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**CALIFORNIA ALTERNATIVE ENERGY
AND ADVANCED TRANSPORTATION
FINANCING AUTHORITY (CAEATFA)**

**REQUEST FOR PROPOSAL-Secondary
CONTRACT NO. CAEATFA02-21
Universal Contractor Management Services for the
California Hub for Energy Efficiency Financing Programs**

Notice to Prospective Proposers

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Derek Chernow

February 18, 2022

You are invited to review and respond to this Request for Proposal (“RFP”) Number CAEATFA02-21. The California Alternative Energy and Advanced Transportation Financing Authority (“CAEATFA” or the “Authority”), a public instrumentality of the State of California, seeks to retain a qualified firm (“Provider”) to provide assistance to the Authority in the implementation of two Programs under the California Hub for Energy Efficiency Financing (“CHEEF”) designed to provide attractive financing for energy efficiency upgrades in the single-family residential and small business markets. More specifically, the Provider will provide services related to energy efficiency contractor engagement with the Programs including initial recruitment, enrollment and training; engagement and support; strategic partnerships; compliance and verification; and data management and reporting. Interested parties are invited to submit proposals in response to this RFP.

Proposals for these services must comply with the instructions included in the RFP. The RFP includes the Sample Standard Agreement the selected firm will be expected to execute. The agreement that will be entered into with the State of California (“State”) will include by reference the General Terms and Conditions and Contractor Certification Clauses which may be viewed and downloaded online at:

<https://www.dgs.ca.gov/OLS/Resources/Page-Content/Office-of-Legal-Services-Resources-List-Folder/Standard-Contract-Language>

The General Terms and Conditions and all Exhibits that are a part of the Sample Standard Agreement are not negotiable. By submitting a proposal, your firm agrees to the terms and conditions stated in this RFP.

In the opinion of CAEATFA, this RFP is complete and without need of explanation. However, if you have questions, or should you need any clarifying information, the contact person for this RFP is:

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Questions regarding this RFP must be submitted in writing no later than March 9, 2022 at 12:00 p.m. (noon) PT. Responses to the questions will subsequently be posted within several days on the Department of General Services (“DGS”) website and the CAEATFA website.

Please note that no verbal information provided will be binding upon the State unless such information is issued in writing as an official addendum.

Table of Contents – RFP CAEATFA02-21

A. PURPOSE AND DESCRIPTION OF PROGRAMS.....	1
1. Introduction	1
2. CAEATFA Background and Overview	1
3. Energy Efficiency Financing Programs Background and Overview	1
4. Scope of Work.....	7
5. Term of Agreement	11
B. MINIMUM QUALIFICATIONS FOR PROPOSERS.....	11
C. PROPOSAL REQUIREMENTS AND INFORMATION.....	13
1. Key Action Dates.....	13
2. Content and Format of Proposals	13
3. Submission of Proposals.....	15
4. Evaluation Process	17
5. Award and Protest.....	19
6. Disposition of Proposals.....	19
7. Agreement Execution and Performance	20
D. PREFERENCE AND INCENTIVE PROGRAMS.....	20
1. Small Business or Microbusiness Preference	20
2. Non-Small Business Preference	20
3. Disabled Veteran Business Enterprise (DVBE) Incentive Program – OPTIONAL	21
4. Target Area Contract Preference Act (TACPA).....	21
E. REQUIRED ATTACHMENTS.....	21
Attachment 1 – Required Attachment Check List	
Attachment 2 – Proposal/Proposer Certification Sheet	
Attachment 3 – Key Personnel and Experience	
Attachment 4 – Proposer References	
Attachment 5a – Cost Proposal Rate Worksheet	
Attachment 5b – Sample Scenario Worksheet	
Attachment 6 – Payee Data Record (STD 204)	
Attachment 7 – Contractor Certification Clauses (CCC-04/2017)	
Attachment 8 – Darfur Contract Act Compliance Certification	
Attachment 9 – California Civil Rights Laws Certification	
Attachment 10 – Iran Contracting Act Certification	
Attachment 11 – Small Business or Microbusiness Preference (if applicable)	
Attachment 12 – Non-Small Business Preference (if applicable)	
Attachment 13 – Disabled Veteran Business Enterprise (DVBE) Participation Goal Program Instructions (if applicable)	
Attachment 14 – Target Area Contract Preference Act (TACPA) (if applicable)	
Attachment 15 – Bidder Declaration (GSPD 05-105)	
F. SAMPLE STANDARD AGREEMENT (STD 213)	
Exhibit A – Scope of Work	
Exhibit B – Budget Detail and Payment Provisions	
Exhibit C – General Terms and Conditions	
Exhibit D – Special Terms and Conditions	
Exhibit D, Attachment 1 – Key Personnel Resumes	
Exhibit E – Additional Provisions	
Exhibit F – Third-Party Agreement Provisions	
Exhibit F, Attachment 1 – Information Security Requirements	

A. PURPOSE AND DESCRIPTION OF PROGRAMS

1. Introduction

The California Alternative Energy and Advanced Transportation Financing Authority (“CAEATFA” or the “Authority”) seeks proposals from which to select a qualified firm (“Provider”) to enter into an agreement (“Agreement” or “Contract”) to provide assistance to the Authority with development and ongoing support for tasks related to the implementation of CAEATFA’s energy financing programs under the California Hub for Energy Efficiency Financing (CHEEF), including the GoGreen Home Energy Financing Program (GoGreen Home) and the GoGreen Business Energy Financing Program (GoGreen Business) (collectively, the “Programs”). Tasks addressed by this RFP include contractor recruitment, enrollment, and training; enrolled contractor engagement and support; strategic partnership development and engagement; compliance and verification; data management, insights and reporting; and program design assistance/task orders. The services provided will vary between the Programs based on program uptake and needs.

The selection of the qualified firm (“Provider”) will be based not only on the proposed fees, but also on assurances that the selected firm will be technically and professionally capable of providing a reasonable level of competent and responsive service to CAEATFA in all subject areas described in the Scope of Work. Proposals should clearly specify how the firm meets each of the Minimum Qualifications for Proposers (Section B). The firm must be free from actual conflicts of interest not only at the time of selection, but also throughout the term of the Contract.

All proposals submitted to perform these services must explain the experience and qualifications of the firm which demonstrate the firm’s ability to provide these services. Failure to provide all of the requested information, or deviation from the required format, may result in disqualification. CAEATFA reserves the right to reject any or all proposals.

CAEATFA anticipates entering into a three-year Contract of \$1.8 million with the allowance for two (2) optional one-year extensions up to \$500,000 each. **The total Contract amount may not exceed \$2.8 million over the entire term of the agreement including all optional extensions.**

2. CAEATFA Background and Overview

CAEATFA works collaboratively with public and private partners to provide innovative and effective financing solutions for California’s industries, including access to low-cost financing through private activity tax-exempt bonds and loans, and other forms of financial assistance. CAEATFA assists in reducing the state’s greenhouse gas emissions by increasing the development and deployment of renewable energy sources, energy efficiency, and advanced transportation and manufacturing technologies to reduce air pollution, conserve energy, and promote economic development and jobs. CAEATFA is housed within the office of the State Treasurer.

CAEATFA’s Board consists of five members: the State Treasurer, who serves as Chair of the Authority; the State Controller; the Director of the Department of Finance; the Chair of the California Energy Commission (“CEC”); and the President of the California Public Utilities Commission (“CPUC”). CAEATFA’s enabling legislation is contained in the California Alternative Energy and Advanced Transportation Financing Authority Act (Division 16 (commencing with Section 26000) of the Public Resources Code).

3. Energy Efficiency Financing Programs Background and Overview

CHEEF History and Goals

The California Hub for Energy Efficiency Financing (CHEEF) was first authorized by the California Public Utilities Commission in Decision (D.)13-09-044 (September 2013), and later modified by D.15-06-008, D.15-12-002, D.17-03-026 and D.21-08-006. The CHEEF was established to help the state reach its aggressive energy efficiency goals for the existing building sector. The CHEEF focuses on

attracting and leveraging private capital to be made available for customer investments in energy efficiency, given that we cannot meet the State's energy efficiency goals using traditional approaches of Investor-Owned Utility (IOU) rebates and incentives, or on ratepayer or taxpayer dollars alone.

The Programs are subject to CPUC-directed reporting and evaluations which look at many metrics, including the amount of private capital leveraged, realized energy savings, cost-effectiveness and percentage of administrative cost versus capital deployed, and increased access to financing for underserved customers.

The Programs utilize a credit enhancement (a financing mechanism that reduces risk for participating lenders.) In exchange for the credit enhancement, participating finance companies are able to offer lower interest rates, longer payback terms, and broader approval criteria (e.g., lower minimum credit scores) than their standard products. For contractors, this presents a significantly more attractive option to recommend to customers who may need financing to complete their energy upgrade.

The CPUC also authorized On-Bill Repayment (OBR) for financing in the Commercial and Multifamily sectors, such that customers can repay financing charges to private finance companies via their utility bills. CAEATFA has been working toward the launch of OBR for GoGreen Business, which is expected by Spring 2022.

Recent Updates and Context

In August 2021, through D.21-08-006, the CPUC authorized CAEATFA to administer the CHEEF through fiscal year 2026-27 and authorized up to an additional \$75 million in funding for the 5-year period. In October 2021, the CPUC approved a budget submitted by CAEATFA and the IOUs that included \$31 million in operational spending (including statewide marketing) and \$44 million in credit enhancements to be used to leverage private capital over the 5 years. The CPUC expects that with this authorization, the Programs will scale significantly and that energy savings will be delivered in an increasingly cost-effective manner.

A challenge in administering the Programs has been the complexity of financing for customers who are served by an IOU for gas and a Publicly-Owned Utility (POU) for electric, as is the case for millions of Californians (e.g. in Sacramento, which is served by SMUD and PG&E). Under previous restrictions, the Programs could not credit enhance electric measures for those customers, which caused a complex web of eligibility variances between utility jurisdictions and for contractors who often work between them. In light of this issue, D.21-08-006 also gave CAEATFA the authority to expand the CHEEF to non-IOU customers (and to expand access to financing of electric measures for customers who are served by a gas IOU and electric POU), provided that CAEATFA could find non-IOU ratepayer sources of funding to support it. CAEATFA has recently executed an MOA with the administrator of a statewide initiative that will provide funding to support comprehensive projects for joint IOU/POU customers, which will facilitate more uniform program eligibility across the state and accelerate the deployment of decarbonization measures. CAEATFA is continuing to explore other sources of funding that will expand customer and measure eligibility. The Contractor Manager will promote these changes to contractors and provide education on statewide eligibility and decarbonization as described in the Scope of Work.

The credit enhancement facilitated through the Programs is also currently restricted to energy efficiency measures, which presents a barrier to financing comprehensive energy projects. During this contract period, CAEATFA hopes to secure CPUC approval to expand the measures that may be credit enhanced through the Programs to include other clean energy technologies, such as on-site generation, battery storage, and EV charging. If approved, this expansion will require CAEATFA to make modifications to Program regulations and would likely involve securing new funding sources. As described in the Scope of Work, the Contractor Manager would play a key role in rolling out this technology expansion to contractors.

Program Status and Plans

CAEATFA currently administers three energy efficiency financing Programs under the CHEEF:

- **GoGreen Home Energy Financing (GoGreen Home)**, formerly known as the Residential Energy Efficiency Loan Assistance Program or REEL: GoGreen Home launched in 2016 and serves residential properties. The Program currently has nine participating lenders (eight of which

are credit unions) and over 550 enrolled contractors, 189 of which enrolled a project in 2021. As of the end of 2021, just over 1,700 projects worth more than \$28.9 million have been financed through the Program. There is expectation from the CPUC that GoGreen Home will scale significantly over the next 5 years. To facilitate this scaling, CAEATFA is working toward:

- Licensing of a “Loan & Project Management System” (LPMS), an online workflow tool that will help with project eligibility screening and web-based data submission for credit unions (see page 5 for more information). These changes will help with recruitment of additional credit union and regional bank lenders as well as improve processes for contractors by making required project data easier to submit and easing communication with lenders for credit approvals.
 - “Batch enrollment” of loans and eventual API integrations for lenders with more IT capacity and those operating at a higher volume. This will facilitate recruitment of specialty lenders and those that offer indirect lending through contractor networks.
 - Uniform, statewide eligibility for projects through seeking and incorporating non-IOU ratepayer funding, which will reduce measure eligibility complexity and support contractor uptake of the Program.
 - CPUC approval to expand what measures qualify for a credit enhancement, to include on-site generation, storage and/or EV charging, which would allow customers to do comprehensive projects with a single loan or financing agreement.
 - In Fiscal Year (FY) 2023-2024 and beyond, CAEATFA will explore adding a “single-originator” model to the Program, in which loans would be issued by a single company and other finance companies could purchase portfolios of loans after loans were closed and funded.
- **GoGreen Business Energy Financing (GoGreen Business)**, formerly known as the Small Business Energy Efficiency Financing Program or SBF: Launched in 2019, GoGreen Business has supported the financing of ten projects to date. There are 80 participating contractors and project developers in this program and four finance companies that offer a variety of financing products, including loans, leases, and energy service agreements¹. Uptake has been slow given the effect of COVID-19 on small businesses and challenges with integrating the financing offerings into existing IOU and third-party administered energy efficiency programs. The program is currently piloting an interest rate buy-down promotion and is about to launch an on-bill repayment feature. Growth will require successful integration with other efforts to educate small business owners about the potential of energy efficiency projects, such as energy efficiency programs administered by the IOUs and their third-party contractors, Regional Energy Networks (RENs) or Community Choice Aggregators (CCAs).
 - **GoGreen Affordable Multifamily Energy Financing (GoGreen Affordable Multifamily)**, formerly known as the Affordable Multifamily Energy Efficiency Financing Program or AMF: GoGreen Affordable Multifamily has been offering financing since 2019 but has yet to enroll its first project. Two finance companies providing leases and energy service agreements participate in the program. An interest rate buy-down promotion in 2022 will test whether 0% financing can help affordable property managers take on energy upgrades. The Contractor Manager is not expected to have involvement with this Program as the Program does not have a “Participating Contractor” role.

