

CRITERIA FOR AGREEMENT STOPLIGHT AT-RISK STATUS

GREEN STATUS

The agreement is proceeding as expected and is scheduled to complete within the agreement term and within budget. There are no significant issues. Any issues present can be readily addressed and do not present significant negative impacts to the project.

YELLOW STATUS

PRE-AGREEMENT

1. **Business Meeting Approval:** Has this project been approved at a business meeting?
 - a. If over 60 days since NOPA posting, agreement should be "yellow". Explain in GYR reason for business meeting approval delay, how issues will be resolved. Provide date of NOPA and expected business meeting date.
2. **Agreement Execution:** Has agreement been fully executed?
 - a. If over 30 days since business meeting approval, agreement should be "yellow". Explain in GYR why agreement execution is delayed and provide expected timeline for agreement execution.
 - b. Is the delay impacting project schedule?

DURING AGREEMENT

The agreement has some delays or setbacks in project tasks, but CAM expects that the recipient/contractor will complete the project by the agreement end date and within budget. However, if an amendment is needed, there is ample time to process it.

Examples include, but are not limited to the following:

- Recipient invoices are routinely being submitted late or disputed
- Disputed invoices older than 30 days without significant progress toward resolution
- Match expenditures not being spent ahead of or concurrently with reimbursable expenditures or according to Match Fund Spending Plan? If CEC rate of reimbursement is 10% or more ahead of match share expenditure rate (e.g., CEC share is 20% expended and match share is 10% expended), consider "yellow" depending upon severity of expenditure rate discrepancy.
- Progress report vague or delayed indicating a direct impact to project. (Yellow status not required if recipient simply needs a reminder or more guidance about the information we are looking for.)
- Delays in permitting or interconnection

- Deliverable overdue and agreement extension is necessary
 - If schedule is being revised within the agreement term, then no yellow status.
- Deliverable does not meet quality expectations
- Recipient is not communicative: consider elevating to supervisor and/or an alternative point of contact with Recipient. If contact with Recipient has not been made within the last 30 days, agreement should be at least "yellow".
- Amendment is not fully executed after 45 days of need for amendment being identified.
- Project site is changing with a proposed or determined replacement site, which will require an amendment to the agreement, and the replacement will not significantly delay project schedule
- Stop Work Order issued, but conditions to lift are minor
- Rationale for project delay is not adequate. Consider a Stop Work Order.
- Amendment is needed and there is time to complete it four months prior to the agreement end date
- Final Report has not been completed 3 months prior to the agreement end date
- Audit findings: if audit findings have not been resolved within 60 days of the issuance of the final audit report, agreement should be at least "yellow". Consider "red" if significant issues are identified.

RED STATUS

The agreement has serious issues with complex resolutions. Potential actions include: an Emergency Critical Project Review (CPR) meeting, a Stop Work Order, or agreement termination.

Examples include, but are not limited to the following:

- Loss of key personnel and expertise critical to the project
- Loss of demonstration/test site
- Loss of a major subcontractor key to the project outcomes
- Loss of key technology equipment to be demonstrated/tested as part of the project
- Loss of match funding contributor
- Overspent reimbursable funds outside of California (Only applicable to EPIC and Natural Gas)
- Overspent reimbursable funds to Non-California Based Entities (Only applicable to Natural Gas)
- Funds disbursed to the Recipient have not been used for the purposes for which the reimbursement was made
- Bankruptcy in Progress
- Business direction changed for Prime
- Equipment manufacturing and delivery is delayed, or installation is delayed and will significantly delay project schedule
- Financing/match not secured
- Inter-connection/permits delayed

- Litigation in Progress for Prime/Subcontractor that impacts project work
- Performance issues of Prime/Subcontractor
- Personnel withdrawn (key to the project)
- Progress vs project timeline (low/high)
- Project cost overruns
- Project time overruns
- Project site is lost, or is likely to be lost, and there is no replacement or replacement will significantly delay project schedule
- Project has moved significantly out of scope without CEC knowledge and approval
- Spend rate vs project timeline (low/high)
- Stop Work Order issued and conditions to lift are complex or lengthy
- Subcontractor withdrawn
- Technology that is proposed for the project is withdrawn Termination requested by Prime or Energy Commission
- Significant Quality Issues with deliverables:
 - Explain in GYR issues with the quality of products, expected resolution, and timeline for resolution
- Agreement extension is needed beyond funding liquidation deadline
- Significant audit findings, either financial or performance related, have not been resolved within 60 days.