form the basis for determining whether invoices are consistent with work performed, and to answer any other questions from the CAM. 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 CAM shall:

- Schedule monthly calls.
- Provide questions to the Recipient prior to the monthly call.
- Provide call summary notes to Recipient of items discussed during call.

The Recipient shall:

- Review the questions provided by CAM prior to the monthly call
- Provide verbal answers to the CAM during the call.

Product:

- Email to CAM concurring with call summary notes.

Subtask 1.6 Quarterly 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

Exhibit A
Scope of Work
The Regents of the University of California as Manager and Operator of the
Lawrence Berkeley National Laboratory

work for the reporting period, 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. Progress reports are due to the CAM the 10th day of each January, April, July, and October. The Quarterly Progress Report template can be found on the ECAMS Resources webpage available at: <https://www.energy.ca.gov/media/4691>

- Submit a monthly or quarterly *Invoice* on the invoice template(s) provided by the CAM.

Recipient Products:

- Quarterly Progress Reports
- Invoices

CAM Product:

- Invoice template

Subtask 1.7 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 1.7.1 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 Products:

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

Subtask 1.7.2 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**)

Exhibit A
Scope of Work
The Regents of the University of California as Manager and Operator of the
Lawrence Berkeley National Laboratory

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

CAM Product:

- *Written Comments on the Draft Final Report*

MATCH FUNDS, PERMITS, AND SUBAWARDS

Subtask 1.8 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. 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 Regents of the University of California as Manager and Operator of the
Lawrence Berkeley National Laboratory

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 application 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 application 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 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 1.9 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 Regents of the University of California as Manager and Operator of the
Lawrence Berkeley National Laboratory

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 1.10 Obtain and Execute Subawards and Agreements with Site Hosts

The goals of this subtask are to: (1) procure and execute subrecipients and site host agreements, as applicable, required to carry out the tasks under this Agreement; and (2) ensure that the subrecipients and site host agreements are consistent with the Agreement terms and conditions and the Recipient's own contracting policies and procedures.

The Recipient shall:

- Execute and manage subawards and coordinate subrecipients activities in accordance with the requirements of this Agreement.
- Execute and manage site host agreements and ensure the right to use the project site throughout the term of the Agreement, as applicable. A site host agreement is not required if the Recipient is the site host.
- Notify the CEC in writing immediately, but no later than five calendar days, if there is a reasonable likelihood the project site cannot be acquired or can no longer be used for the project.
- Incorporate this Agreement by reference into each subaward.
- Include any required Energy Commission flow-down provisions in each subaward, in addition to a statement that the terms of this Agreement will prevail if they conflict with the subaward terms.

Exhibit A
Scope of Work
The Regents of the University of California as Manager and Operator of the
Lawrence Berkeley National Laboratory

- Submit a *Subaward and Site Letter* to the CAM describing the subawards and any site host agreement needed or stating that no subawards or site host agreements are required.
- If requested by the CAM, submit a draft of each *Subaward* and any *Site Host Agreement* required to conduct the work under this Agreement.
- If requested by the CAM, submit a final copy of each executed *Subaward* and any *Site Host Agreement*.
- Notify and receive written approval from the CAM prior to adding any new subrecipient (see the terms regarding subrecipient additions in the terms and conditions).

Products:

- Subaward and Site Letter
- Draft Subawards (*if requested by the CAM*)
- Draft Site Host Agreement (*if requested by the CAM*)
- Final Subawards (*if requested by the CAM*)
- Final Site Host Agreement (*if requested by the CAM*)

TECHNICAL ADVISORY COMMITTEE

Subtask 1.11 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 project direction. The guidance may include scope and methodologies, timing, and coordination with other projects. The guidance may be based on:
 - Technical area expertise;
 - Knowledge of market applications; or
 - Linkages between the 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.

Exhibit A
Scope of Work
The Regents of the University of California as Manager and Operator of the
Lawrence Berkeley National Laboratory

- Ask probing questions that ensure 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 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;
- 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 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 Potential TAC Members
- List of TAC Members
- Documentation of TAC Member Commitment

Subtask 1.12 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.

