

SCO ID:

STATE OF CALIFORNIA - DEPARTMENT OF GENERAL SERVICES

STANDARD AGREEMENT

STD 213 (Rev. 04/2020)

AGREEMENT NUMBER

PURCHASING AUTHORITY NUMBER (If Applicable)

1. This Agreement is entered into between the Contracting Agency and the Contractor named below:

CONTRACTING AGENCY NAME

State Energy Resources Conservation and Development Commission (Energy Commission)

CONTRACTOR NAME

2. The term of this Agreement is:

START DATE

The effective date of this Agreement is the start date, or the signature date this agreement was signed by the California Energy Commission representative below, or the approval date by the Dept. of General Services (if required), whichever is later. No work shall commence until the effective date.

THROUGH END DATE

3. The maximum amount of this Agreement is:

\$250,000.00

4. The parties agree to comply with the terms and conditions of the following exhibits, which are by this reference made a part of the Agreement.

Exhibits	Title	Pages
Exhibit A	Scope of Work	
Exhibit B	Budget Detail and Payment Provisions	
Exhibit C *	General Terms and Conditions	GTC 04/2017
+ - Exhibit D	Special Terms and Conditions	
+ - Exhibit E	Additional Provisions	
+ - Exhibit E Attachment 1	Confidential Deliverables and Pre-existing Intellectual Property Lists	
+ - Exhibit F	Contacts List	
+ - Exhibit G	Information Practices Act Special Terms and Conditions	
+ - Exhibit H	Conflict of Interest	

Items shown with an asterisk (*), are hereby incorporated by reference and made part of this agreement as if attached hereto.

These documents can be viewed at <https://www.dgs.ca.gov/OLS/Resources>

IN WITNESS WHEREOF, THIS AGREEMENT HAS BEEN EXECUTED BY THE PARTIES HERETO.

CONTRACTOR

CONTRACTOR NAME (if other than an individual, state whether a corporation, partnership, etc.)

CONTRACTOR BUSINESS ADDRESS

CITY

STATE

ZIP

PRINTED NAME OF PERSON SIGNING

TITLE

CONTRACTOR AUTHORIZED SIGNATURE

DATE SIGNED

SCO ID:

STATE OF CALIFORNIA - DEPARTMENT OF GENERAL SERVICES

STANDARD AGREEMENT

STD 213 (Rev. 04/2020)

AGREEMENT NUMBER	PURCHASING AUTHORITY NUMBER (If Applicable)
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STATE OF CALIFORNIA

CONTRACTING AGENCY NAME

State Energy Resources Conservation and Development Commission (Energy Commission)

CONTRACTING AGENCY ADDRESS	CITY	STATE	ZIP
715 P Street, MS-18	Sacramento	CA	95814

PRINTED NAME OF PERSON SIGNING	TITLE
Adrienne Winuk	Contracts, Grants and Loans Office Manager

CONTRACTING AGENCY AUTHORIZED SIGNATURE	DATE SIGNED
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CALIFORNIA DEPARTMENT OF GENERAL SERVICES APPROVAL	EXEMPTION (If Applicable)
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Attachment 8
Standard Agreement Example

EXHIBIT A

Scope of Work as described in the RFP

EXHIBIT B

Budget Detail and Payment Provisions

1. CONDITIONS FOR PAYMENT

- A. No payment shall be made in advance of services rendered
- B. For services satisfactorily rendered, and upon receipt and approval of invoices, the Energy Commission agrees to compensate the Contractor for actual allowable expenditures incurred in accordance with Exhibit B. The rates in Exhibit B are rate caps, or the maximum amount allowed to be billed. The Contractor can only bill for actual expenses incurred for hours worked **at the Contractor's and subcontractor's actual labor and non-labor rates**, not to exceed the rates specified in Exhibit B.
- C. The Contractor is not allowed to charge profit, fees or mark-ups on any subcontracted budget item, including lower tier subcontracted amounts. Subcontractors are not allowed to profit from their subcontractors' costs.
- D. Each invoice is subject to the Energy Commission Agreement Manager's (CAM) approval.
- E. Payments shall be made to the Contractor for undisputed invoices. An undisputed invoice is an invoice submitted by the Contractor for services rendered, and for which additional evidence is not required to determine its validity. The invoice will be disputed if all deliverables due for the billing period have not been received and approved, if the invoice is inaccurate, or if it does not comply with the terms of this Agreement. If the invoice is disputed, Contractor will be notified via a Dispute Notification Form within 15 working days of receipt of the invoice.
- F. Payment will be made in accordance with the Prompt Payment Act, Government Code Chapter 4.5, commencing with Section 927, which requires payment of properly submitted, undisputed invoices within 45 days of receipt or automatically pay late payment penalties when applicable.
- G. Final invoice must be received by the Energy Commission no later than 30 calendar days after the Agreement termination date.
- H. The State will pay for State or local sales or use taxes on the services rendered or equipment, parts or software supplied to the Energy Commission pursuant to this Agreement. The State of California is exempt from Federal excise taxes, and no payment will be made for any taxes levied on employee's wages.
- I. No payment will be made for costs identified in Contractor invoices that have or will be reimbursed by another source, including but not limited to a government entity agreement or subcontract or other procurement methods.

2. **PAYMENT TERMS**

Check all that apply:

- In Arrears
- Itemized
- Monthly

3. **INVOICING PROCEDURES**

A. Invoices shall be submitted in duplicate not more frequently than monthly. The following certification shall be included on each invoice and signed by an authorized official of the Contractor:

I certify that this invoice is correct and proper for payment, and reimbursement for these costs has not and will not be received from any other sources, including but not limited to a government entity contract, subcontract or other procurement method.

B. The Energy Commission will accept computer generated or electronically transmitted invoices. Electronic signatures are acceptable. The date of "invoice receipt" shall be the date the Energy Commission receives the electronic copy.

Send invoices to:

California Energy Commission
Accounting Office, MS-2
invoices@energy.ca.gov

C. An invoice shall consist of, but not be limited to, the following:

- 1) Agreement number, date prepared, and billing period.
- 2) The Contractor's actual unloaded hourly labor rates by individual and number of hours worked during the reporting period. Identify actual, agreement, and billed amounts.
- 3) Non-Labor rates (fringe benefits, indirect overheads, general and administrative, profit, etc.). Identify actual, agreement, and billed amounts.
- 4) Other direct operating expenses, including equipment, travel, materials, and miscellaneous, etc.
- 5) Subcontractor expenditures.
- 6) An indication of whether a subcontractor is a California Certified Small Business or a Certified Disabled Veteran Business Enterprise.
- 7) By task and/or category (as specified in Budget Detail): current billing, previously billed, budgeted amounts, and balance of funds.
- 8) If applicable, the match fund expenditures.
- 9) All invoices must be accompanied by the following documentation to support the expenditure:
 - a) Subcontractor invoices which shall include items 1-8 above for corresponding information, if any, identified in the budget detail (e.g., if the budget detail lists hourly labor rates, then the subcontractor's invoice would include hourly labor rates).

- b) Receipts for travel expenses.
- c) Receipts for materials, miscellaneous, and/or equipment.
- d) A report that documents the progress of the work during the billing period;
and
- e) Any other deliverables due during the billing period.

4. **RETENTION: No retention will be withheld under this Agreement.**

5. **TRAVEL AND PER DIEM RATES**

The Contractor shall be reimbursed for travel and per diem expenses using the Energy Commission Contractor Travel Rates. The Contractor must pay for travel in excess of these rates. The Contractor may obtain current rates from the Energy Commission's Web Site at: http://www.energy.ca.gov/contracts/TRAVEL_PER_DIEM.PDF.

- A. Travel identified in Exhibit B, Pre-Approved Travel List is approved and does not require further authorization. .
- B. Travel that is not included in Exhibit B, Pre-Approved Travel List shall require written authorization from the CAM prior to travel departure. The Energy Commission will reimburse travel expenses from the Contractor's office location. For purposes of payment, the Contractor's office location shall be considered the office location where the Contractor's employees or, if applicable, the employees of a subcontractor with responsibilities for this Agreement are permanently assigned.
- C. Travel receipts and documentation of travel expenses, including travel meals and incidentals, shall be submitted with invoices requesting reimbursement from the Energy Commission. The documentation must be listed by trip and include dates and times of departure and return.

6. **BUDGET CONTINGENCY CLAUSE**

It is mutually agreed that if the Budget Act of the current year and/or any subsequent years covered under this Agreement does not appropriate sufficient funds for the work identified in Exhibit A, this Agreement shall be of no further force and effect. In this event, the State shall have no liability to pay any funds whatsoever to the Contractor or to furnish any other consideration under this Agreement and the Contractor shall not be obligated to perform any provisions of this Agreement.

If funding for any fiscal year is reduced or deleted by the Budget Act for purposes of this program, the State shall have the option to either: cancel this Agreement with no liability occurring to the State, or offer an Agreement amendment to the Contractor to reflect the reduced amount.

7. **RATES & CLASSIFICATIONS: CHANGES IN CONTRACTOR PERSONNEL OR SUBCONTRACTOR PERSONNEL**

This section contains provisions allowing rate and classification changes without a formal amendment. Exhibit D contains the rules for adding or replacing personnel and subcontractors listed in the Agreement. When a Contractor makes personnel and subcontractor changes in accordance with Exhibit D that do not require a formal amendment, the following rules explain the rates and classifications for which the Contractor can invoice. Changes outside of these rules require a formal amendment to the Agreement.

A. **New Personnel**

If Contractor or a subcontractor adds new personnel after the Agreement has been executed, the Contractor shall submit the new personnel's resume and proposed job classification/rate, consistent with classifications/rates within the respective budget, to CAM for review and approval. If the Agreement budget includes a job classification with the person identified as "To Be Determined", and a person is later identified, this person is considered to be new personnel. The new personnel shall not provide services until the CAM approves the new personnel request in writing and notifies the Energy Commission Agreement Officer (CAO). Any work performed by these new personnel prior to CAM approval is at Contractor's expense; the Energy Commission will not reimburse Contractor for work performed by these new personnel that occurs prior to CAM approval.

