**Instructions for completing this Scope of Work appear in blue. Carefully read the instructions before completing each section. Delete the instructions after completing each section. Insert the name of the applicant/recipient where indicated above in blue.**

1. **TASK ACRONYM/TERM LISTS**
2. **Task List**

* Insert task numbers and names that match those listed in Part IV (Technical Tasks) of the Scope of Work. Tasks 1, TBD-1, and TBD-2 are **mandatory**.
* Do not include subtask numbers or names.

| **Task #** | **CPR[[1]](#footnote-2)** | **Task Name** |
| --- | --- | --- |
| 1 |  | General Project Tasks |
| 2 |  | [TBD, *add tasks as necessary*] |
| [TBD-1] |  | Evaluation of Project Benefits |
| [TBD-2] |  | Technology/Knowledge Transfer Activities |
| [TBD-3] |  | Build Phase Selection |

1. **Acronym/Term List**

* Only include acronyms that are used **more than once** in this Scope of Work.
* Define terms that are unusual or technical.
* Place acronyms/terms in **alphabetical order**.

| **Acronym/Term** | **Meaning** |
| --- | --- |
| CAM | Commission Agreement Manager |
| CAO | Commission Agreement Officer |
| CEC | California Energy Commission |
| CEQA | California Environmental Quality Act |
| CPR | Critical Project Review |
| TAC | Technical Advisory Committee |

1. **PURPOSE OF AGREEMENT, PROBLEM/SOLUTION STATEMENT, AND GOALS AND OBJECTIVES**
2. **Purpose of Agreement**

The purpose of this Agreement is to fund [Describe the purpose of the project funded by the Agreement in **one to two brief sentences**].

**Example:**

The purpose of this Agreement is to fund the design and build-out of a Low Rate Initial Production (LRIP) pilot line for the manufacture of advanced plug-in electric vehicle batteries with lithium metal anodes, which have high energy density and increased safety characteristics compared to standard lithium-ion (Li-ion) batteries for increased durability that can support vehicle-to-grid functionality.

1. **Problem/ Solution Statement**

**Problem**

[Describe the problem that the project will address (e.g., cost barriers, knowledge gaps). Explain why the problem has not been addressed by any other entity, and why it must be addressed at this time. Limit to **one to two paragraphs. Use brief sentences.**]

**Example:**

Today’s Li-ion batteries were designed for consumer electronics (i.e. laptops, cell phones). With a push towards grid-storage batteries and electric vehicles to curb carbon emissions, a new generation of batteries with improved performance are required. Improvements to the energy density, cost, and safety metrics of lithium batteries are restricted by electrolyte chemistry.

**Solution**

[Describe how the project will solve the problem described above and technological advancement and breakthroughs[[2]](#footnote-3) to overcome barriers to the achievement of the State of California’s statutory energy goals by [describe how the project will result in these benefits.

[Limit to **two to four paragraphs. Use brief sentences.**]

**Example:**

The Recipient has developed a novel electrolyte optimal for vehicle-to-grid applications. These electrolytes enable lithium batteries to be produced with nearly twice the specific energy and potential for lower cost as compared to Li-Ion batteries. The batteries also have no thermal runaway hazards and operability over the wide temperature range. These performance qualities make this battery technology a promising candidate for the primary function of powering electric cars while also providing grid services.

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

**Agreement Goals**

The goal of this Agreement is to: OR

The goals of this Agreement are to:

* [Describe each Agreement goal using a **bulleted list** unless there is only one goal. “Goal” means a broad technical, social, or economic project outcome.]
* [TBD]

**Examples:**

The goal of this Agreement is to:

* Design and build an LRIP pilot line capable of producing 500 cells (8 kWh) per day of batteries using the proprietary electrolyte.
* Validate proof of manufacturing quality of the novel batteries by producing cells that do not do not fail when exposed to +60°C environment.
* Design the pilot line to be capable of a producing quality cells with a failure rate between 1-5%.
* Validate manufacturability of the proprietary electrolyte battery having high specific energy (450 Wh/kg), potential for lower cost (<$100/kwh) compared to existing batteries, resistance to thermal runaway hazards, and temperature range of up to +60 °C.

Ratepayer Benefits:[[3]](#footnote-4) This Agreement will result in the ratepayer benefit[s] of [select one or more: greater electricity reliability, lower costs, or increased safety] by [describe how the project will result in these benefits, in **one to two brief paragraphs**].

Technological Advancement and Breakthroughs:[[4]](#footnote-5) 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 [describe how the project will result in these benefits, in **one to two brief paragraphs**].