In addition to the above Programs, CAEATFA is considering asking the CPUC to re-authorize a **Non-Residential/Large Commercial On-Bill Program**. A Program serving the large commercial sector, without a credit enhancement, was originally authorized as part of D.13.09.044 but was cancelled since it did not launch prior to the end of 2019. Once on-bill repayment is functional, CAEATFA may

¹ At the time of this RFP, CAEATFA staff were reviewing two additional (5th and 6th) finance company applications. A 7th finance company has been enrolled in the Program since 2021, but its financing offering has been paused until an IOU third-party implemented Program gets off the ground.

suggest the reinstatement of this Program, which would include both energy efficiency and other clean energy technology repaid through a customer's utility bill.

How Contractors Engage with the Finance Companies

With both Programs, contractors are responsible for ensuring that project scope is consistent with Program rules. Contractors often gather the utility bill or proof of utility service from the customer.

- **GoGreen Home:** Under current operations, contractors may present financing options to their customers, but the customer must apply directly with a participating lender. The contractor must submit paperwork to the lender before and after project installation, which triggers the lender to provide notice to proceed with the project and to issue payment upon project completion. In response to contractor feedback, CAEATFA hopes to recruit one or more specialty lenders in 2022 who will allow contractors who wish for it to take a more hands-on approach to their customers' financing. The LPMS, as noted above, will also allow for better communication between lenders and contractors.
- **GoGreen Business:** Contractors present financing options to their customers and are usually the party that contacts the lenders for quotes and approvals. Contractors and finance companies submit data to the Program through an online Project Platform, a customized user interface designed for use by CAEATFA that allows CAEATFA staff to pre-approve project scopes. Finance companies in this Program typically offer some degree of pre-payment to contractors, which requires separate approval from the finance company. Contractors will need to assess additional customer requirements to determine eligibility for OBR.

Contractors will need to become familiar with the data submission platforms available through the Program they participate in, and the Contractor Manager will be responsible for educating contractors on these processes as described in the Scope of Work.

Marketing

CAEATFA has found that financing alone does not create demand for energy efficiency projects - it removes a barrier. Customers generally do not take on energy efficiency projects solely because financing is available. Customers who may have wanted or needed to take on a project are more likely to do so and/or to take on an efficient one if they have access to attractive financing. Attractive financing eliminates the "first cost" barrier faced by many customers and often makes these projects feasible, and contractors are essential for conveying this message and explaining the value of financing to customers.

- [GoGreenFinancing.com](#) is the platform used to promote the programs and financing options to customers. GoGreenFinancing.com also has a contractor section through which contractors access training and enrollment information, project forms, and marketing resources. Contractors are listed on the website and customers have a direct path to connect with participating contractors through the "find a contractor" tool.

CAEATFA and Contractor Manager Coordination

CAEATFA serves as the administrator of the CHEEF Programs and is responsible for program design, operations, issuing regulations, and overall management and reporting on the financing programs. As the client for this contract, CAEATFA must be informed of ongoing efforts and will be involved in ongoing project planning and approvals. CAEATFA will support the Contractor Manager by conceptualizing and providing direction on processes, strategies, and tactics and by participating in specific contractor-related activities, including recruitment of high-potential leads and engagement with high-volume contractors. The Contractor Manager will be responsible for the daily operations related to the network of contractors participating in the CHEEF Programs as defined in the Scope of Work. The Contractor Manager serves as a crucial liaison between CAEATFA and contractors, taking responsibility for educating contractors on Program updates/changes and translating regulatory and operational developments executed by CAEATFA to the contractor level.

The Provider is expected to coordinate closely with CAEATFA on an ongoing basis to provide updates on progress and respond to requests for reporting, directional shifts, and task orders. Coordination between CAEATFA and the Contractor Manager will initially be frequent, with CAEATFA

approving work and communication plans. The degree and frequency of coordination is expected to lessen over time, as the Contractor Manager gains fluency with the Programs and works to implement approved plans.

Other Program Partner Roles and Responsibilities

CAEATFA works closely with several vendors and partners to implement the CHEEF Programs. The following list of partners, roles and responsibilities is intended to summarize the parties and types of interactions that the Contractor Manager can expect under the Scope of Work.

- **Investor-Owned Utilities (IOUs)** provide ratepayer funding for Program administration and credit enhancements. CAEATFA consults with the IOUs regularly on Program design and implementation. The IOUs contract with third-party implementers who run energy efficiency programs, which are key channels of driving energy efficiency demand (particularly for the small business market). The IOUs publicize financing opportunities to their customers through websites and marketing campaigns. The Contractor Manager's coordination with the IOUs will primarily focus on assisting with marketing to contractors through the IOU Trade Professional (TradePro) networks and newsletters for IOU programs. The Contractor Manager will also be expected to help form strategic partnerships with select third-party implementers of IOU programs where financing is an important part of the delivery strategy.
- **Participating Finance Companies** are private finance companies who enroll in one or more of the CHEEF Programs to offer financing, using the credit enhancement to provide better rates and terms to borrowers through the Programs. Finance companies have varying business models and different approaches to working with contractors. For details on products and offerings, see the downloadable charts on [this page](#).
 - *GoGreen Home:*
 - *Credit unions:* Eight credit unions (two statewide and six regional lenders) participate in GoGreen Home, offering traditional direct loans. Additional credit unions are expected to join the Program over the next year. Customers apply directly to credit unions for loans and credit unions keep contractors informed about project approval status.
 - *Fintech:* One fintech company offers microloans for efficient household appliances exclusively through the IOUs' online marketplaces via GoGreen Home. For the most part, these projects are comprised of self-install eligible appliances and do not involve a GoGreen Home contractor. Down the road, there are plans to offer installation services for heat pump water heaters, and there is a possibility of an installer network joining GoGreen Home.
 - *Specialty or "dealer" type financing:* CAEATFA expects to enroll one or more home improvement or energy finance companies who operate at a larger scale and faster pace than the credit unions. These finance companies will allow contractors to manage the financing process for customers, employ robust IT systems to offer a fair amount of instant decision-making, and maintain portals for contractors to track their projects and approvals.
 - *GoGreen Business:*
 - *Lease companies:* Three specialty finance companies (all statewide) offer equipment leases through GoGreen Business. These companies prefer to deal with the contractor, offering quoting tools and allowing contractors to fill out applications for their customers. They are able to offer instant, auto-decisioning up to a certain financed amount.
 - *Specialty finance companies – large ticket:* Two finance companies provide large amounts of capital for projects that go through a longer and more extensive project vetting.
 - *Credit union:* One credit union is in process of enrolling in GoGreen Business. Their model will most likely involve referrals from contractor companies, but it is unclear yet

to what degree they will want communications to flow through the customer versus the contractor.

- *Microlender*: One microlender is enrolled in GoGreen Business and is exploring whether to offer a direct-to-customer financing model or only provide approvals for projects referred to by an IOU third-party implemented program, to ensure projects are eligible and assure some volume.

The Contractor Manager should understand the varying business models of the different finance companies when it comes to contractor utilization of the financing options. The Contractor Manager will need to advise contractors on which finance companies they should connect with, particularly when the contractors are getting started with the Programs. The Contractor Manager will also occasionally field project- and contractor-related questions from these lenders and is expected to be responsive.

- **The Statewide Marketing Implementer** is an external vendor contracted to SoCalGas per CPUC Decisions and is responsible for statewide customer-facing marketing efforts. Statewide marketing includes supporting the IOUs with collateral and content creation for use in regionally-based, customer-facing marketing efforts. The Marketing Implementer also maintains the GoGreen Financing website, which hosts contractor-related information for the Programs. The Contractor Manager will frequently coordinate with the Marketing Implementer for contractor-related webpages and materials, as well as occasionally coordinate on marketing efforts that influence both customers and contractors.
- **The Master Servicer** currently accepts loan enrollment applications for GoGreen Home, though CAEATFA has moved some batch loan enrollment functions “in-house” and plans to contract for a separate Loan & Project Management System (LPMS) within the next year. For GoGreen Business, the Master Servicer maintains a web-based Project Platform through which contractors and finance companies submit project and finance data for pre-approvals and enrollment of loans into the Program. The Master Servicer has played a central role in developing the on-bill repayment architecture and will manage on-bill transactions. At the beginning of the contract, the Contractor Manager may receive loan enrollment and project reports for both GoGreen Home and GoGreen Business from the Master Servicer; the reporting will shift away from the Master Servicer for GoGreen Home over time. The Contractor Manager can expect to continue coordination with the Master Servicer for loan- and project-related reports for GoGreen Business.
- **Loan & Project Management System (LPMS)**: Within the next year, CAEATFA expects to contract for an online workflow and data collection tool that will be used by finance companies (mostly credit unions), contractors and Program staff for GoGreen Home. Similar to the GoGreen Business Project Platform, the LPMS will allow contractors to enter project and measure data into an online portal, automatically validate a certain degree of project compliance with Program rules, facilitate communication from finance companies to contractors regarding credit approval, and allow Program staff to review and pre-approve projects manually when needed. The tool will remove the need for existing PDF and Excel-based project forms, which have been cumbersome for contractors, and allow for electronic capture of data and certifications. The LPMS will also add value for contractors by providing automatic updates on loan status. The Contractor Manager will play a large role in the roll-out of the LPMS to existing contractors, and the LPMS will become part of standard onboarding for new contractors. The Contractor Manager will be responsible for communicating with contractors whose projects are not pre-approved by CAEATFA staff and will also access loan and project reports from the LPMS. While CAEATFA staff will be primarily responsible for project approvals during the first year of LPMS operation and improvements, it is possible that CAEATFA and the Contractor Manager will agree to transition this function to the Contractor Manager once it is running smoothly.

4. Scope of Work

Under the general direction of CAEATFA's Executive Director or designee, Provider will provide the services outlined below in a manner consistent with Program regulations. At the time the selected firm comes under contract, the tasks set forth below will already have been implemented, to various degrees, in the GoGreen Home and GoGreen Business² Programs. The firm selected through this RFP will assume responsibility for such tasks, review and improve the effectiveness of prior approaches, and implement similar scopes of services as set forth below for the duration of the Programs through the full term of the Contract. Tasks in some of these categories require coordination with CAEATFA and other vendors and stakeholders of the Programs, such as Participating Lenders and the Marketing Implementer. The Scope of Work broadly falls into the six categories listed below. Specific tasks may change as the Programs continue to develop and evolve. The six categories of tasks in this Scope of Work are:

- i. Initial contractor recruitment, enrollment and training Contractor Training
- ii. Enrolled contractor engagement and support
- iii. Strategic partnership development and engagement
- iv. Compliance and verification
- v. Data management, insights and reporting
- vi. Program design assistance/task orders

a. Initial contractor recruitment, enrollment and training

The Programs rely on the participation of contractors to offer Program financing to their customers. Contractors who wish to participate in the Programs must meet eligibility requirements and undergo an enrollment process comprising application; an on-demand online training; and approval. The Provider will perform the following tasks associated with contractor recruitment, enrollment and training:

- i. Conduct research, targeting, lead generation and comprehensive outreach. Recruit contractors to the Programs through meetings, conferences, workshops, calls, webinars, e-mails, social media, and other appropriate tactics.
- ii. Nurture leads through the training, application and enrollment processes. Offer customized program introductions and training seminars for large or high-priority contractor companies as needed.
- iii. Manage the overall contractor enrollment process, including reviewing contractor applications to ensure all eligibility requirements have been met and assist contractors with their applications.
- iv. Develop, maintain and update on-demand online training content, Contractor Manuals, and marketing collateral/resources for interested contractors that describe program requirements and benefits. Review and suggest updates to contractor recruitment information on the GoGreen Financing website.
- v. Manage and maintain CAEATFA's online Learning Management System (LMS) training platform (e.g. managing users, assisting contractors taking training, and monitoring progress of contractors through the training process).
- vi. Coordinate on efforts to recruit high-priority contractor company leads (such as new project developers) with CAEATFA.

² Please note that "contractor" below also includes "project developers" for GoGreen Business.