B. **Labor Rates & Classifications**

The Agreement budget identifies individuals and/or job classifications and the maximum rates that the Contractor can invoice for them. The Contractor shall only invoice for the actual rates up to the maximum amount listed. Contractor can only increase rates or add new job classifications to the Agreement through a formal amendment to this Agreement.

1. **Contractor Changes: Addition or Replacement of Personnel**

a) **Labor Rates**

If the Contractor adds a new person to a job classification listed in the Contractor's budget or replaces a person listed in the Contractor's budget, the Contractor can only invoice for the new person's actual rate up to the maximum amount listed for that classification in the Contractor's budget. The Contractor cannot use for its personnel a rate of a subcontractor.

b) **Classifications**

Additions or replacement of personnel can only be made within existing job classifications identified in the Contractor's budget. The Contractor cannot use for its personnel a job classification of a subcontractor. The new person must be invoiced within job classifications that already exist in the budget for the Contractor. If the Contractor wishes to add a new job classification to the Agreement (for instance to bring in a new person or possibly promote a person) this will require a formal amendment to the Agreement.

c) Promotions

Contractor personnel listed in the Contractor's budget can be moved to a higher-paying job classification listed in the Contractor's budget with prior written approval of the CAM and the appropriate Division Deputy Director. The written approval must be submitted to the CAO.

2. Subcontractor Changes: Addition or Replacement of Personnel

a) Labor Rates

If a subcontractor adds a new person to a job classification listed in the subcontractor's budget or replaces a person listed in the subcontractor's budget for that subcontractor, the subcontractor can only invoice for the new person's actual rate up to the maximum amount listed for that classification in the subcontractor's budget. The subcontractor cannot use for its personnel a rate of another subcontractor or of the Contractor.

b) Classifications

Additions or replacement of personnel can only be made within existing job classifications identified in the subcontractor's budget. The subcontractor cannot use for its personnel a job classification of another subcontractor or of the Contractor. The new person must be invoiced within job classifications that already exist in the budget for the subcontractor. If the subcontractor wishes to add a new job classification to the Agreement (for instance to bring in a new person or possibly promote a person) this will require a formal amendment to the Agreement.

c) Promotions

Subcontractor personnel listed in the subcontractor's budget can be moved to a higher-paying job classification listed in the subcontractor's budget with prior written approval of the CAM and the appropriate Division Deputy Director. The written approval must be submitted to the CAO.

C. Changes in Assigned Personnel Hours

Contractor may move dollars allocated for a specific person (employee or subcontractor) to another person listed in an Agreement or Work Authorization budget. However such changes cannot change the amount of the budget for the task or labor category. If a change in personnel will result in a change in the dollar amount of the task or in the labor category, then refer to the Budget Reallocation provision in this Exhibit B.

8. **BUDGET REALLOCATION**

A. The Energy Commission, through its CAM and CAO, and the Contractor can agree upon and make certain budget reallocations without a formal amendment to this Agreement as long as ALL of the following conditions are met:

- 1) For agreements without work authorizations, the total of all budget reallocations cannot exceed ten percent (10%) with a cap amount of \$150,000 of the Agreement Amount. For purposes of this provision, "Agreement Amount" means the total amount of Energy Commission funds

being paid to Contractor under this Agreement. It does not include any match funds provided by Contractor.

For example, if under an agreement the Energy Commission agrees to pay a contractor \$100,000 and the contractor is supplying \$500,000 in match funding, the ten percent (10%) limitation applies to the \$100,000. Only up to \$10,000 of Energy Commission funds can be reallocated without a formal amendment. If under an agreement the Energy Commission agrees to pay a contractor \$1,750,000, ten percent would be \$175,000, but the cap is \$150,000, so the most that could be reallocated without a formal amendment is \$150,000.

- 2) The budget reallocation cannot substantially change the Scope of Work. Examples of budget reallocations that do not substantially change the Scope of Work include, but are not limited to, the following:
 - Increasing or decreasing the overall travel budget. This does not mean an increase to the allowed per diem rates under this Agreement.
 - Increasing or decreasing the equipment budget.
 - Increasing or decreasing the number of personnel assigned to complete tasks. This does not include increasing the hourly rates of the personnel and classifications listed in the budget. Increasing hourly rates requires a formal amendment. The addition of personnel also requires a formal amendment unless there is already an identified classification of rates in the budget that the new personnel will be filling.
 - 3) The budget reallocation only involves moving funds between tasks or categories. The total Agreement Amount and the total budget of any work authorizations must remain unchanged. Increasing the total amount of the Agreement requires a formal amendment.
 - 4) The budget reallocation does not increase the percentage rate of Indirect Overhead, Direct Overhead, Fringe Benefits, General and Administrative Costs, Profit, or any other rates listed in the budget. For example, if an agreement budget lists the Indirect Overhead percentage rate as 25% of Direct Labor, the 25% cannot be changed without a formal amendment. Another example is that if a contractor listed that its profit rate is 8% of the total agreement, to increase this rate would require a formal amendment.
- B. To effectuate a budget reallocation under this section, the Contractor must make a request in writing to both the CAM and the CAO. Both the CAM and CAO will then approve or disapprove the request in writing; the approval or disapproval is not effective or binding unless signed by both the CAM and the CAO. Oral communications cannot be used or relied upon. If the request is approved, the CAM shall revise the Budget Attachments to reflect the changes and send them to the CAO and Contractor.
- C. Any desired budget reallocations that do not meet the four criteria in this section must be made through a formal amendment. For purposes of this provision, a "formal amendment" means that all of the following must occur: approval by the Energy Commission at a Commission Business Meeting, a written amendment signed by both parties, and approval by the California Department of General Services.

D. Attempted budget reallocations that do not meet the requirements of this section are not legally binding upon the parties.

9. **BUDGET DETAIL**

Budget detail is contained in the Attachments to this Exhibit.

ATTACHMENT 07

General Budget Worksheet Instructions

1. A separate set of complete budget forms, including the full set of worksheets, is required for the Contractor/Recipient and for each subcontract.
2. For each worksheet, only identify the expenses to be incurred by the organization to which the budget forms pertain.
3. Only complete information for non-shaded cells; all other information will be automatically filled or calculated.
4. When more rows are required, copy an existing row and "insert the copied cells" between existing rows to keep template formulas accurate.
5. Budgeted Energy Commission funds and match share must be in whole dollars. Rates (labor, fringe, indirect or profit) and unit costs for materials/equipment must be in dollars and cents (two decimal places only).
6. Do not create new formulas in the tables as they may cause rounding discrepancies.
7. Each worksheet has specific instructions located below the form.
8. All rates (labor, fringe, indirect, and profit) included in these forms are caps, or the maximum amount allowed to be billed. The Energy Commission will only reimburse for actual expenses incurred, not to exceed the rates specified in these forms.
9. All costs (including indirect costs) must adhere to the Agreement Terms and Conditions, Generally Accepted Accounting Principles (GAAP) and the Office of Management and Budget (OMB) Circular or Federal Acquisition Regulations applicable to your organization.
10. Never delete Rows, Columns or Worksheets. Leave unused cells blank.

ATTACHMENT 07

Category Budget

1. Insert name of the organization (either Contractor/Recipient or Subcontractor). All subcontracts must complete a full set of budget forms
2. Check appropriate box to identify whether the budget forms are for the Contractor/Recipient or a Subcontractor.
3. Check appropriate box(es) to identify whether entity is a small business, micro business, and/or Disabled Veteran Business Enterprise.
4. No other input is necessary on this page as other cells self-populate.

Direct Labor (Unloaded) Instructions

1. Insert employee name(s) that will be charged as direct labor as either a reimbursed cost or match share. (optional, but recommended)
2. Insert employee(s) job classification/title. (required)
3. Insert the maximum hourly or monthly labor rate (unloaded) by employee job classification/title to be billed during the approved term of the agreement. This is the highest salary or wage rate that is actually paid to the employee before the application of fringe benefits, indirect costs or profit.
4. Complete the appropriate table based on your organization's standard accounting practices. If an employee is paid based on an hourly rate, use the hourly table. If an employee is paid based on a monthly salary, use the monthly table.
5. The rates in these forms are rate caps, or the maximum amount allowed to be billed for the entire term of the agreement. The Energy Commission will only reimburse for actual direct labor expenses incurred, not to exceed the rates specified in these forms. Rates must include dollars and cents (two decimal places only).
6. Insert the approximate number of hours or months to be worked by employee or job classification/title including for all "to be determined" (TBD) employees. The Energy Commission will only reimburse for actual time worked. The Contractor/Recipient or Subcontractor must maintain auditable documentation of actual time worked hourly, daily, weekly or monthly using standard accounting practices.
7. Insert the dollar amount by employee or job classification/title to be reimbursed with Energy Commission funds. Whole dollars only.
8. Insert the dollar amount by employee/classification to be charged as match share. Whole dollars only.
9. Confirm totals across and down are accurate.
10. Totals on each line must be less than or equal to Maximum Labor Rate multiplied by the Number of Hours.

ATTACHMENT 07

Fringe Benefits Instructions

1. Insert the fringe benefit (FB) base description. The base is typically the direct labor costs that are multiplied by the fringe benefit rate to arrive at the fringe benefit cost (FB base multiplied by the FB rate = FB cost).
2. Organizations that charge the same fringe benefit rate for all classifications should insert "All Classifications" under the base description and complete the top line only. If more than one fringe benefit rate is utilized, use additional lines and adequately describe (by employee or classification) the base for each fringe benefit rate charged.
3. Insert the maximum fringe benefit rate to be charged during the approved term of the agreement. Round percentages **up** to the nearest hundredth (two decimal places). For example, manually enter 20.26% instead of 20.2511%
- 4. The fringe benefit rates in these forms are rate caps, or the maximum amount allowed to be billed. The Energy Commission will only reimburse for actual fringe benefit expenses incurred, not to exceed the rates specified in these forms.**
5. Insert the direct labor costs allocable to each fringe benefit rate. These costs must be consistent with the costs identified on the Direct Labor worksheet. The total for the Direct Labor Costs column on this worksheet must match the Grand Total for all Direct Labor (Energy Commission Funds and Match Share) on the Direct Labor worksheet.
6. Insert the dollar amount of fringe benefit costs to be reimbursed with Energy Commission funds. **Whole dollars only.**
7. Insert the dollar amount of fringe benefit costs to be charged as match share. **Whole dollars only.**
8. Totals on each line must be less than or equal to Maximum Fringe Benefit Rate multiplied by Direct Labor Costs.
9. The Energy Commission expects to only reimburse fringe benefit costs which are allocable to the Fringe Benefit base costs reimbursed by the Energy Commission. For example, if the Energy Commission reimburses 45% of the direct labor, the Energy Commission expects to only reimburse up to 45% of the fringe benefit costs.
10. Confirm all totals across and down are accurate.