**Agreement Objectives**

The objective of this Agreement is to: OR

The objectives of this Agreement are to:

* [Describe each Agreement objective using a **bulleted list** unless there is only one objective. “Objective” means a specific, measurable project outcome. Use any performance metrics that are relevant to the project.]
* [TBD]

**Examples:**

The objectives of this Agreement are to:

* Design and procure electrolyte storage and distribution system that meet state and federal fire laws, ordinances, regulations, and standards. Each gas will have a dedicated cabinet with necessary piping for high purity delivery of the electrolyte.
* Design and build a electrolyte delivery manifold capable of delivering at least eight (8) solvents necessary to construct the battery cells.
* Design and build cell injection system to enable rapid electrolyte production.
* Demonstrate the production of cells within an LRIP pilot line with consistent product quality.

**The language in Task 1 is standard for each agreement. Do not revise it.**

1. **TASK 1 GENERAL PROJECT TASKS**

**PRODUCTS**

**Subtask 1.1 Products**

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

**The Recipient shall:**

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

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

For products that require a final version only

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

For all products

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

Instructions for Submitting Electronic Files and Developing Software:

* **Electronic File Format**
  + - Submit all data and documents required as products under this Agreement in an electronic file format that is fully editable and compatible with the California Energy Commission’s (CEC) software and Microsoft (MS)-operating computing platforms, or with any other format approved by the CAM. Deliver an electronic copy of the full text of any Agreement data and documents in a format specified by the CAM, such as memory stick.

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

* + - Data sets will be in MS Access or MS Excel file format (version 2007 or later), or any other format approved by the CAM.
    - Text documents will be in MS Word file format, version 2007 or later.
    - Project management documents will be in Microsoft Project file format, version 2007 or later.
* **Software Application Development**

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

* + - Microsoft ASP.NET framework (version 3.5 and up). Recommend 4.0.
    - Microsoft Internet Information Services (IIS), (version 6 and up)

Recommend 7.5.

* + - Visual Studio.NET (version 2008 and up). Recommend 2010.
    - C# Programming Language with Presentation (UI), Business Object and Data Layers.
    - SQL (Structured Query Language).
    - Microsoft SQL Server 2008, Stored Procedures. Recommend 2008

R2.

* + - Microsoft SQL Reporting Services. Recommend 2008 R2.
    - XML (external interfaces).

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

**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:

* 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, but they may take place at another location, or may be conducted via electronic conferencing (e.g., WebEx) as determined by the CAM.

**The Recipient shall:**

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

**The CAM shall:**

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

**Recipient Products:**

* CPR Report(s)

**CAM Products:**

* CPR Agenda
* Progress Determination

# Subtask 1.4 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 and the CAO of the following Agreement closeout items:
  + - Disposition of any procured equipment.
    - The CEC’s request for specific “generated” data (not already provided in Agreement products).
    - Need to document the Recipient’s disclosure of “subject inventions” developed under the Agreement.
    - “Surviving” Agreement provisions such as repayment provisions and confidential products.
    - Final invoicing and release of retention.
* Prepare a *Final Meeting Agreement Summary* that documents any agreement made between the Recipient and Commission staff during the meeting.
* Prepare a *Schedule for Completing Agreement Closeout Activities*.
* Provide copies of *All Final Products* on a USB memory stick, organized by the tasks in the Agreement.

**Products:**

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

**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 monthly *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.
* Submit a monthly or quarterly *Invoice* that follows the instructions in the “Payment of Funds” section of the terms and conditions, including a financial report on Match Funds and in-state expenditures.

**Products:**

* Progress Reports
* Invoices

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. When creating the Final Report Outline and the Final Report, the Recipient must use the CEC 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 *Energy Commission Style Manual* provided by the CAM.

**Recipient Products:**

* Final Report Outline (draft and final)

**CAM Product:**

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

## Subtask 1.6.2 Final Report

**The Recipient shall:**

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

**Products**:

* Summary of TAC Comments
* Draft Final Report
* Written Responses to Comments *(if applicable)*
* Final Report

**CAM Product:**

* Written Comments on the Draft Final Report

## *MATCH FUNDS, PERMITS, AND SUBCONTRACTS*

#### Subtask 1.7 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.

**The Recipient shall:**

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

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

* A list of the match funds that identifies:
* The amount of cash match funds, their source(s) (including a contact name, address, and telephone number), and the task(s) to which the match funds will be applied.
* The amount of each in-kind contribution, a description of the contribution type (e.g., property, services), the documented market or book value, the source (including a contact name, address, and telephone number), and the task(s) to which the match funds will be applied. If the in-kind contribution is equipment or other tangible or real property, the Recipient must identify its owner and provide a contact name, address, telephone number, and the address where the property is located.
* If different from the solicitation application, provide a letter of commitment from an authorized representative of each source of match funding that the funds or contributions have been secured.
* At the Kick-off meeting, discuss match funds and the impact on the project if they are significantly reduced or not obtained as committed. If applicable, match funds 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.