Exhibit A
Scope of Work
The Regents of the University of California as Manager and Operator of the
Lawrence Berkeley National Laboratory

- 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* for each TAC Meeting 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 ensure a long-term perspective on decision-making and progress toward the project's strategic goals.
- Review and provide comments to proposed project performance metrics.
- Review and provide comments to proposed project Draft Technology Transfer Plan.

Products:

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

Subtask 1.13 Project Performance Metrics

The goal of this subtask is to finalize key performance targets for the project based on feedback from the TAC and report on final results in achieving those targets. The performance targets should be a combination of scientific, engineering, techno-economic, and/or programmatic metrics that provide the most significant indicator of the research or technology's potential success.

The Recipient shall:

- Complete and submit the project performance metrics section of the *Initial Project Benefits Questionnaire*, developed in the Evaluation of Project Benefits task, to the CAM.
- Present the draft project performance metrics at the first TAC meeting to solicit input and comments from the TAC members.
- Develop and submit a *TAC Performance Metrics Summary* that summarizes comments received from the TAC members on the proposed project performance metrics. The *TAC Performance Metrics Summary* will identify:
 - TAC comments the Recipient proposes to incorporate into the *Initial Project Benefits Questionnaire*, developed in the Evaluation of Project Benefits task.
 - TAC comments the Recipient does not propose to incorporate with and explanation why.

Exhibit A
Scope of Work
The Regents of the University of California as Manager and Operator of the
Lawrence Berkeley National Laboratory

- 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:

- TAC Performance Metrics Summary
- Project Performance Metrics Results

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: Thermal Performance Development

The goal of this task is to develop advanced window retrofit solutions that achieve a U-factor of ≤ 0.22 BTU/hr-ft²-°F by optimizing high-performance glazing technologies and enhancing the thermal properties of existing window frames.

The Recipient shall:

- Conduct a Technology Assessment
 - Evaluate existing high-performance glazing technologies, including vacuum insulating glazing (VIG) and thin-triple glazing, for their compatibility with retrofitting the most common existing wood and vinyl window frames.
- Develop Frame Enhancement Strategies
 - Design methods to improve the thermal properties of existing window frames, such as implementing thermally broken sashes, adding insulating caps, or foam-filling vinyl frame cavities.
- Simulate Thermal Performance
 - Perform finite element simulations to evaluate the thermal performance of glazing and frame enhancement solutions, iterating designs to optimize performance.
- Develop Prototypes
 - Fabricate prototypes of the selected glazing and frame enhancement solutions, ensuring compatibility with existing frame dimensions and structural integrity.
- Prepare a Development Report
 - Prepare a *Thermal Performance Development Report* summarizing the findings, including:
 - Evaluation of glazing technologies, their thermal performance potential, and compatibility with common frame types.
 - Frame enhancement detailing the proposed strategies and recommendations for optimal solutions based on frame type, including simulations of thermal performance improvements for individual and combined measures.
 - Prototype development summary documenting the design, materials, and fabrication process for the prototypes.

Exhibit A
Scope of Work
The Regents of the University of California as Manager and Operator of the
Lawrence Berkeley National Laboratory

Products:

- Thermal Performance Development Report

TASK 3: Air Infiltration Reduction Development

The goal of this task is to develop advanced window retrofit solutions that reduce air infiltration to ≤ 0.3 cfm/sf at 75 Pa by designing and implementing innovative sealing systems tailored for retrofitting the most common existing wood and vinyl window frames.