ATTACHMENT 07

Travel instructions

1. All travel costs are reimbursed at state rates except in agreements between the Energy Commission and a UC campus or the Federal Government. Current state travel rates can be found at http://www.energy.ca.gov/contracts/TRAVEL_PER_DIEM.PDF. Please see terms and conditions for more information.
2. Identify all travel costs to be incurred by the organization to which these budget forms pertain (e.g. subcontractor travel will be shown on the subcontractor travel sheet, not on the Contractor/Recipient travel sheet). All travel identified as "To Be Determined (TBD)" is not pre-approved and requires prior written approval from the Commission Agreement Manager and Commission Agreement Officer in accordance with the terms and conditions.
3. All travel not listed on agreement budget forms must obtain pre-approval from the Commission Agreement Manager and Commission Agreement Officer in accordance with the terms and conditions. All subcontractors under \$100,000 or 25% of the Commission Funds, who do not have their own travel sheets, must get all travel pre-approved in writing as needed.
4. Insert the applicable Task No. from the Scope of Work that the trip supports.
5. Insert the traveler's name and/or classification.
6. Insert the departure and destination locations. For example, "From Sacramento to Los Angeles and Return." It is strongly recommended that all out of state or out of country travel be paid with match funding.
7. Insert a brief purpose of the trip.
8. Insert the dollar amount of each trip to be reimbursed with Energy Commission funds. **Whole dollars only.**
9. Insert the dollar amount of each trip to be charged as match share. **Whole dollars only.**
10. Confirm all totals across and down are accurate.

Equipment Instructions

1. Equipment is defined as items having a **per unit** cost of at least \$5,000 and a useful life of at least 1 year. Equipment means any products, objects, machinery, apparatus, implements or tools purchased, used or constructed within the Project, including those products, objects, machinery, apparatus, implements or tools from which over thirty percent (30%) of the equipment is composed of Materials purchased for the Project. Items not meeting this definition should be included on the Materials & Miscellaneous worksheet.
2. Insert the applicable Task No. from the Scope of Work that the equipment supports. Multiple tasks may be identified.
3. Insert the Vendor for this equipment. This is the entity that the prime or subcontractor will purchase the equipment from. If the prime or subcontractor is building the equipment and not purchasing it from a 3rd party, expenses for the equipment must be detailed in the labor and materials categories as applicable.
4. Insert a description of the equipment. The description should be sufficient to allow the Energy Commission to easily tie the equipment to backup documentation provided with the invoice and the Scope of Work.
5. Insert a concise purpose of the equipment (i.e., why is the equipment needed for the project?).
6. Insert the number of units to be purchased.
7. Insert the **per unit** cost of the equipment.
8. Insert the dollar amount to be reimbursed with Energy Commission funds. **Whole dollars only.**
9. Insert the dollar amount to be charged as match share. **Whole dollars only.**
10. Totals on each line **must equal** # of Units multiplied by the Per Unit Cost.
11. Confirm all totals across and down are accurate.

ATTACHMENT 07

Materials & Miscellaneous Instructions

1. Materials are items under the agreement that do not meet the definition of Equipment. Miscellaneous are items of cost that do not fit in other cost categories contained in this workbook.
2. Insert the applicable Task No. from the Scope of Work that the material/miscellaneous expense supports.
3. Insert a description of the material/miscellaneous item. The description should be sufficient to allow the Energy Commission to easily tie the material/miscellaneous expense to backup documentation provided with the invoice and the Scope of Work.
4. Where appropriate and logical, materials and miscellenous items can be grouped together. Grouped items must be clearly and thoroughly described. Grouped items can use "varies" for the # of units and unit cost. (Examples may include various pipes and pipe fittings or various nuts and bolts, etc...)
5. Insert a concise purpose of the material/miscelleneous expense (i.e., why is the material/miscellaneous expense needed for the project?).
6. Insert the number of units to be purchased.
7. Insert the per unit cost of the material/miscelleneous item.
8. Insert the dollar amount to be reimbursed with Energy Commission funds. Whole dollars only.
9. Insert the dollar amount to be charged as match share. Whole dollars only.
10. Totals on each line must equal # of Units multiplied by the Per Unit Cost.
11. Confirm all totals across and down are accurate.

Subcontracts Instructions

1. Each subcontract requires completion of a separate set of complete budget forms detailing the expected expenditures of the subcontractor.
2. Include all subcontractors that have a direct contractual relationship with the organization to which these budget forms pertain including those that must also complete their own set of budget forms.
3. Insert the applicable Task No. from the Scope of Work that the subcontract supports. Insert multiple task numbers if applicable.
4. Insert the name of the subcontractor, if known. If not known, insert "TBD."
5. Insert a concise purpose of the subcontract (i.e., why is the subcontract needed for the project?).
6. Insert the dollar amount to be reimbursed with Energy Commission funds. Whole dollars only.
7. Insert the dollar amount to be charged as match share. Whole dollars only.
8. Totals on each line must equal total amount of subcontract.
9. Confirm all totals across and down are accurate.
10. Insert whether the subcontractor is a certified Disabled Veteran Business Enterprise (DVBE), Small Business (SB) or Micro Business (MB). Appropriate answers are "DVBE", "SB", "MB", "None", or "TBD". Certification status can be verified at the following website: http://www.bidsync.com/DPXBisCASB

ATTACHMENT 07

Indirect Costs Instructions

1. All indirect costs charged must be reasonable, allocable to the project, and fully supported by backup documentation. The Energy Commission reserves the right to request supporting documentation of all indirect costs reimbursed or charged as match share.
2. Indirect costs must adhere to the Agreement Terms and Conditions, Generally Accepted Accounting Principles (GAAP) and the OMB Circular or Federal Acquisition Regulations applicable to your organization.
3. Insert the name of the indirect cost.
4. Insert the maximum indirect cost rate to be charged during the approved term of the agreement.
5. The indirect cost rates on this form are caps, or the maximum amount allowed to be billed. The Contractor/Recipient/Subcontractor can only bill for actual indirect costs incurred, not to exceed the rates specified in these forms.
6. Describe the indirect cost base (categories or items of costs within the budget) on which the indirect cost rate is applied.
7. Insert the dollar amount of the indirect cost base. This is the sum of the budgeted costs described in the indirect cost base description.
8. Insert the dollar amount to be reimbursed with Energy Commission funds. Whole dollars only.
9. Insert the dollar amount to be charged as match share. Whole dollars only.
10. The Energy Commission expects to only reimburse indirect costs which are allocable to the indirect base costs reimbursed by the Energy Commission. For example, if the Energy Commission reimburses 45% of the costs included in the indirect cost base, the Energy Commission expects to only reimburse up to 45% of the indirect costs. Match share expenditures are allowed to cover higher percentages of indirect costs.
11. Totals on each line must be less than or equal to Maximum Indirect Cost Rate multiplied by the Indirect Cost Base Amount.
12. Confirm all totals across and down are accurate.

ATTACHMENT 07

Profit Instructions

1. **For Grant Agreements Only:** Recipients CANNOT be reimbursed for more than their actual allowable expenses (i.e., cannot include profit, fees, or markups) under the agreement. Subcontractors (all tiers) are allowed to include up to a maximum total of 10% profit, fees or mark-ups on their own actual allowable expenses less any expenses further subcontracted to other entities (i.e., profit, fees and markups are not allowed on subcontractor expenses). For example, if a subcontractor has \$100,000 in actual allowable costs but has further subcontracted \$20,000 to another entity, then the subcontractor can only include up to 10% profit on \$80,000 (\$100,000 minus \$20,000). See terms and conditions for more information on allowable costs.
2. **For Contract Agreements Only:** Contractors and subcontractors can include up to a maximum total of 10% profit, fees or markups on their own actual allowable expenses less any expenses further subcontracted to other entities (i.e., profit, fees and markups are not allowed on subcontractor expenses). For example, if a contractor has \$100,000 in actual allowable costs but has further subcontracted \$20,000 to another entity, then the contractor can only include up to 10% profit on \$80,000 (\$100,000 minus \$20,000). See terms and conditions for more information on allowable costs.
3. **For All Agreement Types:** Forgone profit, fees, or markups are NOT eligible match share expenditures. Forgone profit, fees and markups are defined as profit, fees or markups that are not claimed or actually paid to a contractor, recipient or subcontractor. For example, if a contractor pays its own funds to a subcontractor (funds the contractor will not seek reimbursement from the Energy Commission) and the payment includes profit, fees or markups, the amount paid to the subcontractor including the profit, fees or markups can count as a match share expenditure since it was actually paid. However, if a contractor or subcontractor would normally include profit, fees or markups in its invoices and indicates it will forgo charging these costs, the forgone profit, fees, or markups cannot count as a match fund expenditure since it was not paid. This restriction does not apply to equipment or material discounts appropriately documented and provided to the project.
4. Insert the maximum profit rate to be charged during the approved term of the agreement. The profit rate in these forms are caps, or the maximum amount allowed to be billed.
5. Describe the profit base (categories or items of costs within the budget) on which the profit rate is applied.
6. Insert the dollar amount of the profit base. This is the sum of the budgeted costs described in the Profit Base Description.
7. Insert the dollar amount to be reimbursed with Energy Commission funds. **Whole dollars only.**
8. Insert the dollar amount to be charged as match share. **Whole dollars only.**
9. The Energy Commission expects to only reimburse profit which is allocable to the profit base reimbursed by the Energy Commission. For example, if the Energy Commission reimburses 45% of the profit base costs, the Energy Commission expects to only reimburse up to 45% of the profit. Match share expenditures are allowed to cover higher percentages of profit.
10. Totals on each line must be less than or equal to: Max. Profit Rate X Profit Base Amount.
11. Confirm all totals across and down are accurate.