- vii. Continually review recruitment strategies and adjust as indicated to grow contractor enrollment and participation across target geographic areas and industries.
- viii. If CAEATFA receives the authority to expand the Programs to include other types of clean energy technology, develop a recruitment strategy and plan for contractors engaged in technologies such as onsite generation, battery storage and EV charging.

b. Enrolled contractor engagement and support

Providing enrolled contractors with the support they need to successfully utilize the Programs is critical to the Programs' overall success, thus CAEATFA will place a high priority on Provider proposals that show particular strength in this area. The Provider will perform the following tasks associated with engagement and support for enrolled contractors:

- i. Serve as the primary point of contact and the "face" of the Program for enrolled contractors. Provide ongoing support via phone, email, LPMS, and other appropriate methods to assist contractors in successfully utilizing the Programs, connecting with finance companies, understanding the different finance company processes and products offered, and properly filling out Program forms or providing required data through Program platforms.
- ii. Ensure accessibility for contractor questions and inquiries. Provide responses to and explanations for rejected project scopes through the LPMS within 1 business day.³ Maintain awareness of personnel changes at contractor companies and offer support to ensure continued Program involvement. Maintain updated reference materials, fact sheets, toolkits, manuals and other resources to complement trainings and assist contractors with project eligibility, documentation requirements, and incorporation of financing into their sales.
- iii. Continuously engage contractors to foster trust in the Program. Sustain regular communications with contractors through a frequent schedule of ongoing touch points. Keep contractors informed of Program updates, new lender offerings, changes in the list of eligible measures that may be financed, and other relevant and beneficial information. Serve as a subject-matter expert on the needs, challenges, and preferences of enrolled contractors.
- iv. Welcome and support newly enrolled contractors through a "hands-on" onboarding process that includes walk-throughs of available resources and the LPMS, introductions to lenders serving their region, identifying eligible projects, and coaching on explaining the financing offerings to their customers. Provide special support for new contractors' first few project enrollments, including preparing them for desktop reviews and installation verifications.
- v. Segment and categorize enrolled contractor companies by their approach to financing, business area, degree of participation in the Programs, etc. Identify needs of each segment and set appropriate engagement, collaboration and coaching strategies, such as providing direct, hands-on assistance in enrolling a project to contractors who have not yet done so.
- vi. Identify, suggest and develop needed Program trainings and resources for enrolled contractors (e.g., video walk-through of a monthly payment calculator, explanation of

³ During the first year of the LPMS operation, CAEATFA staff plans to have primary responsibility for project approvals. Once operations are smooth, CAEATFA and the Contractor Manager may decide that it makes sense for the Contractor Manager to assume this role.

new program features like on-bill repayment, summary of project compliance requirements).

- vii. Identify, suggest and develop needed marketing collateral for enrolled contractors to use to explain the Programs to their customers (e.g., financing option comparison chart, talking points for responding to common customer questions).
- viii. Maintain an understanding of different finance companies' processes in working with contractors. Field occasional questions from finance companies participating in the Programs related to contractors and contractor scopes of work, and customer concerns related to their contractor. Coordinate with CAEATFA to resolve disputes.

c. Strategic partnership development and engagement

Provider will support engagement with channel partners with aligned interests in increasing customer uptake of energy efficiency projects, such as Regional Energy Networks (RENs), Community Choice Aggregators (CCAs), Investor-Owned Utility (IOU) programs and their third-party implementers, and more. The Provider will coordinate with CAEATFA on this task to avoid duplicative outreach efforts and ensure cohesion between outreach and Program needs. The Provider will perform the following tasks associated with engagement and support for Program partners:

- i. Identify and recommend target organizations beyond individual contractor companies (e.g., utility programs, trade associations) for the purposes of contractor recruitment or engagement and cross-promotion of financing programs to relevant audiences.
- ii. Facilitate opportunities for trainings, seminars, marketing, etc. between CHEEF Programs and relevant channel partners of interest.
- iii. Maintain strong and productive relationships with identified channel partners and implement agreed-upon joint activities, such as coordinated marketing campaigns or customized collateral preparation.

d. Compliance and verification

The objective of compliance and verification is to provide reasonable assurance that contractors are adhering to Program rules and permitting requirements and acting truthfully. This assurance is provided by performing sufficient checks such that all contractors are aware of the potential of their project being reviewed or inspected, contractors making mistakes can be identified and coached toward correction, and bad actors can be identified and removed from the Program. While compliance is taken very seriously, these tasks should be conducted with a spirit of fostering success and deepening an understanding of contractor challenges in this area.

- i. On a quarterly basis, confirm that enrolled contractors meet criteria to maintain participating contractor status, including a current CSLB license that is free of discipline and other requirements as appropriate.
- ii. Develop and implement a plan to ensure overall project and Program compliance from contractors, including:
 - Selection criteria, procedures, tracking, and communications related to desktop reviews and installation verifications.
 - Contractor corrective discipline, including coaching, remediation, and eventual Program removal.
 - Assistance for contractors with navigating combustion safety testing resources, finding combustion safety testers, and pricing projects to include combustion safety testing in the financed amount, when needed.

- iii. Conduct **desktop reviews** on a portion of completed projects (the portion to be determined jointly by CAEATFA and Provider based on budget and Program needs) to confirm compliance with Program rules. The scope of desktop audits will be determined jointly by CAEATFA and Provider and may include reviews of project and measure data submitted to the Program, invoices provided to the customer, permit records, and/or safety test records. Desktop reviews serve the purpose of confirming compliance with Program rules around measure and project eligibility as well as combustion safety testing, permitting, and confirming truthfulness in reporting of data to the Programs.
- iv. Perform virtual and/or on-site **installation verifications** on a portion of completed projects (the portion to be determined jointly by CAEATFA and Provider based on budget and Program needs) to verify that equipment was installed as reported to the Program and is operable. Inspections do not include an assessment on the quality of the installation or compliance with code.⁴
- v. Provide implementable Program design recommendations to CAEATFA related to combustion safety testing, permit compliance, and other consumer protection aspects.

e. Data management, insights and reporting

Provider will keep diligent records of contractor information and Program interactions to inform accurate public listing information, promote high-quality engagement and share insights with CAEATFA. These responsibilities include:

- i. Provide regular updates to CAEATFA on quantitative outcomes for tasks and efforts. Share qualitative, in-depth insights regarding contractor sentiments, challenges, successes, patterns of activity, preferences, needs, and concerns on an ongoing basis.
- ii. Evaluate success of projects and initiatives and provide recommendations for improvements and course correction to CAEATFA.
- iii. Develop and maintain data sets related to contractor recruitment, including data points such as the names of active leads, records of contact with the Program, and their status in the enrollment process.
- iv. Develop and maintain data sets related to enrolled contractors, including data points such as up-to-date contact information, types of services provided, locations served, key personnel, Program status (e.g., enrolled, suspended, removed), and records of interaction with the Program. Provide regular reports or make data available in a format approved by CAEATFA to CAEATFA, the LPMS, participating finance companies, the Marketing Implementer, and other stakeholders as needed/upon request.
- v. Develop and maintain data sets related to Program compliance, including data points such as results of desktop reviews and installation verifications, corrective actions taken, and the overall QA/QC process.
- vi. Integrate data sets with Program tools and databases, such as the GoGreen Business User Interface and CAEATFA's forthcoming Loan & Project Management System.
- vii. Coordinate with the Marketing Implementer to maintain accurate public listing information for enrolled contractors on GoGreenFinancing.com. Maintain a publicly accessible, searchable map of enrolled contractors by their location.

⁴ Program rules require contractors to pull and complete permits for any work that requires them. These verifications are not intended to duplicate local government inspection and oversight.

f. Task orders

If requested by CAEATFA and agreed upon in advance by CAEATFA and the Provider in written Task Orders, the Provider will execute additional special initiatives related to contractor recruitment, engagement, compliance, and other tasks as needed. The Contractor Manager will develop plans, process flows, contracts, budgets, etc. for new Task Orders and fully implement them according to the guidelines agreed upon by CAEATFA and the Provider. Task Orders will not increase the total not-to-exceed cost of this Contract. Specific deliverables, responsibilities, and timetables will be established by and between CAEATFA and the Provider in writing prior to commencement of work, and all approved Task Orders shall be made a part of this Contract. Examples of potential Task Orders may include:

- i. A one-time initiative to train, onboard, and migrate enrolled contractors to use the Loan & Project Management System
- ii. Development of a new online training module, such as how contractors can use interest rate buy-downs for their sales

5. Term of Agreement

The term of the Agreement will be for a three-year period beginning May 29, 2022 through May 28, 2025 and services shall not exceed \$1,800,000. CAEATFA will have the option for two (2) one-year extensions valued at up to \$500,000 each. The total Contract amount may not exceed \$2.8 million over the entire term of the agreement including all optional extensions. The effective date is either the proposed award date (Section C.1.), or the date of approval of the Agreement by DGS, whichever is later. Work shall not commence until the effective date.

B. MINIMUM QUALIFICATIONS FOR PROPOSERS

In preparing your proposal, please provide your firm's responses to the following requirements in the order listed in this RFP. Failure to meet the minimum qualifications will cause your proposal to be considered unresponsive and the proposal will be disqualified.

The firm **must have**, at a minimum, the following required qualifications and experience:

1. Subject matter expertise of:

- a. Residential and commercial building retrofit contractors, including general contractors and those installing measures available through the Programs
- b. Energy efficiency and clean energy industries and related technologies
- c. California permitting, building codes, and safety requirements
- d. The overall regulatory, utility, and policy landscape for energy efficiency/clean energy in California

2. Experience with building, maintaining, and managing contractor networks, government programs, and/or financing programs, including development and implementation of strategies and tactics to support both recruitment of and sustained participation of contractors

3. Ability to maintain deep understanding of contractor trends, needs, challenges and preferences

4. Familiar and consistent participant in existing contractor/building associations, organizations, and groups

5. **Qualified to do business in the State of California (proposer and any subcontractor identified in the proposal)**
6. **Been in operation for a minimum of two (2) years providing the types of services required under the Contract**
7. **Not be a publicly traded corporation or subsidiary thereof that is incorporated offshore, even if the United States is the principal market for the public trading of the corporation's stock**
8. **Free from conflicts of interest, not only at the time of selection, but throughout the term of the Contract as well**
9. **Immediately available to provide the services that will be set forth in the Contract**

Ideal candidates will also demonstrate the following desired qualifications:

1. **Can serve as a trusted and effective point of contact for contractors through approachable, proactive and savvy communication**
 - a. Strong communication skills to convey clear, diplomatic, and knowledgeable messages over the phone, remotely, via email, or in-person
 - b. Oriented toward helping contractors and related channel partners achieve success through the Programs
 - c. Writing/graphic design capacity to create effective marketing and informational collateral
2. **Capacity for deep relationship building to establish trust and confidence across the contractor network**
 - a. Provides customized services and approaches based on contractor needs and circumstances; perceives nuances between different types of contractor companies and needs
 - b. Utilizes judgement in handling delicate situations, such as compliance verification concerns
 - c. Conceives and executes strategic partnerships with channel partners and utility program implementers
3. **Strategic and analytical collaborator**
 - a. Fluency with building improvement financing options and how contractors engage with them
 - b. Understands different Program needs and provide actionable recommendations on aspects of Program design and implementation
 - c. Frequently evaluates current strategies and processes to suggest and implement improvements
 - d. Identifies most important insights from day-to-day work with contractors to efficiently convey metrics, data and high-quality information to CAEATFA

4. Responsive and flexible resource manager

- a. Adapts existing resources/practices where appropriate, while remaining nimble and flexible to customize processes and approaches for Programs when needed
- b. Pivots priorities and approaches when Program and industry needs shift

5. Ability to quickly develop a thorough understanding of the CHEEF Programs and how they apply to contractors

- a. Able to internalize Program information to determine pain points and selling points for contractors who use them

C. PROPOSAL REQUIREMENTS AND INFORMATION

1. Key Action Dates

Prospective proposers are hereby advised of the following estimated schedule. Dates are subject to change due to administrative processing. Firms must adhere to the RFP response submission due date and time.

<u>Date</u>	<u>Action</u>
February 28, 2022	RFP Advertisement – California State Contracts Register (“CSCR”). RFP available to prospective proposers.
March 9, 2022	Written questions must be received by CAEATFA by 12:00 noon. Responses to questions will be posted to the CSCR as well as CAEATFA’s website within several days.
March 22, 2022	Proposals are due and must be received at the CAEATFA at 915 Capitol Mall, Room 538, Sacramento, CA 95814, or Hand Delivered to 801 Capitol Mall, 2nd Floor, Sacramento, CA 95814 by 12:00 p.m. PT.
March 22, 2022 – April 8, 2022	Evaluation and selection of firm by evaluation committee, including potential candidate interviews. Determination of responsive proposals.
April 19, 2022	CAEATFA Board Meeting and Notice of Intent to Award
May 29, 2022	Proposed Award Date (or upon approval of Agreement by DGS)

2. Content and Format of Proposals

This RFP, the evaluation of the proposals and the award of any resultant Contract will be governed generally by the rules of this section and applicable State policy. The Bidder Instructions (<https://www.documents.dgs.ca.gov/dgs/FMC/GS/PD/DGSPD%20451.pdf>) provide general information for potential proposers describing how to provide a responsive proposal.