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

**Products:**

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

***Technical Advisory Committee***

**Subtask 1.10 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:

1. 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.

1. Review products and provide recommendations for needed product adjustments, refinements, or enhancements.
2. 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:

1. Researchers knowledgeable about the project subject matter;
2. Members of trades that will apply the results of the project (e.g., designers, engineers, architects, contractors, and trade representatives);
3. Public interest market transformation implementers;
4. Product developers relevant to the project;
5. U.S. Department of Energy research managers, or experts from other federal or state agencies relevant to the project;
6. Public interest environmental groups;
7. Utility representatives;
8. 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 the project by participating in regular meetings, which may be held via teleconference.

**The Recipient shall:**

* Discuss the TAC meeting schedule with the CAM at the Kick-off meeting. Determine the number and location of meetings (in-person and via teleconference) in consultation with the CAM.
* Prepare a *TAC Meeting Schedule* that will be presented to the TAC members during recruiting. Revise the schedule after the first TAC meeting to incorporate meeting comments.
* Prepare a *TAC Meeting Agenda* and *TAC Meeting* *Back-up Materials* for each TAC meeting.
* Organize and lead TAC meetings in accordance with the TAC Meeting Schedule. Changes to the schedule must be pre-approved in writing by the CAM.
* Prepare *TAC Meeting Summaries* that include any recommended resolutions of major TAC issues.

**The TAC shall:**

* Help set the project team's goals and contribute to the development and evaluation of its statement of proposed objectives as the project evolves.
* Provide a credible and objective sounding board on the wide range of technical and financial barriers and opportunities.
* Help identify key areas where the project has a competitive advantage, value proposition, or strength upon which to build.
* Advocate on behalf of the project in its effort to build partnerships, governmental support and relationships with a national spectrum of influential leaders.
* Ask probing questions that insure a long-term perspective on decision-making and progress toward the project’s strategic goals.
* Review and provide comments to proposed project 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 1.12 Project Performance Metrics**

The goal of this subtask is to identify key performance targets for the project. 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 draft *Project Performance Metrics Questionnaire* to the CAM prior to the Kick-off Meeting.
* Present the draft *Project Performance Metrics Questionnaire* 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 final *Project Performance Metrics Questionnaire*.
* TAC comments the recipient does not propose to incorporate with and explanation why.
* Submit a final *Project Performance Metrics Questionnaire* with incorporated TAC feedback.
* Develop and submit a *Project Performance Metrics Results* documentdescribing the extent to which the recipient met each of the performance metrics in the final *Project Performance Metrics Questionnaire*.
* Discuss the final *Project Performance Metrics Questionnaire* and *Project Performance Metrics Results* at the Final Meeting.

**Products:**

* Project Performance Metrics Questionnaire (draft and final)
* TAC Performance Metrics Summary
* Project Performance Metrics Results

1. **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 [Enter Name]**

The goal of this task is to *OR* The goals of this task are to [Complete the sentence with a brief description of the task goal(s). Limit to **one to three sentences. Use brief sentences**].

**The Recipient shall:**

* [List each activity the Recipient will perform in this task.
  + - Use a bulleted list unless there is only one activity.
    - Organize activities sequentially.
    - Begin with a verb that describes the activity the Recipient will perform (e.g., “Prepare a Diagnostic Software Report”).
    - **Capitalize and *italicize*** the name of each product. All technical tasks should include product(s). A “product” is an item the Recipient submits to the CEC such as a report, summary, plan, or presentation materials, and not an activity.
    - Give the product a **brief, descriptive name** and **describe the content** of written products such as reports (see examples below).
    - If the project involves a test, one of the products should be a Test Plan. The plan may describe test objectives, procedures, conditions, facilities, and equipment.]
* [TBD]

**Products:**

* [Include the name of **each product** listed in “The Recipient shall” section above. **Capitalize** product names, but **do not italicize** them.]

**Examples:**

**TASK X Demonstration of Pilot Line Production**

The goal of this task is to troubleshoot and demonstrate that the three production sub-processes were integrated properly and all achieve low rate initial production. During this task a test method will be developed to ensure processing rates are acceptable and product quality is replicable.