ATTACHMENT 07

Category Budget
(see instructions tab)

Organization Name	Organization Name
--------------------------	--------------------------

Cost Category	Energy Commission Reimbursable Share	Match Share	Total
Direct Labor	\$ -	\$ -	\$ -
Fringe Benefits	\$ -	\$ -	\$ -
Total Labor	\$ -	\$ -	\$ -
Travel	\$ -	\$ -	\$ -
Equipment	\$ -	\$ -	\$ -
Materials/Miscellaneous	\$ -	\$ -	\$ -
Subcontractors	\$ -	\$ -	\$ -
Total Other Direct Costs	\$ -	\$ -	\$ -
Indirect Costs	\$ -	\$ -	\$ -
Profit (not allowed for grant recipients)	\$ -	\$ -	\$ -
Total Indirect and Profit	\$ -	\$ -	\$ -
Grand Totals	\$ -	\$ -	\$ -

ATTACHMENT 07

Direct Labor (Unloaded)
(see instructions tab)

Organization Name

Hourly Rates

Employee Name	Job Classification / Title	Maximum Labor Rate (\$ per hour)	# of Hours	Energy Commission Funds	Match Share	Total
		\$ -		\$ -	\$ -	\$ -
		\$ -		\$ -	\$ -	\$ -
		\$ -		\$ -	\$ -	\$ -
		\$ -		\$ -	\$ -	\$ -
		\$ -		\$ -	\$ -	\$ -
		\$ -		\$ -	\$ -	\$ -
Hourly Direct Labor Totals				\$ -	\$ -	\$ -

Monthly Salary Rates

Employee Name	Job Classification / Title	Maximum Labor Rate (\$ per month)	# of Months	Energy Commission Funds	Match Share	Total
		\$ -		\$ -	\$ -	\$ -
		\$ -		\$ -	\$ -	\$ -
		\$ -		\$ -	\$ -	\$ -
		\$ -		\$ -	\$ -	\$ -
		\$ -		\$ -	\$ -	\$ -
		\$ -		\$ -	\$ -	\$ -
Monthly Direct Labor Totals				\$ -	\$ -	\$ -

	Energy Commission Funds	Match Share	Total
Direct Labor Grand Totals	\$ -	\$ -	\$ -

ATTACHMENT 07

Fringe Benefits
(see instructions tab)

Organization Name

Fringe Benefit Base Description (Employee or Job Classification/Title)	Max. Fringe Benefit Rate (%)	Direct Labor Costs (\$)	Energy Commission Funds	Match Share	Total
	0.00%	\$ -	\$ -	\$ -	\$ -
	0.00%	\$ -	\$ -	\$ -	\$ -
	0.00%	\$ -	\$ -	\$ -	\$ -
	0.00%	\$ -	\$ -	\$ -	\$ -
	0.00%	\$ -	\$ -	\$ -	\$ -
	0.00%	\$ -	\$ -	\$ -	\$ -
	0.00%	\$ -	\$ -	\$ -	\$ -
	0.00%	\$ -	\$ -	\$ -	\$ -
	0.00%	\$ -	\$ -	\$ -	\$ -
	0.00%	\$ -	\$ -	\$ -	\$ -
	0.00%	\$ -	\$ -	\$ -	\$ -
	0.00%	\$ -	\$ -	\$ -	\$ -
	0.00%	\$ -	\$ -	\$ -	\$ -
	0.00%	\$ -	\$ -	\$ -	\$ -
	0.00%	\$ -	\$ -	\$ -	\$ -
	0.00%	\$ -	\$ -	\$ -	\$ -
	0.00%	\$ -	\$ -	\$ -	\$ -
	0.00%	\$ -	\$ -	\$ -	\$ -
Fringe Benefit Totals		\$ -	\$ -	\$ -	\$ -

ATTACHMENT 07

Travel
(see instructions tab)

Organization Name

Task No.	Traveler's Name and/or Classification	Departure and Destination	Trip Purpose	Energy Commission Funds	Match Share	Total
				\$ -	\$ -	\$ -
				\$ -	\$ -	\$ -
				\$ -	\$ -	\$ -
				\$ -	\$ -	\$ -
				\$ -	\$ -	\$ -
				\$ -	\$ -	\$ -
				\$ -	\$ -	\$ -
				\$ -	\$ -	\$ -
				\$ -	\$ -	\$ -
				\$ -	\$ -	\$ -
				\$ -	\$ -	\$ -
				\$ -	\$ -	\$ -
				\$ -	\$ -	\$ -
				\$ -	\$ -	\$ -
				\$ -	\$ -	\$ -
				\$ -	\$ -	\$ -
				\$ -	\$ -	\$ -
				\$ -	\$ -	\$ -
				\$ -	\$ -	\$ -
Total:				\$ -	\$ -	\$ -

ATTACHMENT 07

Equipment
(see instructions tab)

Organization Name

Task No.	Vendor	Description	Purpose	# Units	Unit Cost	Energy Commission Funds
					\$ -	\$ -
					\$ -	\$ -
					\$ -	\$ -
					\$ -	\$ -
					\$ -	\$ -
					\$ -	\$ -
					\$ -	\$ -
					\$ -	\$ -
					\$ -	\$ -
					\$ -	\$ -
					\$ -	\$ -
					\$ -	\$ -
					\$ -	\$ -
					\$ -	\$ -
					\$ -	\$ -
Total:						\$ -

ATTACHMENT 07



Match Share	Total
\$ -	\$ -
\$ -	\$ -
\$ -	\$ -
\$ -	\$ -
\$ -	\$ -
\$ -	\$ -
\$ -	\$ -
\$ -	\$ -
\$ -	\$ -
\$ -	\$ -
\$ -	\$ -
\$ -	\$ -
\$ -	\$ -
\$ -	\$ -
\$ -	\$ -
\$ -	\$ -
\$ -	\$ -
\$ -	\$ -
\$ -	\$ -
\$ -	\$ -
\$ -	\$ -

ATTACHMENT 07

**Materials & Miscellaneous
(see instructions)**

Organization Name

Task No.	Description	Purpose	# Units	Unit Cost	Energy Commission Funds	Match Share	Total
				\$ -	\$ -	\$ -	\$ -
				\$ -	\$ -	\$ -	\$ -
				\$ -	\$ -	\$ -	\$ -
				\$ -	\$ -	\$ -	\$ -
				\$ -	\$ -	\$ -	\$ -
				\$ -	\$ -	\$ -	\$ -
				\$ -	\$ -	\$ -	\$ -
				\$ -	\$ -	\$ -	\$ -
				\$ -	\$ -	\$ -	\$ -
				\$ -	\$ -	\$ -	\$ -
				\$ -	\$ -	\$ -	\$ -
				\$ -	\$ -	\$ -	\$ -
				\$ -	\$ -	\$ -	\$ -
				\$ -	\$ -	\$ -	\$ -
Total:					\$ -	\$ -	\$ -

ATTACHMENT 07

Subcontracts
(see instructions tab)

Organization Name

Task No.	Subcontractor Name	Purpose	CA Business Certifications DVBE/ SB/MB/None	Energy Commission Funds	Match Share	Total
				\$ -	\$ -	\$ -
				\$ -	\$ -	\$ -
				\$ -	\$ -	\$ -
				\$ -	\$ -	\$ -
				\$ -	\$ -	\$ -
				\$ -	\$ -	\$ -
				\$ -	\$ -	\$ -
				\$ -	\$ -	\$ -
				\$ -	\$ -	\$ -
				\$ -	\$ -	\$ -
				\$ -	\$ -	\$ -
				\$ -	\$ -	\$ -
				\$ -	\$ -	\$ -
				\$ -	\$ -	\$ -
				\$ -	\$ -	\$ -
Total:				\$ -	\$ -	\$ -

ATTACHMENT 07

Indirect Costs and Profit
(see instructions tab)

Organization Name

Indirect Cost(s)

Name of Indirect Cost	Maximum Rate	Indirect Cost Base Description	Indirect Cost Base Amount	Energy Commission Funds	Match Share	Total
	0.00%		\$ -	\$ -	\$ -	\$ -
	0.00%		\$ -	\$ -	\$ -	\$ -
	0.00%		\$ -	\$ -	\$ -	\$ -
	0.00%		\$ -	\$ -	\$ -	\$ -
	0.00%		\$ -	\$ -	\$ -	\$ -
Total:				\$ -	\$ -	\$ -

Profit

(Profit is not allowed for Grant Recipients)

Profit Rate	Profit Base Description	Profit Base Amount	Energy Commission Funds	Match Share	Total
0.00%		\$ -	\$ -	\$ -	\$ -
Total:			\$ -	\$ -	\$ -

EXHIBIT D

Special Terms and Conditions

1. AGREEMENT MANAGEMENT

- A. Contractor may change Project Manager but the Energy Commission reserves the right to approve any substitution of the Project Manager.
- B. The Energy Commission may change the Energy Commission Agreement Manager (CAM) at any time and will send a written notice to the Contractor signed by the Energy Commission Agreement Officer (CAO).
- C. Energy Commission staff will be permitted to work side by side with Contractor's staff to the extent and under conditions that may be directed by the CAM. In this connection, Energy Commission staff will be given access to all data, working papers, etc., which Contractor may seek to utilize.
- D. Contractor will not be permitted to utilize Energy Commission personnel for the performance of services, which are the responsibility of Contractor unless the CAM previously agrees to such utilization in writing and an appropriate adjustment in price is made. No charge will be made to Contractor for the services of Energy Commission employees while performing, coordinating or monitoring functions.
- E. If the Schedule of Deliverables and Due Dates needs to be revised after the execution of the Agreement, the revised dates cannot extend beyond the term end date of the Agreement. Contractor shall work with the CAM to agree on the new deliverable due dates. The CAM shall issue the revised Schedule of Deliverables and Due Dates to the Contractor and the CAO. Although the dates can be revised, the deliverables cannot be changed through this process.