Proposals must be organized in the format shown below and contain all of the information listed:

- a. Table of Contents.

- b. Executive Summary. Summarize the highlights of the proposal, noting the following information:
- i. Conflicts of Interest. Firms must disclose any business relationships which may be construed to be potential conflicts of interest. CAEATFA may request interviews of firms for the purpose of clarifying any situations that could be construed to be a conflict of interest, and has the sole and exclusive authority to disqualify a firm if CAEATFA determines a conflict exists.
 - ii. Legal Actions. Describe any and all instances within the past 24 months of your firm's or any of its principals' involvement in any litigation, arbitration, disciplinary or other official actions arising from the firm's business.
- c. Firm Experience and Desired Qualifications. Explain how your firm meets the Required Experience and possesses the Desired Qualifications presented in Section B above. In your response, speak to your firm's ability to implement the full Scope of Work. Include a discussion of any unique strengths possessed by your firm.

Two Year List of Engagements: Provide a list of your firm's contractor manager engagements during the last two years. This list can be included in this section of the proposal or at the end of the proposal. This is a separate requirement from Attachment 4.

- d. Personnel Experience and Desired Qualifications. Identify and describe the key personnel (including already contemplated subcontractors) who will be providing the services required by the proposal under this Contract and explain how they meet the Required Experience and possess the Desired Qualifications presented in Section B above. Include for each key personnel staff member: their title and role; the deliverables from the Scope of Work which will be worked on by that individual; type of experience; and years (at current firm as well as all prior service). Experience in contractor management engagements should be highlighted/detailed, including contractor management engagements for State governmental agencies, as well as private industry experience. This is a separate requirement from Attachment 3.

Organization Chart: Include an organization chart showing functions, positions, and titles of professionals in your firm, including any subcontractor firm(s) that your firm intends to use in performance of its duties under the Contract.

Resumes: Provide detailed resumes for individuals who will be directly involved in providing the services under the Agreement, including any proposed subcontractor firms and their employees. Please provide resumes at the end of the proposal.

The firm must ensure that the quality and availability of its personnel assigned to this Contract, including staff of subcontractors (if any), will be maintained over the term of the Agreement. Any changes in assigned key personnel are at the discretion of the firm, provided that the qualifications and experience of any replacements are substantially the same or better than the original personnel. Provider shall not substitute, replace or reassign key personnel without the prior approval of the State.

- e. Approach (maximum 10 pages). Describe your approach to the Scope of Work and the breadth of tasks outlined within it. Reference the critical tasks that you will carry out to accomplish the required Scope, both those that are specifically mentioned and others that will be integral to your approach. Your approach section is not limited to, but should include:
- i. An overview that describes your understanding of energy efficiency contractors and financing options, where the GoGreen Financing Programs fit within the broader landscape of energy efficiency in California, and your take on how attractive financing influences (or doesn't influence) contractors' ability to promote and sell efficiency measures

- ii. How you envision executing a sustained contractor engagement strategy, including the most critical components needed to execute your plan and how these components will lead to contractor success and the achievement of Program goals
 - iii. Your methodology to achieve deep relationships with the contractor network, establish trust and credibility, and provide customized services to contractors based on their needs
 - iv. A walk-through of the experience a contractor would have with the Programs and with your team; describe what a new contractor's experience will be from learning about the Program through enrolling their first few projects with your firm as the Contractor Manager
 - v. Explain the biggest challenges you see for contractors with regard to upcoming Program and technology changes, specifically on-bill repayment and increased emphasis on heat pumps, and how you would address them
 - vi. Any distinctions that you would make in your approach to contractor management in GoGreen Home vs. GoGreen Business
 - vii. Your approach to ensuring contractor compliance with Program regulations through coaching and discipline
- f. Samples of prior ME&O, training or support resources/collateral used to successfully engage and connect with program participants.
- g. Samples of written communications to program participants for recruitment, engagement, and/or educational purposes.
- h. Cost Proposal Format and Requirements. The Cost Proposal is made up of both Attachment 5a (Rate Worksheet) and Attachment 5b (Sample Scenario Worksheet) and shall be the basis for the cost portion of the evaluation and selection process. The Cost Proposal must identify lead personnel and billing rates as well as anticipated miscellaneous expenses. Use the Rate Worksheet (Attachment 5a) and Sample Scenario Worksheet (Attachment 5b) as guides in preparing your Cost Proposal. Proposals submitted with a Cost Proposal not in compliance with these requirements will be rejected.

The anticipated Contract for contractor management services will be for a three-year period valued at \$1,800,000 with the allowance for two (2) one-year extensions up to \$500,000 each. Proposals **may not exceed \$2,800,000.00** for the entire service term.

- i. Required Attachments. For the proposal to be considered responsive, all required Attachments (1-15) must be completed and included with the proposal by the dates and times shown in Key Action Dates (Section C.1.).

3. Submission of Proposals

- a. Proposals should provide straightforward and concise descriptions of the proposing firm's ability to satisfy the requirements of this RFP. The proposal must be complete and accurate. Omissions, inaccuracies or misstatements may be cause for rejection of a proposal.
- b. All proposals must be submitted under **sealed** cover and sent to CAEATFA by the date and time shown in Key Action Dates (Section C.1.). Proposals received after this date and time will not be considered.
- c. A minimum of one (1) unbound original and one (1) bound or unbound copy of the proposal must be submitted. All responses to this RFP must be submitted in hard copy and electronic copy (on

USB flash drive) and received by CAEATFA no later than 12:00 p.m. PT on Tuesday March 22, 2022. Emailed or faxed submissions will not be accepted.

- d. The original proposal must be marked "**ORIGINAL COPY**." All documents contained in the original proposal package must have original signatures and must be signed by a person who is authorized to bind the proposing firm. The additional proposal set may contain photocopies of the original package.
- e. The proposal envelopes must be plainly marked with the RFP number and title, the firm name and address; marked with "**DO NOT OPEN**", as shown in the following example:

Mailing Address:

<p style="text-align: center;">Request for Proposals – “Universal Contractor Management Services for the California Hub for Energy Efficiency Financing Program” RFP# CAEATFA02-21</p> <p style="text-align: center;">CAEATFA Attn: Jessica Arceo 915 Capitol Mall, Room 538 Sacramento, CA 95814 (916) 651-5101</p> <p style="text-align: center;"><u>DO NOT OPEN</u></p>

Or Hand Deliver to:

<p style="text-align: center;">Request for Proposals – “Universal Contractor Management Services for the California Hub for Energy Efficiency Financing Program” RFP# CAEATFA02-21</p> <p style="text-align: center;">CAEATFA Attn: Jessica Arceo 801 Capitol Mall, 2nd Floor Sacramento, CA 95814 (916) 651-5101</p> <p style="text-align: center;"><u>DO NOT OPEN</u></p>

- f. If the proposal is made under a fictitious name or business title, the actual legal name of the firm must be provided.
- g. Proposals not submitted under sealed cover and marked as indicated may be rejected.
- h. All proposals must include the documents identified in Attachment 1, Required Attachment Check List. Proposals not including the required attachments shall be deemed non-responsive. A non-responsive proposal is one that does not meet the basic proposal requirements.
- i. Proposals must be submitted for the performance of all the services described herein. Any deviation from the work specifications will not be considered and will cause a proposal to be rejected.
- j. A proposal may be rejected if it is conditional or incomplete, or if it contains any alterations of form or other irregularities of any kind. CAEATFA may reject any or all proposals and may waive any immaterial deviation in a proposal. CAEATFA’s waiver of an immaterial deviation shall in no

way modify the proposal document nor excuse the proposer from full compliance with all requirements if awarded the Contract.

- k. Costs for developing proposals and in anticipation of award of the Agreement are entirely the responsibility of the proposer and shall not be charged to CAEATFA or the State of California.
- l. An individual who is authorized to bind the proposing firm contractually shall sign the Proposal/Proposer Certification Sheet (Attachment 2). The signature must indicate the title or position that the individual holds in the firm. An unsigned proposal may be rejected.
- m. A proposing firm may modify a proposal after its submission by withdrawing its original proposal and resubmitting a new proposal prior to the proposal submission deadline as set forth in the Key Action Dates. The submission of a new proposal must comply with requirements of this section. Proposal modifications offered in any other manner, oral or written, will not be considered.
- n. A proposer may withdraw its proposal by submitting a written withdrawal request, signed by the proposer or an authorized agent, to CAEATFA at the address identified in Item 3.e. above. A proposer may thereafter submit a new proposal prior to the proposal submission deadline. Proposals may not be withdrawn without cause after the proposal submission deadline.
- o. CAEATFA may modify the RFP prior to the date fixed for submission of proposals by the issuance of an addendum to all parties who received an RFP package.
- p. CAEATFA reserves the right to reject all proposals. The agency is not required to award an agreement.
- q. Before submitting a response to this solicitation, proposers should review such response, correct all errors and confirm compliance with the RFP requirements.
- r. Where applicable, proposers should carefully examine work sites and specifications. No additions or increases to the Contract amount will be made due to a lack of careful examination of work sites and specifications.
- s. More than one proposal from an individual, firm, partnership, corporation or association, under the same or different names, will not be considered.
- t. The State does not accept alternate contract language from a prospective contractor. A proposal with such language will be considered a counter-proposal and will be rejected. The State's General Terms and Conditions (GTC 04/2017) are not negotiable.
- u. No oral understanding or agreement shall be binding upon either party.
- v. Conflict of Interest: The proposer/Provider needs to be aware of the provisions regarding current or former state employees. If a Provider has any questions on the status of any person rendering services or involved with the Contract, CAEATFA must be contacted immediately for clarification. (See Attachment 7, Contractor Certification Clauses (CCC 04/2017)).

4. Evaluation Process

- a. Each proposal will be date- and time-stamped as it is received; additionally, it will be verified that each proposal arrives properly sealed. Late proposals will not be accepted. Proposals shall remain confidential until the review process begins. At the time of proposal opening, each proposal shall be checked for the presence or absence of required information in conformance with the submission requirements of this RFP.
- b. CAEATFA staff shall evaluate each proposal to determine how responsive the firm is to the specific requirements contained in this RFP. Each proposal will be examined for the presence of

required information as specified in the submission requirements of this RFP. The submission requirements are mandatory and failure to fully comply may be deemed grounds for automatic rejection.

- c. It is the proposing firm's responsibility to provide sufficient information in the proposal to permit CAEATFA staff to make an accurate assessment of the firm's ability to provide the services needed.
- d. If during the evaluation process CAEATFA staff is unable to assure itself of the proposing firm's ability to perform under the Contract, (if Contract is awarded), CAEATFA staff has the option of requesting from the firm any information deemed necessary to determine the firm's qualifications. The firm shall be notified if such information is required, and shall be permitted five working days to submit the requested information.
- e. If the information submitted by the proposing firm is insufficient to satisfy CAEATFA staff as to the firm's suitability, CAEATFA staff may ask for additional information or reject the statement. The Authority's determination of the firm's qualifications shall be final.
- f. Proposals that contain false or misleading statements, or which provide references which do not support an attribute or condition claimed by the proposer, may be rejected.
- g. CAEATFA shall evaluate only those proposals from firms meeting the Minimum Qualifications for Proposers as defined in Section B as well as the Proposal Requirements in Section C.
- h. Award, if made, will be to the highest-scored responsive proposal. The proposals that meet the Minimum Qualifications for Proposers in Section B and the Proposal Requirements in Section C will be evaluated and scored according to the criteria indicated below. CAEATFA will only consider proposals scoring 85 or more points (within the good or excellent response percentage range shown below under "Percent of Maximum Score Allotted to Particular Weighted Criterion"). The selection will be made by an evaluation committee of CAEATFA on the basis of the following weighted factors (maximum points available for each criterion are noted).

Rating/Scoring Criteria	Maximum Possible Points
a. <u>Firm Experience and Desired Qualifications</u> . CAEATFA will evaluate the degree to which the Firm meets CAEATFA's Required Experience and Desired Qualifications as listed in Section 2 and the Firm's demonstration of ability to successfully complete the Scope of Work as described in Section A.	15 Points
b. <u>Personnel Experience and Desired Qualifications</u> . CAEATFA will evaluate the degree to which Personnel meets CAEATFA's Required Experience and Desired Qualifications as listed in Section 2 and the Personnel's demonstration of ability to successfully complete the Scope of Work as described in Section A.	20 Points
b. <u>Approach</u> . CAEATFA will evaluate the Firm's proposed approach to accomplish the tasks laid out in the scope of work, corresponding to the questions posed in Section C.2.e.	35 Points
c. <u>Fee Schedule (Cost)</u> . CAEATFA will evaluate the actual fees proposed, including the reasonableness of rates, estimated cost detail and effectiveness (given value of services to be obtained), and cost effectiveness (given the experience and qualifications of firm and its personnel). For evaluation purposes, the Cost Proposal must include the proposer's rates from Attachment 5a and costs for the Sample Scenario and from Attachment 5b as detailed in Section C.2.h.	30 Points
Maximum Total Possible Points	100 Points

Percent of Maximum Score Allotted to Particular Weighted Criterion	
100%	Excellent response backed by demonstrated ability.
85%	Good response backed by demonstrated ability.
75%	Fair response backed by demonstrated ability.
60%	Poor response.
0%	Response does not demonstrate ability.