The Recipient shall:

- Conduct a Baseline Infiltration Assessment
 - Evaluate common air infiltration issues in existing wood- and vinyl-framed sliding windows prevalent in California homes. Utilize *ASTM E783-02 Standard Test Method for Field Measurement of Air Leakage* to establish baseline air infiltration levels.
- Research and Develop Advanced Sealing Systems
 - Identify and design advanced sealing materials and techniques, such as compression seals, positive stops, and high-performance gaskets, tailored to minimize air leakage in typical wood- and vinyl-framed windows.
- Develop Prototypes
 - Fabricate prototypes incorporating the selected sealing materials and techniques, ensuring compatibility with the structural and operational characteristics of existing window frames.
- Prepare a Development Report
 - Prepare an *Infiltration Reduction Development Report* summarizing the findings, including:
 - Baseline infiltration levels for existing wood- and vinyl-framed windows.
 - Evaluation of advanced sealing systems, their air infiltration reduction potential, and compatibility with common frame types.
 - Recommendations for optimal solutions based on frame type and infiltration reduction effectiveness.
 - Prototype development summary documenting the design, materials, and fabrication process for the prototypes.
- Present the *Infiltration Reduction Development Report* to the TAC for feedback and comments.
- Develop and submit a *Summary of TAC Comments* that summarizes comments received from the TAC members on the Infiltration Reduction Development Report. This document will identify:
 - TAC comments the Recipient proposes to incorporate into the final *Technology Transfer Plan*.
 - TAC comments the Recipient does not propose to incorporate with and explanation why.

Products:

- Infiltration Reduction Development Report
- Summary of TAC Comments

Exhibit A
Scope of Work
The Regents of the University of California as Manager and Operator of the
Lawrence Berkeley National Laboratory

TASK 4: Laboratory Testing and Characterization

The goal of this task is to conduct comprehensive laboratory testing to validate the thermal performance and air infiltration reduction of the developed window retrofit prototypes, ensuring they meet the project's performance targets of a U-factor of ≤ 0.22 BTU/hr-ft²-°F and air leakage of ≤ 0.3 cfm/sf at 75 Pa.

The Recipient shall:

- Prepare a *Laboratory Testing and Characterization Plan*
 - Develop a Laboratory Testing Plan that includes objectives, procedures, conditions, facilities, and equipment required to evaluate the thermal and air infiltration performance of the prototypes. The plan shall detail testing standards for thermal air infiltration performance and define durability testing procedures to simulate long-term use.
- Install Prototypes in Test Frames
 - Install the glazing and frame enhancement prototypes into test frames, replicating typical installation conditions and practices to ensure results are consistent with real-world applications.
- Conduct Thermal Performance Testing
 - Perform thermal resistance testing to measure U-factor using standardized methods such as ASTM C1363. Evaluate condensation resistance by assessing glass surface temperatures under varying temperature and humidity conditions.
- Conduct Air Infiltration Testing
 - Measure air leakage rates using ASTM E283 to validate compliance with the air infiltration target of ≤ 0.3 cfm/sf at 75 Pa. Conduct durability testing to assess the effectiveness of sealing solutions under repeated operational cycles.
- Prepare a *Laboratory Characterization Report* summarizing:
 - Testing procedures and equipment used.
 - Thermal performance results, including U-factor measurements.
 - Air infiltration results, including leakage rates and durability assessments.
 - Recommendations for any necessary adjustments to prototypes based on test outcomes.
- Prepare *CPR Report* and participate in CPR meeting in accordance with subtask 1.3

Products:

- Laboratory Testing and Characterization Plan (final)
- Laboratory Characterization Report (final)
- CPR Report

TASK 5: Measurement & Verification (M&V)

The goal of this task is to evaluate the performance of the proposed window retrofits by quantifying energy savings and validating thermal performance improvements.

The Recipient shall:

- Perform Pre-Retrofit Energy Simulations
 - Conduct annual energy simulations using CBECC-Res software to model pre-retrofit and post-retrofit energy consumption based on the construction characteristics of typical dwellings.
- Benchmark Original Window Performance

Exhibit A
Scope of Work
The Regents of the University of California as Manager and Operator of the
Lawrence Berkeley National Laboratory