2. STANDARD OF PERFORMANCE

Contractor shall be responsible in the performance of Contractor's/subcontractor's work under this Agreement for exercising the degree of skill and care required by customarily accepted good professional practices and procedures. Any costs for failure to meet these standards, or otherwise defective services, which require reperformance, as directed by CAM or its designee, shall be borne in total by the Contractor/subcontractor and not the Energy Commission. In the event the Contractor/subcontractor fails to perform in accordance with the above standard the following will apply. Nothing contained in this section is intended to limit any of the rights or remedies which the Energy Commission may have under law.

- A. Contractor/subcontractor will reperform, at its own expense, any task, which was not performed to the reasonable satisfaction of the CAM. Any work reperformed pursuant to this paragraph shall be completed within the time limitations originally set forth for the specific task involved. Contractor/subcontractor shall work any overtime required to meet the deadline for the task at no additional cost to the Energy Commission.
- B. The Energy Commission shall provide a new schedule for the reperformance of any task pursuant to this paragraph in the event that reperformance of a task within the original time limitations is not feasible.

- C. If the Energy Commission directs the Contractor not to reperform a task; the CAM and Contractor shall negotiate a reasonable settlement for satisfactory services rendered. No previous payment shall be considered a waiver of the Energy Commission's right to reimbursement.

3. **SUBCONTRACTS**

Contractor shall enter into subcontracts with the following firms and/or individuals and shall manage the performance of the subcontractors.

(Insert Subcontractor Names)

AND

- A. Nothing contained in this Agreement or otherwise, shall create any contractual relationship between the State and any subcontractors, and no subcontractors and no subcontract shall relieve Contractor of its responsibilities and obligations hereunder. Contractor agrees to be as fully responsible to the State for the acts and omissions of its subcontractors and/or persons either directly or indirectly employed by any of them as it is for the acts and omissions of persons directly employed by Contractor. Contractor's obligation to pay its subcontractors is an independent obligation from the State's obligation to make payments to Contractor. As a result, the State shall have no obligation to pay or to enforce the payment of any monies to any subcontractor.
- B. Contractor shall be responsible for establishing and maintaining contractual agreements with and the reimbursement of each of the subcontractors for work performed in accordance with the terms of this Agreement. Contractor shall be responsible for scheduling and assigning subcontractors to specific tasks in the manner described in this Agreement; coordinating subcontractor accessibility to Energy Commission staff, and submitting completed products to the CAM.
- C. Contractor shall not allow any subcontractor to assign any portion of a subcontract related to this Agreement to a third party or subsequent tier subcontractor (lower tier subcontractor) without first obtaining the written consent of the CAM and following the procedures below "Process for New Subcontractors".
- D. All subcontracts entered into pursuant to this Agreement shall be subject to examination and audit by the Bureau of State Audits for a period of three (3) years after final payment under the Agreement.
- E. Upon request by the CAM or CAO, Contractor shall provide copies of all contractual agreements with subcontractors and lower tier subcontractors.
- F. Contractors who are subcontracting with University of California or California State University may use the terms and conditions negotiated by the Department of General Services with University of California/ California State University for their subcontracts. Contractors who are subcontracting with the Department of Energy's (DOE) Lawrence Livermore National Laboratory, Lawrence Berkeley National Laboratory, and the Sandia National Laboratories may use the terms and conditions negotiated with the Department of General Services. Contractors who are subcontracting with all other DOE laboratories may use the terms and conditions negotiated by the Energy Commission with DOE for their subcontracts.

- G. Upon the termination of any subcontract or lower tier subcontract, Contractor shall notify the CAM and CAO immediately in writing.
- H. In addition to any other flow-down provisions required by this Agreement, all subcontracts shall contain the following: 1) the audit rights and non-discrimination provision stated in the General Terms and Conditions (Exhibit C) and in D above; 2) further assignments shall not be made to any lower tier subcontractor without written consent of the CAM; and 3) the confidentiality provisions in the Reports paragraph of this Agreement.

I. Process for New Subcontractors

The Energy Commission reserves the right to replace a subcontractor, request additional subcontractors, and approve additional subcontractors requested by Contractor. A replaced subcontractor and an added subcontractor are both defined as a “new” subcontractor. Such changes shall be subject to the following conditions:

- 1) The new subcontractor shall be selected using either: (a) A competitive bid process with written evaluation criteria by obtaining three or more bids and advertising the work to a suitable pool of subcontractors including without limitation: California Contracts Register; Contractor’s mailing lists; mass media; professional papers or journals; posting on websites; and telephone or email solicitations; or (b) Non-competitive bid (sole source) process with a specific subcontractor.
- 2) Contractor may also need to comply with Disabled Veteran Business Enterprise requirements for the proposed subcontractor.
- 3) When a new subcontractor is proposed the CAM shall complete and submit to the CAO a “Subcontractor Addition” form. The proposed subcontract can be executed only after the CAO approves the Subcontractor Addition form. This form identifies the new subcontractor and bidding method used (competitive or non-competitive), the tasks the new subcontractor will be performing and the following shall be attached: resumes and completed Energy Commission budget forms.
- 4) Labor Rates & Classifications: Personnel of new subcontractors must fit within a classification and be equal to or less than a rate already listed in the Agreement budget and the rate cannot exceed the subcontractor’s actual rate. Adding classifications and/or higher rates for the new subcontractor other than ones currently listed in the Agreement requires a formal amendment.
- 5) Non-Labor Rates: The non-labor rates (such as fringe, indirect overhead, general and administrative, profit) charged by the new subcontractor shall be equal to or less than the existing non-labor rates already listed in the Agreement budget and cannot exceed subcontractor’s actual non-labor rates. Adding higher non-labor rates for the new subcontractor than ones currently listed in the Agreement requires a formal amendment.
- 6) Other Direct Operating Expenses: The new subcontractor may charge other direct operating expenses (such as material or equipment) as already identified in the Agreement budget. No new types of operating expenses are allowed to be charged by the new subcontractor. Adding new types of operating expenses for the new subcontractor requires a formal amendment.

4. **DISABLED VETERAN BUSINESS ENTERPRISE (DVBE) REQUIREMENTS**

A. Reporting

If Contractor made a commitment to achieve DVBE participation for this Agreement, then Contractor must within 60 days of receiving final payment under this Agreement, certify in a report to the CAO: (1) the total amount the Contractor received under this Agreement; (2) the name and address of the DVBE(s) that participated in the performance of the Agreement; (3) the amount each DVBE received from the Contractor; (4) that all payments under the Agreement have been made to the DVBE(s); and (5) the actual percentage of DVBE participation that was achieved. A person or entity that knowingly provides false information shall be subject to a civil penalty for each violation. Military & Veterans Code section 999.5(d).

B. Substitution of DVBE

Contractor shall use each DVBE identified in its proposal or listed in this Agreement. Contractor understands and agrees that if DVBE(s) were identified in its proposal or listed in this Agreement, award of this Agreement is based in part on its commitment to use the DVBE subcontractor(s). If Contractor believes an identified DVBE must be replaced or substituted, Contractor shall inform CAM and CAO in writing of the reason for the DVBE replacement. A DVBE subcontractor may only be replaced by another DVBE subcontractor and must be approved by the Department of General Services (DGS). Military and Veterans Code section 999.5 (e). Contractor shall complete revised DVBE certification forms (provided by the CAO) identifying the new DVBE.

C. Amendment

This Agreement shall be amended if: a DVBE must be substituted and DGS has given approval; or there are changes to the scope of work that impact the DVBE subcontractor(s) identified in the proposal or listed in this Agreement.

D. Grounds for Termination; Damages; Penalties

Failure of Contractor to seek substitution and adhere to the DVBE participation level identified in the proposal or listed in this Agreement may be cause for: termination of this Agreement, recovery of damages under rights and remedies due to the State; and penalties as outlined in Military and Veterans Code section 999.9 and Public Contract Code section 10115.10.

E. DVBE Name for this Agreement: **Insert DVBE name**

5. **PROCESS FOR OFFERING WORK**

If the Energy Commission or Contractor requires the replacement of a person listed in the Agreement to provide a particular service, or requires that a new person is added, the Contractor shall:

- 1) First offer the work to qualified persons already listed in this Agreement (either an employee of Contractor or a subcontractor).

- 2) If there is no available qualified person listed in this Agreement who can perform the work, then Contractor shall provide documentation from all the persons who were offered and declined the work to the CAM. Then, Contractor may request to add a new person to the Agreement in accordance with Exhibit B, Rates & Classifications: Changes in Contractor Personnel or Subcontractor Personnel. A person added to the Agreement is thereafter treated as a person listed in this Agreement and can be offered future work without first offering it to originally listed people.
- 3) If the person to be replaced or substituted was identified in the Agreement as a Disabled Veteran Business Enterprise (DVBE) firm, refer to the DVBE provision above for changes to DVBEs.
- 4) If the person added is a new subcontractor, Contractor shall use the process outlined in the Subcontracts provision, Process for New Subcontractors.

6. **PERFORMANCE EVALUATION**

Consistent with Public Contract Code Sections 10367 through 10371, the Energy Commission shall, upon completion of this Agreement, prepare a performance evaluation of the Contractor. Upon filing an unsatisfactory evaluation with the Department of General Services, Office of Legal Services (DGS) the Energy Commission shall notify and send a copy of the evaluation to the Contractor within 15 days. The Contractor shall have 30 days to prepare and send statements to the Energy Commission and the DGS defending his or her performance. The Contractor's statement shall be filed with the evaluation in the Energy Commission's Contract file and with DGS for a period of 36 months and shall not be a public record.