- i. Cost Proposal Scoring. The lowest-cost proposal is awarded the maximum cost points (30 points). Other proposals are awarded cost points based on the following calculation:

$$\begin{aligned} & (\text{Lowest Proposer's Cost/Other Proposer's Cost}) = (\text{factor}) \\ & \text{Cost points for other Proposer} = (\text{factor}) \times \text{maximum cost points} \end{aligned}$$

EXAMPLE: A maximum of 30 points is available

Lowest Proposer's Cost Proposal = \$1,350,000
Other Proposer's Cost Proposal = \$1,800,000

$$\begin{aligned} & (\text{Lowest cost proposal} / \text{other cost proposal}) = \$1,350,000 / \$1,800,000 = .75 \\ & (\text{Cost points awarded to other proposal} = .75 \times 30 = 22.5 \text{ points} \end{aligned}$$

- j. As part of its final evaluation process, CAEATFA may request interviews. If this option is exercised, CAEATFA shall provide the proposing firms with at least a 72-hour notice. Presenters from the firm(s) must include the personnel who shall have primary responsibility for the services under the Contract.

CAEATFA reserves the right to:

- Request an interview with, and additional information from, proposing firms prior to final selection.
- Select the Provider that, in CAEATFA's judgment, shall best meet the needs of CAEATFA, regardless of differences in estimated costs between proposals.
- Consider information about a proposing Provider in addition to the information submitted in the proposal or interview.

5. Award and Protest

- a. Notice of the proposed award(s) shall be posted in a public place in the office of CAEATFA, 915 Capitol Mall, Sacramento, CA 95814 and on the following Internet site for five (5) working days prior to awarding the Contract(s): <http://www.treasurer.ca.gov/CAEATFA>.
- b. If any proposing firm, prior to the award of the Contract(s), files a protest with CAEATFA and the Department of General Services, Office of Legal Services, 707 Third Street, 7th Floor, West Sacramento, CA 95605, on the grounds that the (protesting) firm would have been awarded a Contract had CAEATFA correctly applied the evaluation standard in the RFP, or had CAEATFA followed the evaluation and scoring methods in the RFP, the Contract(s) shall not be awarded until either the protest has been withdrawn or the Department of General Services has decided the matter. It is suggested that the firm submit any protest by certified or registered mail.
- c. Within five (5) days after filing the initial protest, the protesting firm shall file with the Department of General Services, Office of Legal Services and CAEATFA a full and complete written statement specifying the grounds for the protest. It is suggested that the firm submit this complete written statement by certified or registered mail.

6. Disposition of Proposals

Upon proposal opening, all documents submitted in response to this RFP will become the property of CAEATFA and the State of California, and will be regarded as public records under

the California Public Records Act (Government Code Section 6250 et seq.) and subject to review by the public. The State cannot prevent the disclosure of public documents. However, the contents of all proposals, correspondence, agenda, memoranda, working papers, or any other medium which discloses any aspect of a proposer's proposal shall be held in the strictest confidence until the letter of Intent to Award Contract is posted.

7. Agreement Execution and Performance

- a. Performance shall start not later than fifteen (15) days after the express date set by CAEATFA and the selected Provider, after all approvals have been obtained and the Agreement is fully executed. Should the Provider fail to commence work at the agreed-upon time, CAEATFA, upon five (5) days' written notice to the Provider, reserves the right to terminate the Agreement. In addition, the Provider shall be liable to CAEATFA for the difference between the Provider's proposal price and the actual cost of performing work by another contractor.
- b. All performance under the Agreement shall be completed on or before the termination date of the Agreement.

D. PREFERENCE AND INCENTIVE PROGRAMS

1. **Small Business or Microbusiness Preference** (<https://www.dgs.ca.gov/PD/About/Page-Content/PD-Branch-Intro-Accordion-List/Office-of-Small-Business-and-Disabled-Veteran-Business-Enterprise/Certification-Program>)

A five percent (5%) preference will be applied to certified small business firms submitting proposals (See Attachment 11). To obtain the preference, firms must be certified as a small business at the time the proposal is submitted. The firm MUST include an updated copy of its Small Business Certificate to obtain the preference. The 5% preference is issued only for computation purposes to arrive at the successful firms and does not alter the amounts of the actual proposals. Once each proposal has been scored, if the highest responsible firm is not a certified small business or microbusiness, 5% of the highest scoring proposal is added to the total "earned" points for each proposal submitted by a certified small business. These final numbers, with the 5% included, are then used to determine the highest scoring proposal.

Questions regarding the small business certification or preference approval should be directed to the Office of Small Business & DVBE Services ("OSDS") at (916) 375-4940 or can be found at the website listed above.

2. **Non-Small Business Preference** (<https://www.dgs.ca.gov/PD/About/Page-Content/PD-Branch-Intro-Accordion-List/Office-of-Small-Business-and-Disabled-Veteran-Business-Enterprise/Certification-Program>)

A five percent (5%) proposal preference is available to a non-small business claiming twenty-five percent (25%) California certified small business subcontractor participation (See Attachment 12). If claiming the non-small business subcontractor preference, the proposal response must include a list of the small business(es) with which the firm commits to subcontract in an amount of at least 25% of the net proposal price with one or more California certified small businesses. Each listed certified small business must perform a "commercially useful function" in the performance of the Contract as defined in Government Code Section 14837(d)(4).

The required list of California certified small business subcontractors must be attached to the proposal response and must include the following: 1) subcontractor name, 2) address, 3) phone number, 4) a description of the work to be performed and/or products supplied, and 5) the dollar amount or percentage of the net proposal price (as specified in the solicitation) per subcontractor.

Firms claiming the 5% preference must commit to subcontract at least 25% of the net proposal price with one or more California certified small businesses. Completed certification applications and required support documents must be submitted to the OSDS no later than 5:00 p.m. on the proposal due date, and the OSDS must be able to approve the application as submitted. Questions regarding certification should be directed to the OSDS at (916) 375-4940.

The preference to a non-small business firm that commits to small business or microbusiness subcontractor participation of 25% of its net proposal price shall be 5% of the highest responsive, responsible firm's total score. A non-small business, which qualifies for this preference, may not take an award away from a certified small business.

3. Disabled Veteran Business Enterprise (DVBE) Incentive Program – OPTIONAL

Mandatory California Disabled Veteran Business Enterprise (DVBE) Program Participation has been waived for this proposal.

This solicitation provides an incentive for DVBE participation. The Department of General Services ("DGS") established a DVBE incentive pursuant to Senate Bill 115, Chaptered October 3, 2005 and the military and Veterans Code section 999.5(a). The regulations apply to all competitive solicitations for public works, services, goods, and information technology goods and services posted or released after October 9, 2007. The DVBE incentive is required in solicitations that include DVBE program requirements and may be offered in other competitive solicitations. Department of General Services' policy implements this program by rewarding prime proposers for increased DVBE participation: the more DVBE participation, the greater the incentive. This incentive program helps State agencies to meet their annual DVBE participation goals.

Attachment 13 outlines the DVBE Incentive Program. Proposers seeking the DVBE incentive must submit a completed DVBE Declarations form (STD. 843) that demonstrates DVBE participation and qualification for a DVBE incentive, with proposal submittal. All disabled veteran owners and disabled veteran managers of the DVBE(s) must sign the form(s). The DVBE Incentive participation is *optional* and at the discretion of the proposing firm.

NOTE: For this solicitation, the Incentive application is based on the High Score Method and shall not exceed five percent (5%) of the total score (See Attachment 13).

4. Target Area Contract Preference Act (TACPA)

Firms wishing to take advantage of the TACPA preference will need to review the following website and submit the appropriate response with their proposal: <https://www.dgs.ca.gov/PD/Services/Page-Content/Procurement-Division-Services-List-Folder/Request-a-Target-Area-Contract-Preference>

Firms wishing to take advantage of the TACPA preference are required to submit the following applications/forms:

- TACPA (STD. 830)
- Firm's Summary of Contract Activities and Labor Hours (DGS/PD 525)
- Manufacturer Summary of Contract Activities and Labor Hours (DGS/PD 526)

E. REQUIRED ATTACHMENTS

For the proposal to be considered responsive, all required attachments listed on Attachment 1 must be completed and included with the proposal by the dates and times shown in Key Action Dates (Section C.1.).

ATTACHMENT 1

REQUIRED ATTACHMENT CHECK LIST

A complete proposal or proposal package will consist of the items identified below. Complete this checklist to confirm the items in your proposal. Place a check mark or "X" next to each item that you are submitting to the State. For your proposal to be responsive, all required attachments must be returned. This checklist should be returned with your proposal package also.

<u>Attachment #</u>	<u>Attachment Name/Description</u>
_____	Attachment 1 – Required Attachment Check List
_____	Attachment 2 – Proposal/Proposer Certification Sheet
_____	Attachment 3 – Key Personnel and Experience
_____	Attachment 4 – Proposer References
_____	Attachment 5a – Cost Proposal Rate Worksheet
_____	Attachment 5b – Sample Task Order Worksheet
_____	Attachment 6 – Payee Data Record (STD 204)
_____	Attachment 7 – Contractor Certification Clauses (CCC 04/2017)
_____	Attachment 8 – Darfur Contracting Act Compliance Certification
_____	Attachment 9 – California Civil Rights Laws Certification
_____	Attachment 10 – Iran Contracting Act Certification
_____	Attachment 11 – Small Business or Microbusiness Preference (only if applicable)
_____	Attachment 12 – Non-Small Business Preference (only if applicable)
_____	Attachment 13 – California Disabled Veteran Business Enterprise (DVBE) Program Participation Instructions (only if applicable)
_____	Attachment 14 – Target Area Contract Preference Act (TACPA) (only if applicable)
_____	Attachment 15 – Bidder Declaration (GSPD–05–105)

ATTACHMENT 2

PROPOSAL/PROPOSER CERTIFICATION SHEET

This Proposal/Proposer Certification Sheet must be signed and returned along with all the "required attachments" as an entire package with original signatures. The proposal must be transmitted in a sealed envelope in accordance with RFP instructions.

Do not return the RFP nor the "Sample Agreement" at the end of this RFP.

- A. Place all required attachments behind this certification sheet.
- B. The signature affixed hereon and dated certifies compliance with all the requirements of this proposal document. The signature below authorizes the verification of this certification.

**An Unsigned Proposal/Proposer Certification Sheet
May Be Cause For Rejection**

1. Company Name	2. Telephone Number ()	2a. Fax Number ()
3. Address		
Indicate your organization type:		
4. <input type="checkbox"/> Sole Proprietorship	5. <input type="checkbox"/> Partnership	6. <input type="checkbox"/> Corporation
Indicate the applicable employee and/or corporation number:		
7. Federal Employee ID No. (FEIN)	8. California Corporation No.	
9. Indicate applicable license and/or certification information:		
10. Proposer's Name (Print)	11. Title	
12. Signature	13. Date	
14. Are you certified with the Department of General Services, Office of Small Business and DVBE Services (OSDS) as:		
a. California Small Business Yes <input type="checkbox"/> No <input type="checkbox"/> If yes, enter certification number: _____	b. Disabled Veteran Business Enterprise Yes <input type="checkbox"/> No <input type="checkbox"/> If yes, enter your service code below: _____	
NOTE: Proof of Certification is required to be included if either of the above items is checked "Yes" and will be verified.		
Date application was submitted to OSDS, if an application is pending:		

Completion Instructions for Proposal/Proposer Certification Sheet

Complete the numbered items on the Proposal/Proposer Certification Sheet by following the instructions below.

Item Numbers	Instructions
1, 2, 2a, 3	Must be completed. These items are self-explanatory.
4	Check if your firm is a sole proprietorship. A sole proprietorship is a form of business in which one person owns all the assets of the business in contrast to a partnership and corporation. The sole proprietor is solely liable for all the debts of the business.
5	Check if your firm is a partnership. A partnership is a voluntary agreement between two or more competent persons to place their money, effects, labor, and skill, or some or all of them in lawful commerce or business, with the understanding that there shall be a proportional sharing of the profits and losses between them. An association of two or more persons to carry on, as co-owners, a business for profit.
6	Check if your firm is a corporation. A corporation is an artificial person or legal entity created by or under the authority of the laws of a state or nation, composed, in some rare instances, of a single person and his successors, being the incumbents of a particular office, but ordinarily consisting of an association of numerous individuals.
7	Enter your federal employee tax identification number.
8	Enter your corporation number assigned by the California Secretary of State's Office. This information is used for checking if a corporation is in good standing and qualified to conduct business in California.
9	Complete, if applicable, by indicating the type of license and/or certification that your firm possesses and that is required for the type of services being procured.
10, 11, 12, 13	Must be completed. These items are self-explanatory.
14	If certified as a California Small Business, place a check in the "yes" box, and enter your certification number on the line. If certified as a Disabled Veterans Business Enterprise, place a check in the "Yes" box and enter your service code on the line. If you are not certified to one or both, place a check in the "No" box. If your certification is pending, enter the date your application was submitted to OSDS.