**The Recipient shall:**

* Establish verification and testing methods to demonstrate:
  + Low rate initial production
  + Product quality
* Create a *Verification Plan* that includes but is not limited to an outline of:
  + The tests being conducted
  + Critical metrics being validated
  + Measurement tools for verification
  + Desired certifications
* Prepare a draft *Verification Report* which includes but not limited to:
  + High-level executive summary discussing:
    - Process and results of the final demonstration
    - Testing of the product
    - Technical issues
    - Lessons learned for this phase in the project
* Submit the draft *Verification Report* to the CAM for feedback and incorporate changes as requested in the final *Verification Report*.
* Prepare a *CPR Report* in accordance with subtask 1.3 (CPR Meetings).
* Participate in a CPR meeting.

**Products:**

* Final Verification Report (draft and final)
* CPR Report

**TASK [TBD-1] Evaluation of Project Benefits *(Mandatory task)***

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

**The Recipient shall:**

* Complete three Project Benefits Questionnaires that correspond to three main intervals in the Agreement: (1) *Kick-off Meeting Benefits Questionnaire*; (2) *Mid-term Benefits Questionnaire*; and (3) *Final Meeting Benefits Questionnaire*.
* Provide all key assumptions used to estimate projected benefits, including targeted market sector (e.g., population and geographic location), projected market penetration, baseline and projected energy use and cost, operating conditions, and emission reduction calculations. Examples of information that may be requested in the questionnaires include:
  + For Product Development Projects and Project Demonstrations:
    - Published documents, including date, title, and periodical name.
    - Estimated or actual energy and cost savings, and estimated statewide energy savings once market potential has been realized. Identify all assumptions used in the estimates.
    - Greenhouse gas and criteria emissions reductions.
    - Other non-energy benefits such as reliability, public safety, lower operational cost, environmental improvement, indoor environmental quality, and societal benefits.
    - Data on potential job creation, market potential, economic development, and increased state revenue as a result of the project.
    - A discussion of project product downloads from websites, and publications in technical journals.
    - A comparison of project expectations and performance. Discuss whether the goals and objectives of the Agreement have been met and what improvements are needed, if any.
    - Additional Information for Product Development Projects:
      * Outcome of product development efforts, such copyrights and license agreements.
      * Units sold or projected to be sold in California and outside of California.
      * Total annual sales or projected annual sales (in dollars) of products developed under the Agreement.
      * Investment dollars/follow-on private funding as a result of Energy Commission funding.
      * Patent numbers and applications, along with dates and brief descriptions.
    - Additional Information for Product Demonstrations:
      * Outcome of demonstrations and status of technology.
      * Number of similar installations.
      * Jobs created/retained as a result of the Agreement.
  + For Information/Tools and Other Research Studies:
    - Outcome of project.
    - Published documents, including date, title, and periodical name.
    - A discussion of policy development. State if the project has been cited in government policy publications or technical journals, or has been used to inform regulatory bodies.
    - The number of website downloads.
    - An estimate of how the project information has affected energy use and cost, or have resulted in other non-energy benefits.
    - An estimate of energy and non-energy benefits.
    - Data on potential job creation, market potential, economic development, and increased state revenue as a result of project.
    - A discussion of project product downloads from websites, and publications in technical journals.
    - A comparison of project expectations and performance. Discuss whether the goals and objectives of the Agreement have been met and what improvements are needed, if any.
* Respond to CAM questions regarding responses to the questionnaires.

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

**Products:**

* Kick-off Meeting Benefits Questionnaire
* Mid-term Benefits Questionnaire
* Final Meeting Benefits Questionnaire

**TASK [TBD-2] Technology/Knowledge Transfer Activities *(Mandatory task)***

The goal of this task is to ensure the technological learning that resulted from the project is captured and disseminated to the range of professions that will be responsible for future deployments of this technology or similar technologies.

**The Recipient Shall:**

* Develop and submit a *Project Case Study Plan (Draft/Final)* that outlines how the Recipient will document the planning, construction, commissioning, and operation of the technology or system being demonstrated. The *Project Case Study Plan* should include:
  + An outline of the objectives, goals, and activities of the case study.
  + The organization that will be conducting the case study and the plan for conducting it.
  + A list of professions and practitioners involved in the technology’s deployment.
  + Specific activities the recipient will take to ensure the learning that results from the project is disseminated to those professions and practitioners.
  + Presentations/webinars/training events to disseminate the results of the case study.
* Present the *Draft Project Case Study Plan* to the TAC for review and comment.
* Develop and submit a *Summary of TAC Comments* that summarizes comments received from the TAC members on the *Draft Project Case Study 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 Project Case Study Plan* to the CAM for approval.
* Execute the *Final Project Case Study Plan* and develop and submit a *Project Case Study (Draft/Final)*
* When directed by the CAM, develop presentation materials for an CEC- sponsored conference/workshop(s) on the project.
* When directed by the CAM, participate in annual EPIC symposium(s) sponsored by the California CEC.
* Provide at least (6) six *High Quality* *Digital Photographs* (minimum resolution of 1300x500 pixels in landscape ratio) of pre and post technology installation at the project sites or related project photographs.