7. **REPORTS**

- A. **Progress and Final Reports:** Contractor shall prepare progress reports summarizing all activities conducted by Contractor to date on a schedule as provided in Exhibit A. At the conclusion of this Agreement, Contractor shall prepare a comprehensive Final Report, on a schedule as provided in Exhibit A.
- B. **Title:** Contractor's name shall only appear on the cover and title page of reports as follows:
 - California Energy Commission
 - Project Title
 - Contractor Number
 - By (Contractor)
- C. **Ownership:** Each report shall become the property of the Energy Commission.
- D. **Non-disclosure:** Contractor will not disclose data or disseminate the contents of the final or any progress report without written permission of the CAM, except as provided in F, below. Permission to disclose information on one occasion or at public hearings held by the Energy Commission relating to the same shall not authorize Contractor to further disclose and disseminate the information on any other occasion. Contractor will not comment publicly to the press or any other media regarding its report, or the Energy Commission's actions on the same, except to Energy Commission staff, Contractor's own personnel involved in the performance of this Agreement, or at a public hearing, or in response to questions from a legislative committee. Notwithstanding the foregoing, in the event any public statement is made by the Energy Commission or any other party, based on information received from the Energy Commission as to the role

of Contractor or the content of any preliminary or final report, Contractor may, if it believes the statement to be incorrect, state publicly what it believes is correct.

- E. **Confidentiality:** No record which has been designated as confidential, or is the subject of a pending application of confidentiality, shall be disclosed by the Contractor, Contractor's employees or any tier of subcontractors, except as provided in 20 California Code of Regulations, Sections 2506 and 2507, unless disclosure is ordered by a court of competent jurisdiction (20 California Code of Regulations, Sections 2501, et seq.). At the election of the CAM, Contractor, Contractor's employees and any subcontractor shall execute a "Confidentiality Agreement," supplied by the CAM or CAO. Each subcontract shall contain provisions similar to the foregoing related to the confidentiality and nondisclosure of data.
- F. **Disclosure:** Ninety days after any document submitted by the Contractor is deemed by the CAM to be a part of the public records of the State, Contractor may, if it wishes to do so at its own expense, publish or utilize a report or written document but shall include the following legend:

"LEGAL NOTICE"

"This report was prepared as a result of work sponsored by the California Energy Commission. It does not necessarily represent the views of the Energy Commission, its employees, or the State of California. The Energy Commission, the State of California, its employees, contractors, and subcontractors make no warranty, express or implied, and assume no legal liability for the information in this report; nor does any party represent that the use of this information will not infringe upon privately owned rights."

8. **CONTRACT DATA, OWNERSHIP RIGHTS**

- A. "Data" as used in this Agreement means recorded information, regardless of form or characteristic, of a scientific or technical nature. It may, for example, document research or experimental, developmental or engineering work, or be usable or be used to define a design or process, or to support a premise or conclusion asserted in any deliverable document required by this Agreement. The data may be graphic or pictorial delineations in media, such as drawings or photographs, data or information, etc. It may be in machine form, such as punched cards, magnetic tape or computer printouts, or may be retained in computer memory.
- B. "Deliverable data" is that data which, under the terms of this Agreement, is required to be delivered to the Energy Commission and shall belong to the Energy Commission.
- C. "Proprietary data" is such data as the Contractor has identified in a satisfactory manner as being under Contractor's control prior to commencement of performance of this Agreement, and which Contractor has reasonably demonstrated as being of a proprietary nature either by reason of copyright, patent or trade secret doctrines in full force and effect at the time when performance of this Agreement is commenced. The title to "proprietary data" shall remain with the Contractor throughout the term of this Agreement and thereafter. The extent of the Energy Commission access to and the testimony available regarding, the proprietary data shall be limited to that reasonably necessary to demonstrate, in a scientific manner to the satisfaction of scientific

persons, the validity of any premise, postulate or conclusion referred to or expressed in any deliverable for this Agreement.

- D. "Generated data" is that data, which a Contractor has collected, collated, recorded, deduced, read out or postulated for utilization in the performance of this Agreement. Any electronic data processing program, model or software system developed or substantially modified by the Contractor in the performance of this Agreement at the Energy Commission's expense, together with complete documentation thereof, shall be treated in the same manner as "generated data." "Generated data" shall be the property of the Energy Commission, unless and only to the extent that it is specifically provided otherwise in this Agreement.
- E. As to "generated data" which is reserved to Contractor by the express terms hereof, and as to any pre-existing or "proprietary data" which has been utilized to support any premise, postulate or conclusion referred to or expressed in any deliverable hereunder, Contractor shall preserve the same in a form which may be introduced as evidence in a court of law at Contractor's own expense for a period of not less than three years after receipt by the Energy Commission of the Final Report herein.
- F. Before the expiration of the three years and before changing the form of or destroying any data, Contractor shall notify the Energy Commission of any contemplated action and the Energy Commission may, within thirty (30) days after notification, determine whether it desires the data to be preserved. If the Energy Commission so elects, the expense of further preserving data shall be paid for by the Energy Commission. Contractor agrees that the Energy Commission may at its own expense, have reasonable access to data throughout the time during which data is preserved. Contractor agrees to use its best efforts to furnish competent witnesses or to identify competent witnesses to testify in any court of law regarding data.

9. **PUBLIC HEARINGS**

If public hearings on the scope of work are held during the period of the Agreement, Contractor will make available to testify the personnel assigned to this Agreement. The Energy Commission will reimburse Contractor for compensation and travel of the personnel at the Agreement rates for the testimony which the Energy Commission requests.

10. **DISPUTES**

In the event of an Agreement dispute or grievance between Contractor and the Energy Commission, both parties may follow the procedure detailed below. Contractor shall continue with the responsibilities under this Agreement during any dispute.

A. First Level Dispute Resolution

The Contractor shall first discuss the problem informally with the CAM. If the problem cannot be resolved at this stage, the Contractor must direct the grievance together with any evidence, in writing, to the CAO. The grievance must state the issues in the dispute, the legal authority or other basis for the Contractor's position and the remedy sought. The CAO and the Program Office Manager must make a determination on the problem within ten (10) working days after receipt of the written communication from the Contractor. The CAO shall respond in writing to the Contractor, indicating a decision and explanation for the decision. Should the Contractor disagree with the CAO's decision, the Contractor may appeal to the second level.

B. Second Level Dispute Resolution

The Contractor must prepare a letter indicating why CAO's decision is unacceptable, attaching to it the Contractor's original statement of the dispute with supporting documents, along with a copy of the CAO's response. This letter shall be sent to the Energy Commission's Executive Director within ten (10) working days from receipt of the CAO's decision. The Executive Director or designee shall meet with the Contractor to review the issues raised. A written decision signed by the Executive Director or designee shall be returned to the Contractor within twenty (20) working days of receipt of the Contractor's letter. The Executive Director may inform the Energy Commission of the decision at an Energy Commission business meeting. Should the Contractor disagree with the Executive Director's decision, the Contractor may appeal to the Energy Commission at a regularly scheduled business meeting. Contractor will be provided with the current procedures for placing the appeal on an Energy Commission Business Meeting Agenda.

11. **TERMINATION**

The parties agree that because the Energy Commission is a state entity it is necessary for the Energy Commission to be able to terminate, at once, upon the default of Contractors and to proceed with the work required under the Agreement in any manner the Energy Commission deems proper. Contractor specifically acknowledges that the unilateral termination of the Agreement by the Energy Commission under the terms set forth below is an essential term of the Agreement, without which the Energy Commission would not enter into the Agreement. Contractor further agrees that upon any of the events triggering the unilateral termination of the Agreement by the Energy Commission, the Energy Commission has the sole right to terminate the Agreement, and it would constitute bad faith of the Contractor to interfere with the immediate termination of the Agreement by the Energy Commission.

This Agreement may be terminated for any reason set forth below.

A. With Cause

In the event of any breach by the Contractor of the conditions set forth in this Agreement, the Energy Commission may, without prejudice to any of its legal remedies, terminate this Agreement for cause upon five (5) days written notice to the Contractor. In such event, the Energy Commission shall pay Contractor only the reasonable value of the services theretofore rendered by Contractor, as may be agreed upon by the parties or determined by a court of law, but not in excess of the Agreement maximum payable. "Cause" includes without limitation:

- 1) Failure to perform or breach of any of the terms or covenants at the time and in the manner provided in this Agreement; or
- 2) Contractor is not able to pay its debts as they become due and/or Contractor is in default of an obligation that impacts his ability to perform under this Agreement; or
- 3) It is determined after notice and hearing by the Energy Commission or the Executive Director that gratuities were offered or given by the Contractor or any agent or representative of the Contractor, to any officer or employee of the Energy Commission, with a view toward securing an Agreement or securing favorable treatment with respect to awarding or amending or making a determination with respect to performance of the Agreement; or

- 4) Significant change in Energy Commission policy such that the work or product being funded would not be supported by the Energy Commission; or
- 5) Reorganization to a business entity unsatisfactory to the Energy Commission; or
- 6) The retention or hiring of subcontractors, or the replacement or addition of personnel that fail to perform to the standards and requirements of this Agreement.

B. Without Cause

The Energy Commission may, at its option, terminate this Agreement without cause in whole or in part, upon giving thirty (30) days advance notice in writing to the Contractor. In such event, the Contractor agrees to use all reasonable efforts to mitigate the Contractor's expenses and obligations hereunder. Also, in such event, the Energy Commission shall pay the Contractor for all satisfactory services rendered and expenses incurred within 30 days after notice of termination which could not by reasonable efforts of the Contractor have been avoided, but not in excess of the maximum payable under this Agreement.

12. **WAIVER**

No waiver of any breach of this Agreement shall be held to be a waiver of any other or subsequent breach. All remedies afforded in this Agreement shall be taken and construed as cumulative, that is, in addition to every other remedy provided therein or by law. The failure of the Energy Commission to enforce at any time any of the provisions of this Agreement, or to require at any time performance by Contractor of any of the provisions, shall in no way be construed to be a waiver of those provisions, nor in any way affect the validity of this Agreement or any part of it or the right of the Energy Commission to thereafter enforce each and every such provision.