ATTACHMENT 3

KEY PERSONNEL & EXPERIENCE

Complete the following regarding the key personnel (include partners and associates) who will be directly involved in providing the services required under the contemplated Contract.

Name of Firm:	
Identify Key personnel (include partners, associates, etc.) who will be directly involved in providing the services.	
Name:	Area of Effort from Scope of Work:
Title:	Office Location:
Phone Number:	Email:
Role:	
How Long in Current Position?	How Long Employed in Current Firm?
Experience:	

Name of Firm:	
Identify Key personnel (include partners, associates, etc.) who will be directly involved in providing the services.	
Name:	Area of Effort from Scope of Work:
Title:	Office Location:
Phone Number:	Email:
Role:	
How Long in Current Position?	How Long Employed in Current Firm?
Experience:	

Include additional pages as needed

ATTACHMENT 4

PROPOSER REFERENCES

Submission of this attachment is mandatory. Failure to complete and return this attachment with your proposal will cause your proposal to be rejected and deemed nonresponsive.

List below three references for services performed within the last five years, which are similar to the scope of work to be performed in this contract. If three references cannot be provided, please explain why on an attached sheet of paper.

REFERENCE 1			
Name of Firm			
Street Address	City	State	Zip Code
Contact Person		Telephone Number	
Dates of Service		Value or Cost of Service	
Brief Description of Service Provided			

REFERENCE 2			
Name of Firm			
Street Address	City	State	Zip Code
Contact Person		Telephone Number	
Dates of Service		Value or Cost of Service	
Brief Description of Service Provided			

REFERENCE 3			
Name of Firm			
Street Address	City	State	Zip Code
Contact Person		Telephone Number	
Dates of Service		Value or Cost of Service	
Brief Description of Service Provided			

ATTACHMENT 5a

COST PROPOSAL RATE WORKSHEET

Responsive proposals must include the firm's proposed hourly rates expected to be incurred for this Contract as shown in the sample table format provided below:

Cost for Services Rate Chart	
Staff Title	Hourly Rate(s)
<i>[Managing Director/Partner]</i>	
<i>[Associate Director/Partner]</i>	
<i>[Senior Manager]</i>	
<i>[Analyst/Consultant]</i>	
<i>[Assistant]</i>	

The total Contract amount may not exceed \$1,800,000 for the three-year Contract term, plus the allowance for two (2) optional one-year extensions up to \$500,000 each, totaling \$2,800,000 (two million eight hundred thousand dollars) for the entire Contract term.

The firm shall submit detailed monthly invoices to CAEATFA for review and approval. All deliverables will be consistent with the Scope of Work described in this RFP. Specific deliverables, responsibilities, and timetables will be established by and between CAEATFA and the Provider via Task Order, and all Task Orders shall be made a part of the Contract.

Travel Costs. All travel must be pre-approved by the Executive Director. Travel, transportation and per diem expenses shall not exceed the rates payable to State employees; expenses must be itemized and receipts must be attached to invoice.

Anticipated Miscellaneous Expenses. Authorized miscellaneous expenses will be limited to \$50.00 per transaction, including but not limited to, postage, mailing, courier, printing/reproduction costs, etc., unless prior approval is obtained. Please provide basis of estimate for these costs. CAEATFA will not reimburse the printing or copying of electronically received/delivered documents for a firm's in-house use. Miscellaneous expenses must be itemized and receipts must be attached to invoice.

For evaluation purposes, the Cost Proposal must include the Proposer's:

- *Cost for Services Rate Chart* above, completed based on actual Provider rates that will be invoiced during the Contract term (any hourly rates contemplated over the course of the term of the Contract should be included in the *Cost for Services Rate Chart* above)
- *Sample Scenario Costs Chart* below on Page 2 of the Sample Scenario Worksheet, including estimated per-unit cost for the requested Program functions

Proposals must include anticipated employee hours for both professional and administrative support services to complete the Scenario Year One, and reflect the cost for preparation of reports, analysis, manuals and other printed materials; anticipated travel; and other direct cost expenses.

ATTACHMENT 5b

SAMPLE SCENARIO WORKSHEET

The “Approach” section of proposals should support the cost proposal by describing how proposers will perform the tasks described in the RFP, while the required cost proposal worksheet should be completed by proposers to provide annual fee estimates based on the scenarios described below. The scenarios do not necessarily represent the actual goals and workload for a particular year; goals may change and actual Program outcomes may vary widely, but are intended to provide sufficient information for proposers to supply cost information upon which CAEATFA can compare proposals.

- a. **Background Information and Scenario:** As described in the CAEATFA Background and Overview section, the CHEEF Programs are expected to grow significantly in the coming years, and the Contractor Manager (Provider) plays a valuable role in meeting overall Program goals. To inform your cost proposal, please review the below outcomes for both Programs through 2021 and the scenario provided for Scenario Year One.

GoGreen Home

- 2021 Program Actual Outcomes as of 12/31/21 (provided as reference to contextualize current activity):
 - 650 loans enrolled in 2021
 - 550 currently enrolled contractors who enrolled in the Program from 2016-2021
 - 185 currently enrolled contractors who enrolled at least one project in 2021
 - 30 currently enrolled contractors who enrolled more than five projects in 2021
- Scenario Year One Program Goals:
 - Enroll 2,000 new GoGreen Home loans, of which 1,250 will be contractor-driven (meaning the contractor serves as the customer’s referral source for the Program)
 - Enroll 25 new contractors who have knowledge and capacity to install heat pumps and then go on to enroll at least one project each by the end of Scenario Year One
 - Enroll 25 new contractors who service the Central Valley and then go on to enroll at least one project each by the end of Scenario Year One
 - Increase program activity of 50 total contractors (new or already participating) to more than five projects enrolled each over the course of Scenario Year One

GoGreen Business

- 2021 Program Actual Outcomes as of 12/31/21 (provided as reference to contextualize current activity):
 - 80 currently enrolled contractors who enrolled in the Program from 2019-2021
 - Three contractors who enrolled one project each in 2021
 - Seven contractors have enrolled at least one project since the Program launched in 2019
- Scenario Year One Program Goals:
 - Enroll 45 new GoGreen Business financing agreements (larger than \$10,000), all of which will be contractor-driven (meaning the contractor serves as the customer’s referral source for the Program)
 - Enroll 5 new participating contractors who directly serve customers of IOU/REN/CCA commercial programs by the end of Scenario Year One
 - Enroll 2 new participating project developers who implement third-party commercial or small business programs for IOUs or RENs and who then enroll 50 total projects in the Program (under \$10,000)

b. **Sample Scenario for Cost Proposal.** Please fill out chart below.

Sample Scenario Costs Chart			
1. Estimated Budget for Scenario Year One, by contract task	i. Initial Set-up (unlikely to be needed in future years)	ii. Ongoing Task Completion for Year One	Total of i. and ii.
Initial contractor recruitment, enrollment and training	\$ _____	\$ _____	\$ _____
Enrolled contractor engagement and support	\$ _____	\$ _____	\$ _____
Strategic partnership development and engagement	\$ _____	\$ _____	\$ _____
Compliance and verification <i>(Excluding the per-unit costs for the three program functions requested below)</i>	\$ _____	\$ _____	\$ _____
Data management, insights and reporting	\$ _____	\$ _____	\$ _____
Totals	\$ _____	\$ _____	\$ _____
2. A Separate Per-Unit Cost for the Below Three Program Functions:			
i. Pre-installation project data reviews	\$ _____/review		
ii. Post-installation desktop reviews	\$ _____/review		
iii. Installation verifications			
Live virtual installation verification	\$ _____/verification		
Live in-person installation verification	\$ _____/verification		
Optional other method of installation verification (Please describe _____)	\$ _____/verification		

c. **Instructions for above Per-Unit Costs as part of Sample Scenario Costs Chart:** Please estimate a per-unit cost for each of the following Program functions.

- i. **Pre-installation project reviews.** Ensure that your estimated cost accounts for the following review steps:
 - 1) Review data from contractor submissions in an online loan management project system to confirm:
 - o Proof of utility service (e.g. utility bill) has been uploaded and is valid for Program eligibility
 - o At least 70% of the financed amount is for Eligible Energy Efficiency Measures (EEEMs)
 - o Items entered by the contractor as “additional related home improvements” are not actually measures on the EEEMs list that have efficiency requirements

- ii. **Post-installation desktop reviews.** Ensure that your estimated cost accounts for the following review steps:
- 2) Reach out to the contractor for necessary documentation.
 - 3) Verify that:
 - The contractor held the correct CSLB license for the project
 - Any necessary permits (as required for the project) were pulled and closed with the appropriate jurisdictions
 - If a combustion safety test was required, satisfactory documentation of its completion was provided
 - The measures on invoice the contractor provided to the customer is consistent with the measures the contractor reported to the Program
 - 4) Track desktop review results and follow up with the contractor for any needed coaching or discipline.
- iii. **Installation verifications.** Please provide a cost estimate for a live virtual, live in-person installation verification. If you have another option for installation verifications that is not a live verification, please describe and include it. Ensure that your estimated costs account for the following review steps:
- 5) Make two attempts to schedule an equipment installation verification appointment with the customer (for a live verification).
 - 6) During the verification appointment, confirm that equipment reported by the contractor to the Program as installed has been installed and is operable (i.e., powers on).
 - 7) Track installation verification results and follow up with the contractor for any needed coaching or discipline.

ATTACHMENT 6

PAYEE DATA RECORD (STD. 204)

Contractor must provide a taxpayer identification number (TIN) that has been assigned by the Federal Government. The TIN is entered on the Payee Data Record (Std. 204) and retained in our accounting department.

Click here to access the Payee Data Record (Std. 204) form:

<http://www.documents.dgs.ca.gov/dgs/fmc/pdf/std204.pdf>

ATTACHMENT 7

CONTRACTOR CERTIFICATION CLAUSES (CCC 04/2017)

CERTIFICATION

I, the official named below, CERTIFY UNDER PENALTY OF PERJURY that I am duly authorized to legally bind the prospective Contractor to the clause(s) listed below. This certification is made under the laws of the State of California.

<i>Contractor/Proposer Firm Name (Printed)</i>		<i>Federal ID Number</i>
<i>By (Authorized Signature)</i>		
<i>Printed Name and Title of Person Signing</i>		
<i>Date Executed</i>	<i>Executed in the County of</i>	

CONTRACTOR CERTIFICATION CLAUSES

1. **STATEMENT OF COMPLIANCE**: Contractor has, unless exempted, complied with the nondiscrimination program requirements. (Gov. Code §12990 (a-f) and CCR, Title 2, Section 11102) (Not applicable to public entities.)

2. **DRUG-FREE WORKPLACE REQUIREMENTS**: Contractor will comply with the requirements of the Drug-Free Workplace Act of 1990 and will provide a drug-free workplace by taking the following actions:

a. Publish a statement notifying employees that unlawful manufacture, distribution, dispensation, possession or use of a controlled substance is prohibited and specifying actions to be taken against employees for violations.

b. Establish a Drug-Free Awareness Program to inform employees about:

- 1) the dangers of drug abuse in the workplace;
- 2) the person's or organization's policy of maintaining a drug-free workplace;
- 3) any available counseling, rehabilitation and employee assistance programs; and,
- 4) penalties that may be imposed upon employees for drug abuse violations.

c. Every employee who works on the proposed Agreement will:

- 1) receive a copy of the company's drug-free workplace policy statement; and,
- 2) agree to abide by the terms of the company's statement as a condition of employment on the Agreement.

Failure to comply with these requirements may result in suspension of payments under the Agreement or termination of the Agreement or both and Contractor may be ineligible for award of any future State agreements if the department determines that any of the following has occurred: the Contractor has made false certification, or violated the certification by failing to carry out the requirements as noted above. (Gov. Code §8350 et seq.)

3. NATIONAL LABOR RELATIONS BOARD CERTIFICATION: Contractor certifies that no more than one (1) final unappealable finding of contempt of court by a Federal court has been issued against Contractor within the immediately preceding two-year period because of Contractor's failure to comply with an order of a Federal court, which orders Contractor to comply with an order of the National Labor Relations Board. (Pub. Contract Code §10296) (Not applicable to public entities.)

4. CONTRACTS FOR LEGAL SERVICES \$50,000 OR MORE- PRO BONO REQUIREMENT: Contractor hereby certifies that Contractor will comply with the requirements of Section 6072 of the Business and Professions Code, effective January 1, 2003.

Contractor agrees to make a good faith effort to provide a minimum number of hours of pro bono legal services during each year of the contract equal to the lesser of 30 multiplied by the number of full time attorneys in the firm's offices in the State, with the number of hours prorated on an actual day basis for any contract period of less than a full year or 10% of its contract with the State.