**Products:**

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

**TASK [TBD-3] BUILD PHASE Selection**

The goal of this task is to conduct activities and prepare deliverables for the selection process for the Build Phase. These deliverables will be used to select which Design Phase projects will receive funding for the Build Phase. In addition, deliverables developed under this task will be used to amend the agreement for those projects chosen to move onto Build Phase.

**The Recipient shall:**

* Develop and prepare *Conceptual Design and Engineering Report*, describing drawings, design plans, and photos of an architectural-scale model of the project. At least photos from each perimeter side of the model shall be included in the report (e.g., north, east, south, and west views). The actual architectural-scale models will be on display during the team’s project presentation at the event, as well as during a model showcase networking session
* Develop and submit an *Energy and Emissions Performance Model Report*, detailing the plan for software modeling of the development’s expected energy and emissions performance and impacts on tenants’ energy bills.
* Prepare and submit an *Emerging Technologies and Strategies Report*, describing the emerging technologies and strategies proposed to be used in the Build Phase and why they were chosen.
* Prepare and submit a *Zero-Emission Cost-Benefit Analysis Report* detailing the estimated cost difference between the zero-emission build-out compared to standard building design, construction and operations.
* Prepare and submit a *Community Engagement Plan* documenting the strategy for soliciting and incorporating input from the community throughout the design process.
* Create and submit a two-minute *Concept Video* that will air at the Zero-Emission Building Forum (i.e., Showcase Event).
* Develop and submit additional *Presentation Materials* for the Zero-Emission Building Forum, as determined and requested by the CAM.
* Provide a presentation to the Build Phase Evaluation Committee.
* Develop and submit a Build *Phase Amendment* Package that includes revisions as necessary to all of the Design Phase “full application” attachments:
  + Attachment 4 - EPIC Application Form (i.e., Design Phase application, confirmed and/or amended, as necessary, for the Build Phase)
  + Attachment 5 - EPIC Executive Summary (i.e., Design Phase application, confirmed and/or amended, as necessary, for the Build Phase)
  + Attachment 6 - EPIC Project Narrative (i.e., Design Phase application, confirmed and/or amended, as necessary, for the Build Phase)
  + Attachment 7 – Project Team Form
  + Attachment 8 – Scope of Work
  + Attachment 9 – Project Schedule
  + Attachment 10 – Budget
  + Attachment 11 – CEQA Compliance Form (Must be filled out again, to reflect at a minimum: (a) changes in the proposed project and (b) any changed external circumstances that are relevant to the prior environmental impact analysis.) (Applicant must confer with Lead Agency, if proposed project has increased in magnitude or changed in a way that is relevant to the prior environmental impact analysis.)
  + Attachment 12 – References and Work Product Form
  + Attachment 13 – Commitment and Support Letters
  + Attachment 14 – Project Performance Metrics
  + Attachment 15 -- Applicant Declaration (must be filled out again)

**Products:**

* Conceptual Design and Engineering Report
* Energy and Emissions Performance Model Report
* Emerging Technologies and Strategies Report
* Zero-Emission Cost-Benefit Analysis Report
* Community Engagement Plan
* Concept Video
* Presentation Materials
* Build Phase Amendment Package that includes revisions to the following Design Phase attachments:
  + Attachment 4 - EPIC Application Form
  + Attachment 5 - EPIC Executive Summary
  + Attachment 6 - EPIC Project Narrative
  + Attachment 7 – Project Team Form
  + Attachment 8 – Scope of Work
  + Attachment 9 – Project Schedule
  + Attachment 10 – Budget
  + Attachment 11 – CEQA Compliance Form
  + Attachment 12 – References and Work Product Form
  + Attachment 13 – Commitment and Support Letters
  + Attachment 14 – Project Performance Metrics
  + Attachment 15 -- Applicant Declaration

1. **Project schedule**

Please see the attached Excel spreadsheet.

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. [↑](#footnote-ref-2)
2. California Public Resources Code, section 25711.5(a) also requires EPIC-funded projects to “lead to technological advancement and breakthroughs to overcome the barriers that prevent the achievement of the state’s statutory and energy goals...” [↑](#footnote-ref-3)
3. 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>). [↑](#footnote-ref-4)
4. [↑](#footnote-ref-5)