13. **CAPTIONS**

The clause headings appearing in this Agreement have been inserted for the purpose of convenience and ready reference and do not define, limit, or extend the scope or intent of the clauses.

14. **PRIOR DEALINGS, CUSTOM OR TRADE USAGE**

In no event shall any prior course of dealing, custom or trade usage modify, alter, or supplement any of these terms.

15. **NOTICE**

Legal notice must be given using any of the following delivery methods: U.S. Mail, overnight mail, or personal delivery, providing evidence of receipt to the person identified in Exhibit F of this Agreement for legal notices. Delivery by fax or e-mail is not considered legal notice for the purpose of this clause. This clause is not intended to apply to normal, daily communication between the parties related to progress of the work. This clause applies to situations where notice is required to be given by this Agreement or the parties are asserting their legal rights and remedies.

Notice shall be effective when received, unless a legal holiday for the State commences on the date of the attempted delivery. In which case, the effective date shall be postponed until the next business day.

16. **STOP WORK**

The CAO may, at any time, by written notice to Contractor, require Contractor to stop all or any part of the work tasks in this Agreement. Stop Work Orders may be issued for reasons such as a project exceeding budget, standard of performance, out of scope work, delay in project schedule, misrepresentations and the like.

- A. Compliance. Upon receipt of such stop work order, Contractor shall immediately take all necessary steps to comply therewith and to minimize the incurrence of costs allocable to work stopped.
- B. Equitable Adjustment. An equitable adjustment shall be made by the Energy Commission based upon a written request by Contractor for an equitable adjustment. Such adjustment request must be made by Contractor within thirty (30) days from the date of receipt of the stop work notice.
- C. Revoking a Stop Work Order. Contractor shall resume the stopped work only upon receipt of written instructions from the CAO canceling the stop work order.

17. **INTERPRETATION OF TERMS**

This Agreement shall be conducted in accordance with the terms and conditions of the solicitation, if applicable. The Contractor's proposal is not attached, but is expressly incorporated by reference into this Agreement. In the event of conflict or inconsistency between the terms of this Agreement and the solicitation or proposal, this Agreement shall be considered controlling.

18. **AMENDMENTS**

This Agreement may be amended through a formal amendment process to make changes, including without limitation;

- Increases in total Agreement amount,
- Extending the Agreement end date,
- Modifying tasks,
- Adding or modifying terms and conditions.

Amendments may be made without competitively bidding, so long as the amendment is exempt from competitive bidding pursuant to Public Contract Code section 10335, Government Code section 11010.5 and the State Contract Manual.

19. **DISCRIMINATION and HARASSMENT TRAINING**

All employees of Contractor and any subcontractor who provide service under this Agreement and maintain work space at the Energy Commission shall take annual training on the prevention of discrimination and harassment. The Energy Commission shall provide the online training course at no charge to Contractor or subcontractors. However, Contractor and subcontractors shall not invoice for the time spent taking the course. Contractor shall ensure that all employees of Contractor and any subcontractor who provide service under this Agreement and represent the Energy Commission in public hearings and workshops, but do not maintain office space at the Energy Commission, receive training on prevention of discrimination and harassment.

20. **CONFIDENTIAL INFORMATION**

If the Energy Commission provides confidential information to a Contractor (or Contractor receives confidential information on the Energy Commission's behalf in

furtherance of the work under this Agreement) that includes, without limitation, information that is designated as confidential pursuant to Title 20 CCR Sections 2505 et seq. (collectively "Confidential Information"); and that is identified as confidential by the Energy Commission, the Contractor shall follow the requirements number (1) – (7) below:

- 1) Information Security Program. Before the Contractor or Subcontractor is provided or receives access to Confidential Information, the Energy Commission's Information Security Officer must review and provide written approval of Contractor's/Subcontractor's Information Security Program. Contractor shall provide to the Energy Commission a copy of Contractor's/Subcontractor's Information Security Program Plan, which must meet or exceed the minimum requirements as stated in the California State Administrative Manual Chapter 5300, Information Security. <https://www.dgs.ca.gov/Resources/SAM>. The Information Security Program Plan can be represented in a single document or a compilation of documents. Contractor shall implement and maintain appropriate procedural safeguards to secure Confidential Information from breach and unauthorized use, for the term of this Agreement. Contractor shall assume responsibility for the security and confidentiality of the Confidential Information under its control.
- 2) Non-Disclosure Agreement. Contractor shall ensure that individuals employed by Contractor or a Subcontractor sign a non-disclosure agreement provided by the Energy Commission before Confidential Information is provided to the individual. The employee must agree to maintain the security of Confidential Information, use Confidential Information only for the scope of the individual's work, and provide notification of any potential loss of Confidential Information.
- 3) Notification and Handling. Contractor, Subcontractor, and any individuals who receive Confidential Information shall properly handle and secure Confidential Information from unauthorized use or disclosure. Contractor shall ensure that each of its officers, employees, and Subcontractors who are involved in the performance of this Agreement are informed about the provisions in this paragraph and will abide by them.
- 4) Security Breach or Unauthorized Disclosure. If Contractor discovers unauthorized release or use of Confidential Information or a security breach, Contractor shall immediately notify the Energy Commission. Contractor shall cooperate with all investigations of the incident, providing the Energy Commission with regular updates on investigation and allow the Energy Commission to participate in all investigations, until the incident is resolved to the Energy Commission's satisfaction. Contractor shall take steps to mitigate further loss and recover Confidential Information. Contractor shall be responsible for costs incurred due to a security incident or breach.
- 5) End of Agreement. When the Agreement ends, or sooner if Contractor's work with the Confidential Information has concluded, Contractor shall destroy the Confidential Information. Contractor shall provide attestation to the Energy Commission that the Confidential Information has been destroyed, including the date and method of destruction.
- 6) Training. Contractor shall ensure that all individuals employed by Contractor or a Subcontractor who will have access to Confidential Information take annual security awareness training.

7) Survival. The provisions of this paragraph survive the end term of the Agreement.

NOTE: THE CONFIDENTIAL INFORMATION PROVISION ABOVE IS SAMPLE LANGUAGE THAT MAY BE MODIFIED. THE FINAL VERSION OF THE PROVISION WILL BE PROVIDED FOR THE FINAL EXECUTED CONTRACT.

EXHIBIT E

Additional Provisions

1. **CONFIDENTIALITY**

A. Information Considered Confidential

If applicable, all Contractor information considered confidential at the commencement of this Agreement is designated in the Attachment to this Exhibit.

B. Confidential Deliverables: Labeling and Submitting Confidential Information

Prior to the commencement of this Agreement, if applicable, the parties have identified in the Attachment to this Exhibit, specific Confidential Information to be provided as a deliverable. All such confidential deliverables shall be marked, by the Contractor, as "Confidential" on each page of the document containing the Confidential Information and presented in a sealed package to the Commission Agreement Officer. (Non-confidential deliverables are submitted to the Accounting Office.) All Confidential Information will be contained in the "confidential" volume: no Confidential Information will be in the "public" volume.

C. Submittal of Unanticipated Confidential Information as a Deliverable

The Contractor and the Energy Commission agree that during this Agreement, it is possible that the Contractor may develop additional data or information not originally anticipated as a confidential deliverable. In this case, Contractor shall follow the procedures for a request for designation of Confidential Information specified in 20 CCR 2505. The Energy Commission's Executive Director makes the determination of confidentiality. Such subsequent determinations may be added to the list of confidential deliverables in the Attachment to this Exhibit.

D. Disclosure of Confidential Information

Disclosure of Confidential Information by the Energy Commission may only be made pursuant to 20 CCR 2506 and 2507. All confidential data, records or deliverables that are legally disclosed by the Contractor or any other entity become public records and are no longer subject to the above confidentiality designation.

2. **INCORPORATION OF PROPOSAL and AGREEMENT INTERPRETATION:**

This project shall be conducted in accordance with the Request for Proposals, number RFP-21-801, titled, Technical Support to SB 100 Modeling, Contractor's Proposal/Bid dated, and this Agreement. The Contractor's Proposal is not attached, but is expressly incorporated by reference into this Agreement. In the event of conflict or inconsistency between the terms of this Agreement and the Contractor's Proposal, this Agreement shall be considered controlling.

3. **RIGHTS OF PARTIES IN COPYRIGHTS, PHYSICAL WORKS OF ART AND FINE ART**

The Contractor; by signing this Agreement, expressly grants to the Energy Commission for all copyrightable material, work of art and original work of authorship first produced, composed or authored in the performance of this Agreement a royalty-free, paid-up, non-exclusive, irrevocable, nontransferable, worldwide license to produce, translate, publish, use, dispose of, reproduce, prepare derivative works based on, distribute copies of, publicly perform, or publicly display a work of art or fine art, and to authorize others to produce, translate, publish, use, dispose of, reproduce, prepare derivative works based on, distribute copies of, publicly perform, or publicly display a work of art or fine art.

Contractor, by signing this Agreement, expressly conveys to the Energy Commission all ownership of the physical works of art and fine art produced under this Agreement. Contractor agrees it does not reserve any rights to the physical works of art and fine art produced under this Agreement.

Contractor shall obtain these same rights for the Energy Commission from all subcontractors and others who produce copyrightable material, works of art, or works of fine art under this Agreement. Contractor shall incorporate these paragraphs, modified appropriately, into its agreements with subcontractors. No subcontract shall be entered into without these rights being assured to the Energy Commission from the subcontractor.

4. **CONFLICT OF INTEREST**

A. Contractor agrees to continuously review new and upcoming projects in which members of the Contractor team may be involved for potential conflicts of interest. Contractor shall inform the CAM as soon as a question arises about whether a potential conflict may exist. The CAM and Commission's Chief Counsel's Office shall determine what constitutes a potential conflict of interest. The Energy Commission reserves the right to redirect work and funding on a project if the Commission's Chief Counsel's Office determines that there is a potential conflict of interest.