- Determine through simulation and lab thermal measurements window construction and performance characteristics, including U-factor and air infiltration rates, to benchmark baseline window performance.
- Collect Post-Retrofit Energy Consumption Data
 - Analyze post-retrofit energy consumption data from metered energy use to derive energy savings attributable to the retrofit technologies.
- Validate Thermal Performance
 - Measure window glass surface temperatures and calculate instantaneous thermal performance (U-factor) to directly validate improvements in thermal resistance.
- Assess Occupant Comfort
 - Collect quantitative data on comfort near windows such as mean radiant temperature.
- Compare Predicted and Measured Savings
 - Compare energy savings predicted by CBECC-Res simulations to measured savings from post-retrofit data to evaluate the accuracy of modeling and identify discrepancies.
- Evaluate Cost and Scalability
 - Calculate total installed costs based on retrofit time to assess cost-effectiveness, payback period, and scalability of the retrofit approach.
- Prepare a *System Performance and Impact Report* to document the performance of the retrofit glazing systems, summarizing:
 - Pre-retrofit energy simulations and baseline energy consumption.
 - Post-retrofit energy consumption and calculated savings.
 - U-factor validation and thermal performance results.
 - Cost analysis, payback period, and recommendations for scaling retrofits.

Products:

- System Performance and Impact Report

TASK 6: Best Practices and Integration Guidelines

The goal of this task is to develop comprehensive best practices for defect-free window retrofit installations and create air infiltration reduction guidelines that align with Title 24 standards, enabling widespread adoption and effective implementation of the developed solutions.

The Recipient shall:

- Develop *Best Practices Installation Guidelines*
 - Analyze findings from laboratory testing and field demonstrations to identify key factors contributing to successful, defect-free installations.
 - Create detailed guidelines addressing pre-installation preparation, installation techniques, and post-installation verification to ensure consistency and quality.
 - Include troubleshooting tips and maintenance recommendations to ensure long-term performance and durability of retrofitted windows.
- Develop *Air Infiltration Reduction Guidelines*
 - Utilize findings from air infiltration testing to create a guideline focused on reducing air leakage in retrofitted windows.
 - Provide recommendations for materials, sealing techniques, and installation practices that maximize infiltration reduction.

Exhibit A
Scope of Work
The Regents of the University of California as Manager and Operator of the
Lawrence Berkeley National Laboratory

- Engage Stakeholders for Feedback
 - Collaborate with industry stakeholders, including installers to gather feedback on the guidelines and integration process.
 - Incorporate stakeholder input to refine and finalize the guidelines.

Products:

- Best Practices Installation Guidelines
- Air Infiltration Reduction Guidelines

TASK 7: Evaluation of Project Benefits

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

The Recipient shall:

- 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 *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*. 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.

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

TASK 8: Technology/Knowledge Transfer Activities

The goal of this task is to conduct activities that will accelerate the commercial adoption of the technology being supported under this agreement. Eligible activities include, but are not limited to, the following:

Exhibit A
Scope of Work
The Regents of the University of California as Manager and Operator of the
Lawrence Berkeley National Laboratory

- Scale-up analysis including manufacturing analysis, independent design verification, and process improvement efforts.
- Technology verification testing, or application to a test bed program located in California.
- Legal services or licensing to secure necessary intellectual property to further develop the technology.
- Market research, business plan development, and cost-performance modeling.
- Entry into an incubator or accelerator program located in California.

The Recipient Shall:

- Develop and submit a *Technology Transfer Plan* that identifies the proposed activities the recipient will conduct to accelerate the successful commercial adoption of the technology.
- Present the draft *Technology Transfer Plan* to the TAC for feedback and comments.
- Develop and submit a *Summary of TAC Comments* that summarizes comments received from the TAC members on the Draft Technology Transfer Plan. This document will identify:
 - TAC comments the Recipient proposes to incorporate into the final *Technology Transfer Plan*.
 - TAC comments the Recipient does not propose to incorporate with and explanation why.
- Submit the final *Technology Transfer Plan* to the CAM for approval.
- Implement activities identified in final *Technology Transfer Plan*.
- Develop and submit a *Technology Transfer Summary Report* that includes high level summaries of the activities, results, and lessons learned of tasks performed relating to implementing the Final Technology Transfer Plan. This report should not include any proprietary information.
- 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:

- Technology Transfer Plan (draft and final)
- Summary of TAC Comments
- Technology Transfer Summary Report (draft and final)
- High Quality Digital Photographs

I. PROJECT SCHEDULE

Please see the attached Excel spreadsheet.