Failure to make a good faith effort may be cause for non-renewal of a state contract for legal services, and may be taken into account when determining the award of future contracts with the State for legal services.

5. EXPATRIATE CORPORATIONS: Contractor hereby declares that it is not an expatriate corporation or subsidiary of an expatriate corporation within the meaning of Public Contract Code Section 10286 and 10286.1, and is eligible to contract with the State of California.

6. SWEATFREE CODE OF CONDUCT:

a. All Contractors contracting for the procurement or laundering of apparel, garments or corresponding accessories, or the procurement of equipment, materials, or supplies, other than procurement related to a public works contract, declare under penalty of perjury that no apparel, garments or corresponding accessories, equipment, materials, or supplies furnished to the state pursuant to the contract have been laundered or produced in whole or in part by sweatshop labor, forced labor, convict labor, indentured labor under penal sanction, abusive forms of child labor or exploitation of children in sweatshop labor, or with the benefit of sweatshop labor, forced labor, convict labor, indentured labor under penal sanction, abusive forms of child labor or exploitation of children in sweatshop labor. The contractor further declares under penalty of perjury that they adhere to the Sweatfree Code of Conduct as set forth on the California Department of Industrial Relations website located at www.dir.ca.gov, and Public Contract Code Section 6108.

b. The contractor agrees to cooperate fully in providing reasonable access to the contractor's records, documents, agents or employees, or premises if reasonably required by authorized officials of the contracting agency, the Department of Industrial Relations, or the Department of Justice to determine the contractor's compliance with the requirements under paragraph (a).

7. DOMESTIC PARTNERS: For contracts of \$100,000 or more, Contractor certifies that Contractor is in compliance with Public Contract Code section 10295.3.

8. GENDER IDENTITY: For contracts of \$100,000 or more, Contractor certifies that Contractor is in compliance with Public Contract Code section 10295.35.

DOING BUSINESS WITH THE STATE OF CALIFORNIA

The following laws apply to persons or entities doing business with the State of California.

1. CONFLICT OF INTEREST: Contractor needs to be aware of the following provisions regarding current or former state employees. If Contractor has any questions on the status of any person rendering services or involved with the Agreement, the awarding agency must be contacted immediately for clarification.

Current State Employees (Pub. Contract Code §10410):

- 1). No officer or employee shall engage in any employment, activity or enterprise from which the officer or employee receives compensation or has a financial interest and which is sponsored or funded by any state agency, unless the employment, activity or enterprise is required as a condition of regular state employment.
- 2). No officer or employee shall contract on his or her own behalf as an independent contractor with any state agency to provide goods or services.

Former State Employees (Pub. Contract Code §10411):

- 1). For the two-year period from the date he or she left state employment, no former state officer or employee may enter into a contract in which he or she engaged in any of the negotiations, transactions, planning, arrangements or any part of the decision-making process relevant to the contract while employed in any capacity by any state agency.
- 2). For the twelve-month period from the date he or she left state employment, no former state officer or employee may enter into a contract with any state agency if he or she was employed by that state agency in a policy-making position in the same general subject area as the proposed contract within the 12-month period prior to his or her leaving state service.

If Contractor violates any provisions of above paragraphs, such action by Contractor shall render this Agreement void. (Pub. Contract Code §10420)

Members of boards and commissions are exempt from this section if they do not receive payment other than payment of each meeting of the board or commission, payment for preparatory time and payment for per diem. (Pub. Contract Code §10430 (e))

2. LABOR CODE/WORKERS' COMPENSATION: Contractor needs to be aware of the provisions which require every employer to be insured against liability for Worker's Compensation or to undertake self-insurance in accordance with the provisions, and Contractor affirms to comply with such provisions before commencing the performance of the work of this Agreement. (Labor Code Section 3700)

3. AMERICANS WITH DISABILITIES ACT: Contractor assures the State that it complies with the Americans with Disabilities Act (ADA) of 1990, which prohibits discrimination on the basis of disability, as well as all applicable regulations and guidelines issued pursuant to the ADA. (42 U.S.C. 12101 et seq.)

4. CONTRACTOR NAME CHANGE: An amendment is required to change the Contractor's name as listed on this Agreement. Upon receipt of legal documentation of the name change the State will process the amendment. Payment of invoices presented with a new name cannot be paid prior to approval of said amendment.

5. CORPORATE QUALIFICATIONS TO DO BUSINESS IN CALIFORNIA:

- a. When agreements are to be performed in the state by corporations, the contracting agencies will be verifying that the contractor is currently qualified to do business in California in order to ensure that all obligations due to the state are fulfilled.
- b. "Doing business" is defined in R&TC Section 23101 as actively engaging in any transaction for the purpose of financial or pecuniary gain or profit. Although there are some statutory exceptions to taxation, rarely will a corporate contractor performing within the state not be subject to the franchise tax.
- c. Both domestic and foreign corporations (those incorporated outside of California) must be in good standing in order to be qualified to do business in California. Agencies will determine whether a corporation is in good standing by calling the Office of the Secretary of State.

6. RESOLUTION: A county, city, district, or other local public body must provide the State with a copy of a resolution, order, motion, or ordinance of the local governing body which by law has authority to enter into an agreement, authorizing execution of the agreement.

7. AIR OR WATER POLLUTION VIOLATION: Under the State laws, the Contractor shall not be: (1) in violation of any order or resolution not subject to review promulgated by the State Air Resources Board or an air pollution control district; (2) subject to cease and desist order not subject to review issued pursuant to Section 13301 of the Water Code for violation of waste discharge requirements or discharge prohibitions; or (3) finally determined to be in violation of provisions of federal law relating to air or water pollution.

8. PAYEE DATA RECORD FORM STD. 204: This form must be completed by all contractors that are not another state agency or other governmental entity.

ATTACHMENT 8

DARFUR CONTRACTING ACT

Pursuant to Public Contract Code section 10478, if a proposer currently or within the previous three years has had business activities or other operations outside of the United States, it must certify that it is not a “scrutinized” company as defined in Public Contract Code section 10476.

Therefore, to be eligible to submit a proposal, please insert your company name and Federal ID Number and complete only one of the following three paragraphs (via initials for Paragraph # 1 or Paragraph # 2, or via initials and certification for Paragraph # 3):

<i>Company/Vendor Name (Printed)</i>	<i>Federal ID Number</i>
<i>Printed Name and Title of Person Initialing (for Options 1 or 2)</i>	

1. _____ We do not currently have, and have not had within the previous three years,
 Initials business activities or other operations outside of the United States.

OR

2. _____ We are a scrutinized company as defined in Public Contract Code
 Initials section 10476, but we have received written permission from the Department of
 General Services (DGS) to submit a proposal pursuant to Public Contract Code
 section 10477(b). A copy of the written permission from DGS is included with our
 proposal.

OR

3. _____ We currently have, or we have had within the previous three years,
 Initials business activities or other operations outside of the United States,
 + certification but we certify below that we are not a scrutinized company
 below as defined in Public Contract Code section 10476.

CERTIFICATION for Paragraph # 3.

I, the official named below, CERTIFY UNDER PENALTY OF PERJURY that I am duly authorized to legally bind the prospective proposer to the clause listed above in Paragraph # 3.

This certification is made under the laws of the State of California.

<i>By (Authorized Signature)</i>	
<i>Printed Name and Title of Person Signing</i>	
<i>Date Executed</i>	<i>Executed in the County and State of</i>

ATTACHMENT 9

CALIFORNIA CIVIL RIGHTS LAWS CERTIFICATION

Pursuant to Public Contract Code section 2010, if a proposer executes or renews a contract over \$100,000 on or after January 1, 2017, the proposer hereby certifies compliance with the following:

1. **CALIFORNIA CIVIL RIGHTS LAWS:** For contracts over \$100,000 executed or renewed after January 1, 2017, the contractor certifies compliance with the Unruh Civil Rights Act (Section 51 of the Civil Code) and the Fair Employment and Housing Act (Section 12960 of the Government Code); and
2. **EMPLOYER DISCRIMINATORY POLICIES:** For contracts over \$100,000 executed or renewed after January 1, 2017, if a Contractor has an internal policy against a sovereign nation or peoples recognized by the United States government, the Contractor certifies that such policies are not used in violation of the Unruh Civil Rights Act (Section 51 of the Civil Code) or the Fair Employment and Housing Act (Section 12960 of the Government Code).

CERTIFICATION

I, the official named below, certify under penalty of perjury under the laws of the State of California that the foregoing is true and correct.

<i>Proposer Firm Name (Printed)</i>		<i>Federal ID Number</i>
<i>By (Authorized Signature)</i>		
<i>Printed Name and Title of Person Signing</i>		
<i>Date Executed</i>	<i>Executed in the County and State of</i>	

ATTACHMENT 10

IRAN CONTRACTING ACT CERTIFICATION

IRAN CONTRACTING ACT
(Public Contract Code sections 2202-2208)

Prior to bidding on, submitting a proposal or executing a contract or renewal for a State of California contract for goods or services of \$1,000,000 or more, a vendor must either: a) certify it is **not** on the current list of persons engaged in investment activities in Iran created by the California Department of General Services (“DGS”) pursuant to Public Contract Code section 2203(b) and is not a financial institution extending twenty million dollars (\$20,000,000) or more in credit to another person, for 45 days or more, if that other person will use the credit to provide goods or services in the energy sector in Iran and is identified on the current list of persons engaged in investment activities in Iran created by DGS; or b) demonstrate it has been exempted from the certification requirement for that solicitation or contract pursuant to Public Contract Code section 2203(c) or (d).

To comply with this requirement, please insert your vendor or financial institution name and Federal ID Number (if available) and complete **one** of the options below. Please note: California law establishes penalties for providing false certifications, including civil penalties equal to the greater of \$250,000 or twice the amount of the contract for which the false certification was made; contract termination; and three-year ineligibility to bid on contracts. (Public Contract Code section 2205.)

OPTION #1 - CERTIFICATION

I, the official named below, certify I am duly authorized to execute this certification on behalf of the vendor/financial institution identified below, and the vendor/financial institution identified below is **not** on the current list of persons engaged in investment activities in Iran created by DGS and is not a financial institution extending twenty million dollars (\$20,000,000) or more in credit to another person/vendor, for 45 days or more, if that other person/vendor will use the credit to provide goods or services in the energy sector in Iran and is identified on the current list of persons engaged in investment activities in Iran created by DGS.

<i>Vendor Name/Financial Institution (Printed)</i>		<i>Federal ID Number (or n/a)</i>
<i>By (Authorized Signature)</i>		
<i>Printed Name and Title of Person Signing</i>		
<i>Date Executed</i>	<i>Executed in</i>	

OPTION #2 – EXEMPTION

Pursuant to Public Contract Code sections 2203(c) and (d), a public entity may permit a vendor/financial institution engaged in investment activities in Iran, on a case-by-case basis, to be eligible for, or to bid on, submit a proposal for, or enters into or renews, a contract for goods and services.

If you have obtained an exemption from the certification requirement under the Iran Contracting Act, please fill out the information below, and attach documentation demonstrating the exemption approval.

<i>Vendor Name/Financial Institution (Printed)</i>		<i>Federal ID Number (or n/a)</i>
<i>By (Authorized Signature)</i>		
<i>Printed Name and Title of Person Signing</i>		<i>Date Executed</i>

ATTACHMENT 11

SMALL BUSINESS OR MICROBUSINESS PREFERENCE

(If Applicable)

Small Business or Microbusiness Preference – <https://www.dgs.ca.gov/PD/About/Page-Content/PD-Branch-Intro-Accordion-List/Office-of-Small-Business-and-Disabled-Veteran-Business-Enterprise/Certification-Program>

A five percent (5%) preference will be applied to certified small business firms submitting proposals. To obtain the preference, firms must be certified as a small business at the time the proposal is submitted. The firm MUST include an updated copy of their Small Business Certificate to obtain the preference. The 5% preference is issued only for computation purposes to arrive at the successful firms and does not alter the amounts of the actual proposals. Once each proposal has been scored, if the highest responsible firm is not a certified small business or microbusiness, 5% of the highest scoring proposal is added to the total “earned” points for each proposal submitted by a certified small business. These final numbers, with the 5% included, are then used to determine the highest scoring proposal.

Questions regarding the small business certification or preference approval should be directed to the Office of Small Business and DVBE Services (OSDS) at (916) 375-4940 or can be found at the website listed above.

ATTACHMENT 12

NON-SMALL BUSINESS PREFERENCE

(If Applicable)

Non-Small Business Preference – <https://www.dgs.ca.gov/PD/About/Page-Content/PD-Branch-Intro-Accordion-List/Office-of-Small-Business-and-Disabled-Veteran-Business-Enterprise/Certification-Program>

A five percent (5%) proposal preference is available to a non-small business claiming twenty-five percent (25%) California certified small business subcontractor participation. If claiming the non-small business subcontractor preference, the proposal response must include a list of the small business(es) with which the firm commits to subcontract in an amount of at least 25% of the net proposal price with one or more California certified small businesses. Each listed certified small business must perform a "commercially useful function" in the performance of the contract as defined in Government Code Section 14837(d)(4).