B. If any individual working under this Agreement is a consultant subject to the requirements and restrictions of the Political Reform Act (Government Code, sections 81000 et seq.), the Contractor shall submit an economic interest statement (Fair Political Practices Commission's Form 700) from each employee or subcontractor whom is a consultant as required by the Political Reform Act. Consultants must report all financial interests required under Category 1 of the Energy Commission's Conflict of Interest Code (Title 20, California Code of Regulations, sections 2401 and 2402.)

The Form 700 shall be filed in person at, or mailed to, the following address (e-mails and faxes are not acceptable):

Energy Commission Filing Officer – Form 700 Filing
Selection & Equal Employment Opportunity Office
715 P St., MS 52
Sacramento, CA 95814

C. No person, firm, or subsidiary thereof who has been awarded a consulting services Agreement may submit a bid for, nor be awarded an Agreement for, the provision of services, procurement of goods or supplies, or any other related action which is required, suggested, or otherwise deemed appropriate in the end product of the consulting services Agreement. This does not apply to any person, firm, or subsidiary thereof who is awarded a subcontract of a consulting services Agreement which amounts to no more than 10 percent of the total monetary value of the consulting services Agreement.

D. Follow-on Agreements

No person, firm, or subsidiary thereof who has been awarded a consulting services Agreement, or an Agreement which includes a consulting component, may be awarded an Agreement for the provision of services, delivery of goods or supplies, or any other related action which is required, suggested, or otherwise deemed appropriate as an end product of the consulting services Agreement. Therefore, any consultant that contracts with a state agency to develop a feasibility study or provide formal recommendations for the acquisition of EDP products or services is precluded from contracting for any work recommended in the feasibility study or the formal recommendation.

E. Bidding Activities:

1) Contractor and each subcontractor shall agree not to bid as an independent consultant on any of the following:

- a) An RFP or project on which Contractor or any subcontractor has provided assistance under this Agreement.
- b) Every related RFP or subject that currently receives assistance or receives assistance during this Agreement under SB 100 or intends to apply for such assistance under any of the above programs and makes that fact known to Contractor or Contractor team members.

2) Reviewing, Evaluation & Assistance Activities

Contractor and each team member shall be disqualified from participating in the review, evaluation, or assistance of:

- a) Any project seeking assistance under the programs listed above for which Contractor has become an independent consultant in a situation not covered by clause D.1; or,
- b) Any project for which, within twelve (12) months prior to the start date of this Agreement or at any time during this Agreement, it has provided assistance under a separate Agreement to the project proponent that is seeking assistance for the same project under any of the above programs.

3) Subcontractors

Contractor shall require each of its subcontractors at any level who will be involved in the performance of this Agreement to agree to the above terms in a form to be approved by the CAM, and shall furnish the Energy Commission with evidence thereof. The terms of this paragraph shall remain in effect for the duration of this Agreement.

EXHIBIT E

Confidential Deliverables and Pre-existing Intellectual Property Lists

PART I: CONFIDENTIAL DELIVERABLES

Pursuant to 20 California Code of Regulations section 2505(c)(2)(B), the Energy Commission designates the following as confidential.

No Confidential Deliverables,

OR

Confidential Deliverables:

Description of Information to be Kept Confidential: <ul style="list-style-type: none">• Title of document/name of deliverable• Task Number• Portion of document to be kept confidential• General description of the technology to be kept confidential.	Legal Basis for Confidential Designation: <ul style="list-style-type: none">• Trade Secret<ul style="list-style-type: none">--Technical--Business--Marketing--Economic/Financial• Patent application number	Term of Confidentiality

EXHIBIT E

Confidential Deliverables and Pre-existing Intellectual Property Lists

PART II: PRE-EXISTING INTELLECTUAL PROPERTY

Contractor has identified the following intellectual property as pre-existing the effective date of this Agreement and is required for performance of this Agreement but is not a deliverable.

No Pre-existing Intellectual Property

OR

Pre-existing Intellectual Property (Please insert "none" in the types that do not apply):

Patents Issued

Title	Patent Number	Inventors/ Assignee (Owner)	File Date	Issue/ Grant Date	Country	Description

Patent Applications

Title	File Date	Public Description (2-3 sentences)

Trade Secrets

Title	Public Description (2-3 sentences)

EXHIBIT E

Confidential Deliverables and Pre-existing Intellectual Property Lists

Copyrights

Title	Copyright Number	Owner	File Date	Issue/Grant Date	Country	Description

Trademarks

Title	Trademark Number	Owner	File Date	Issue/Grant Date	Country	Description

Disclosure Memos

Title	Disclosure Date	Memo Number, if applicable	Public Description (2-3 sentences)

Invention Berkley (DOE National Labs Only)

Title	Number	Date

EXHIBIT F Agreement Contacts

<p>Commission Agreement Manager:</p> <p>(Name) California Energy Commission 715 P Street, MS-XX Sacramento, CA 95814 Phone (916) XXX-XXXX e-mail: _____@energy.ca.gov</p>	<p>Contractor Project Manager:</p> <p>(Name) (Contractor Name) Address Phone: Fax: e-mail:</p>
<p>Confidential Deliverables/Products</p> <p>California Energy Commission Contracts, Grants and Loans Office 715 P Street, MS-18 Sacramento, CA 95814</p>	<p>Contractor Contract Administrator/Officer:</p> <p>(Name) (Contractor Name) Address Phone: Fax: e-mail:</p>
<p>Invoices, Progress Reports and Non-Confidential Deliverables to:</p> <p>California Energy Commission Accounting Office 715 P Street, MS-2 Sacramento, CA 95814</p>	<p>Remittance for Payment:</p> <p>(Name) (Contractor Name) Address Phone: Fax: e-mail:</p>
<p>Commission Legal Notices:</p> <p>Adrienne Winuk, Manager California Energy Commission Contracts, Grants and Loans Office 1516 Ninth Street Sacramento, CA 95814 Phone: (916) 891-8629 e-mail: adrienne.winuk@energy.ca.gov</p>	<p>(contractor legal person)</p>

EXHIBIT G
INFORMATION PRACTICES ACT
SPECIAL TERMS AND CONDITIONS

1. Priority of these Special Terms

In the event of a conflict between these Special Terms and other terms in this Agreement, these Special Terms shall govern.

2. Recipient and All Subcontractors shall comply with the Information Practices Act

The Information Practices Act (“IPA”) is codified at California Civil Code sections 1798 et seq. Personal Information is defined in the IPA at Civil Code section 1798.3(a). **<Insert Recipient Name>** (“Recipient”), shall comply and ensure that all of its subcontractors and project partners shall comply with the IPA relative to the activities under this Agreement. This includes but is not limited to complying with Section 1798.16 (Personal Information; maintaining sources of information) and Section 1798.17 (Notice; periodic provision; contents). For example:

- A. Sources of information. Recipient, and Recipient’s subcontractors and project partners, shall maintain a record of the source of an individual’s Personal Information in accordance with § 1798.16. Per IPA § 1798.16, this requirement does not apply if the data subject is the source of the Personal Information.
- B. Use of information. Pursuant to IPA § 1798.14, the Recipient, and Recipient’s subcontractors and project partners shall only use Personal Information for the purposes of this Agreement. Recipient, and Recipient’s subcontractors and project partners shall not disclose any Personal Information to any person or entity other than the Energy Commission and Energy Commission employees.
- C. Security. Pursuant to IPA § 1798.21, Recipient, and Recipient’s subcontractors and project partners, shall employ appropriate and reasonable safeguards to ensure the security and confidentiality of Personal Information and to protect against anticipated threats or hazards to their security or integrity which could result in any injury.
- D. Notice. On or with any form used to collect Personal Information from individuals, the Recipient, and Recipient’s subcontractors and project partners, shall provide the notice required in § 1798.17. At the time of executing this agreement, § 1798.17 requires the following:
 - (a) The name of the agency and the division within the agency that is requesting the information.
 - (b) The title, business address, and telephone number of the agency official who is responsible for the system of records and who shall, upon request, inform an individual regarding the location of his or her records and the categories of any persons who use the information in those records.
 - (c) The authority, whether granted by statute, regulation, or executive order which authorizes the maintenance of the information.
 - (d) With respect to each item of information, whether submission of such information is mandatory or voluntary.
 - (e) The consequences, if any, of not providing all or any part of the requested information.

(f) The principal purpose or purposes within the agency for which the information is to be used.

(g) Any known or foreseeable disclosures which may be made of the information pursuant to subdivision (e) or (f) of Section 1798.24.

(h) The individual's right of access to records containing personal information which are maintained by the agency.

3. Recipient has no Ownership or other Rights to the Personal Information

The Recipient has, and the Recipient shall ensure that its subcontractors and project partners have, no ownership, license, or other rights in Personal Information or in any form in which it is used (e.g., Products). In this regard, the Personal Information shall NOT be treated like Data, Products, Intellectual Property, or other provisions in the Agreement that may indicate that Recipient has ownership, license, or other rights.

4. Rights to Anonymized Information Derived from Personal Information

To the extent that the Recipient uses Personal Information to derive anonymized information that no longer meets the definition of Personal Information, the rights to derived anonymized information follow the rights in Exhibit C. For example, if the Recipient uses Personal Information to derive anonymized figures that are included in a Product, and the Product contains no Personal Information, the rights to the Product flow from Exhibit C, Section 5, like they do for all other Products.

5. Retention and Destruction of Personal Information

Upon the request of the Energy Commission, or upon termination of this Agreement, whichever is earlier, the Recipient and all subcontractors and project partners shall promptly deliver to the Energy Commission or destroy all Personal Information, regardless of form (e.g., written or electronic) and all copies, abstracts, media, and backups thereof, however stored in Recipient's and all of its subcontractors' and project partners' possession. No Personal Information shall remain with Recipient, its subcontractors, or its project partners upon request of the Energy Commission or after the termination of this Agreement, whichever occurs first.

6. Survival

The terms of this Exhibit shall remain in full force and effect in perpetuity.

7. Flow-down

The Recipient shall flow-down the terms in this Exhibit to its subcontractors and project partners.