The required list of California certified small business subcontractors must be attached to the proposal response and must include the following: 1) subcontractor name, 2) address, 3) phone number, 4) a description of the work to be performed and/or products supplied; and 5) the dollar amount or percentage of the net proposal price (as specified in the solicitation) per subcontractor.

Firms claiming the 5% preference must commit to subcontract at least 25% of the net proposal price with one or more California certified small businesses. Completed certification applications and required support documents must be submitted to the OSDS no later than 5:00 p.m. on the proposal due date, and the OSDS must be able to approve the application as submitted. Questions regarding certification should be directed to the OSDS at (916) 375-4940.

The preference to a non-small business firm that commits to small business or microbusiness subcontractor participation of 25% of its net proposal price shall be 5% of either the lowest, responsive, responsible firm's price or the highest responsive, responsible firm's total score. A non-small business, which qualifies for this preference, may not take an award away from a certified small business.

ATTACHMENT 13

CALIFORNIA DISABLED VETERAN BUSINESS ENTERPRISE (DVBE) PROGRAM PARTICIPATION INSTRUCTIONS

(If Applicable)

DVBE PARTICIPATION REQUIREMENT. The Disabled Veteran Business Enterprise (DVBE) Participation Goal Program for State contracts is established in Public Contract Code (PCC) section 10115 et seq., Military and Veterans Code (MVC) section 999 et seq., and California Code of Regulations (CCR), title 2, section 1896.60 et seq. **This solicitation DOES NOT include a minimum DVBE participation requirement. DVBE participation is NOT required in the proposal. However, a DVBE incentive will be applied as provided below.**

DVBE INCENTIVE. The State will apply a DVBE incentive for responsive proposals (herein “proposal” or “proposals”) from responsible proposers that propose DVBE participation. The DVBE incentive will vary in relation to the percentage of confirmed DVBE participation. The following percentages shall apply.

Confirmed DVBE Participation of	DVBE Incentive
5% and above	5%
4% to 4.99% inclusive	4%
3% to 3.99% inclusive	3%
2% to 2.99% inclusive	2%
1% to 1.99% inclusive	1%

As applicable: (1) **Awards based on low price** – The DVBE incentive is applied by reducing the proposal price by the amount of DVBE incentive as computed from the lowest responsive proposal price submitted by a responsible proposer. The DVBE incentive is for evaluation purposes only. Application of the DVBE incentive shall not displace an award to a small business with a non-small business.

(2) **Awards based on high score** – The DVBE incentive is a percentage of the total possible available points, not including points for socioeconomic incentives or preferences. The DVBE incentive points are included in the sum of non-cost points. The DVBE incentive points cannot be used to achieve any applicable minimum point requirements.

DVBE PARTICIPATION COMMITMENT. **Proposers seeking the DVBE incentive must submit a completed Disabled Veteran Business Enterprise Declaration, STD. 843, which demonstrates DVBE participation and qualification for a DVBE incentive.** All disabled veteran owners and disabled veteran managers of the DVBE(s) must sign the form(s) which may be obtained through the following link: https://www.documents.dgs.ca.gov/dgs/fmc/gq/pd/pd_843.pdf.

The completed form should be included with the submitted proposal.

DVBE participation information submitted by the intended awardee will be verified by the State. If evidence of an alleged violation is found during the verification process, the State or the Department of General Services, Office of Small Business and DVBE Services (OSDS) shall initiate an investigation in accordance with PCC section 10115 et seq., MVC section 999 et seq., and CCR, title 2, section 1896.60 et seq. Contractors found to be in violation of certain provisions may be subject to loss of certification, contract termination, and/or other penalties.

Only State of California OSDS certified DVBEs that perform a commercially useful function relevant to this solicitation may be used for the DVBE incentive and to comply with the DVBE Participation Goal Program. Please see MVC section 999(b) and CCR, title 2, section 1896.62(f) regarding the performance of a commercially useful function. Proposers are to verify each DVBE subcontractor’s certification with OSDS to ensure DVBE eligibility. Proposers cannot demonstrate DVBE incentive eligibility and DVBE Participation Goal Program compliance by performing a good faith effort.

At the State’s option prior to contract award, proposers may be required to submit additional written clarifying information. Failure to submit the requested written information as specified may be grounds for proposal rejection.

RESOURCES AND INFORMATION*

U.S. Department of Labor:

System for Award Management Formerly Central Contractor
Registration on-line database
<https://www.dol.gov/general/business-ccr>

FOR:

Service-Disabled Veteran-Owned
Businesses in California

Local Organizations:

DVBE local contacts
www.pd.dgs.ca.gov/smbus

FOR:

List of Potential DVBE Subcontractors

**Department of General Services, Procurement Division
(DGS-PD) eProcurement:**

Website: <https://caleprocure.ca.gov/pages/index.aspx>
Phone: (916) 375-2000
Email: eprocure@dgs.ca.gov

FOR:

- SB/DVBE Search
- CSCR Advertisements
- Training Modules

**DGS-PD Office of Small Business and DVBE Services
(OSDS):**

707 Third Street, Room 1-400, West Sacramento, CA 95605
Website: www.pd.dgs.ca.gov/smbus
OSDS Receptionist: (916) 375-4940
PD Receptionist: (800) 559-5529
Fax: (916) 375-4950
Email: osdchelp@dgs.ca.gov

FOR:

- Directory of OSDS Certified DVBEs
- Certification Applications
- Certification Information
- Certification Status, Concerns
- General DVBE Program Information
- DVBE Business Utilization Plan
- SB/DVBE Advocates
- Lists of Trade and Focus Publications

Commercially Useful Function Definition

Military and Veterans Code section 999(b)
California Code of Regulations, title 2, section 1896.62(/)

*Contact information and available resources may be subject to change by the respective administration, department, division, or office. DVBEs must be certified by OSDS.

ATTACHMENT 14

TARGET AREA CONTRACT PREFERENCE ACT (TACPA)

(If Applicable)

The Target Area Contract Preference Act (TACPA) economic stimulus preference program was established to stimulate business investment in distressed areas of the state and create job opportunities for Californians for improving the economic vitality of their communities. TACPA is regulated by Government Code Sections 4530-4535.3 and California Code of Regulations 1896.30-1896.40. Any vendor whose bid is over \$100,000 may apply for Target Area Contract Preference Act (TACPA) preference. TACPA provides 5 to 9 percent preferences for a California business that is located in the qualified zone.

Proposers wishing to take advantage of the TACPA preference will need to review the following website and submit the appropriate response with the proposal: (<https://www.dgs.ca.gov/PD/Services/Page-Content/Procurement-Division-Services-List-Folder/Request-a-Target-Area-Contract-Preference>)

ATTACHMENT 15

BIDDER DECLARATION

Submission of the completed Bidder Declaration (GSPD 05-105) is mandatory for all submissions. In the Bidder Declaration (GSPD 05-105) suppliers are required to identify they are a DVBE and to identify any DVBE subcontractors, their proposed contract function, and the corresponding percentage of participation.

Click here to access the Bidder Declaration (GSPD 05-105) form:

<https://www.documents.dgs.ca.gov/dgs/fmc/gspd/gspd05-105.pdf>

SCO ID:

0971CAEATFA0221

STATE OF CALIFORNIA - DEPARTMENT OF GENERAL SERVICES

STANDARD AGREEMENT

STD 213 (Rev. 04/2020)

AGREEMENT NUMBER SAMPLE	PURCHASING AUTHORITY NUMBER (If Applicable)
-----------------------------------	---------------------------------------------

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

CONTRACTING AGENCY NAME

California Alternative Energy and Advanced Transportation Financing Authority (CAEATFA)

CONTRACTOR NAME

(To be determined)

2. The term of this Agreement is:

START DATE

May 29, 2022 (or upon approval by the Department of General Services, whichever is later)

THROUGH END DATE

May 28, 2025

3. The maximum amount of this Agreement is:

\$1,800,000.00 (One Million Eight Hundred Dollars and Zero Cents)

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	6
Exhibit B	Budget Detail and Payment Provisions	3
Exhibit C *	General Terms and Conditions - GTC 04/2017	1
Exhibit D	Special Terms and Conditions	7
Exhibit D, Attachment 1	Key Personnel Resumes	
Exhibit E	Additional Provisions	1
Exhibit F	Third Party Agreement Provisions	7
Exhibit F, Attachment 1	Information Security Requirements	4
	RFP and Provider's response are incorporated by reference and made a part of this Agreement	

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.dqs.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.)

(To be determined)

CONTRACTOR BUSINESS ADDRESS	CITY	STATE	ZIP
PRINTED NAME OF PERSON SIGNING	TITLE		
CONTRACTOR AUTHORIZED SIGNATURE	DATE SIGNED		

STATE OF CALIFORNIA

CONTRACTING AGENCY NAME

California Alternative Energy and Advanced Transportation Financing Authority

CONTRACTING AGENCY ADDRESS 915 Capitol Mall	CITY Sacramento	STATE CA	ZIP 95814
PRINTED NAME OF PERSON SIGNING	TITLE		

Derek Chernow

Executive Director

CONTRACTING AGENCY AUTHORIZED SIGNATURE

DATE SIGNED

CALIFORNIA DEPARTMENT OF GENERAL SERVICES APPROVAL

EXEMPTION (If Applicable)

SAMPLE

EXHIBIT A
(Standard Agreement)

SCOPE OF WORK

1. Scope of Work

Under the general direction of CAEATFA's Executive Director or designee, Provider will provide the services outlined below in a manner consistent with Program regulations. At the time the selected firm comes under contract, the tasks set forth below will already have been implemented, to various degrees, in the GoGreen Home and GoGreen Business¹ Programs. The firm selected through this RFP will assume responsibility for such tasks, review and improve the effectiveness of prior approaches, and implement similar scopes of services as set forth below for the duration of the Programs through the full term of the Contract. Tasks in some of these categories require coordination with CAEATFA and other vendors and stakeholders of the Programs, such as Participating Lenders and the Marketing Implementer. The Scope of Work broadly falls into the six categories listed below. Specific tasks may change as the Programs continue to develop and evolve. The six categories of tasks in this Scope of Work are:

- i. Initial contractor recruitment, enrollment and training Contractor Training
- ii. Enrolled contractor engagement and support
- iii. Strategic partnership development and engagement
- iv. Compliance and verification
- v. Data management, insights and reporting
- vi. Program design assistance/task orders

a. Initial contractor recruitment, enrollment and training

The Programs rely on the participation of contractors to offer Program financing to their customers. Contractors who wish to participate in the Programs must meet eligibility requirements and undergo an enrollment process comprising application; an on-demand online training; and approval. The Provider will perform the following tasks associated with contractor recruitment, enrollment and training:

- i. Conduct research, targeting, lead generation and comprehensive outreach. Recruit contractors to the Programs through meetings, conferences, workshops, calls, webinars, e-mails, social media, and other appropriate tactics.
- ii. Nurture leads through the training, application and enrollment processes. Offer customized program introductions and training seminars for large or high-priority contractor companies as needed.
- iii. Manage the overall contractor enrollment process, including reviewing contractor applications to ensure all eligibility requirements have been met and assist contractors with their applications.
- iv. Develop, maintain and update on-demand online training content, Contractor Manuals, and marketing collateral/resources for interested contractors that describe program requirements and benefits. Review and suggest updates to contractor recruitment information on the GoGreen Financing website.

¹ Please note that "contractor" below also includes "project developers" for GoGreen Business.

EXHIBIT A
(Standard Agreement)

- v. Manage and maintain CAEATFA's online Learning Management System (LMS) training platform (e.g. managing users, assisting contractors taking training, and monitoring progress of contractors through the training process).
- vi. Coordinate on efforts to recruit high-priority contractor company leads (such as new project developers) with CAEATFA.
- vii. Continually review recruitment strategies and adjust as indicated to grow contractor enrollment and participation across target geographic areas and industries.
- viii. If CAEATFA receives the authority to expand the Programs to include other types of clean energy technology, develop a recruitment strategy and plan for contractors engaged in technologies such as onsite generation, battery storage and EV charging.

b. Enrolled contractor engagement and support

Providing enrolled contractors with the support they need to successfully utilize the Programs is critical to the Programs' overall success, thus CAEATFA will place a high priority on Provider proposals that show particular strength in this area. The Provider will perform the following tasks associated with engagement and support for enrolled contractors:

- i. Serve as the primary point of contact and the "face" of the Program for enrolled contractors. Provide ongoing support via phone, email, LPMS, and other appropriate methods to assist contractors in successfully utilizing the Programs, connecting with finance companies, understanding the different finance company processes and products offered, and properly filling out Program forms or providing required data through Program platforms.
- ii. Ensure accessibility for contractor questions and inquiries. Provide responses to and explanations for rejected project scopes through the LPMS within 1 business day.² Maintain awareness of personnel changes at contractor companies and offer support to ensure continued Program involvement. Maintain updated reference materials, fact sheets, toolkits, manuals and other resources to complement trainings and assist contractors with project eligibility, documentation requirements, and incorporation of financing into their sales.
- iii. Continuously engage contractors to foster trust in the Program. Sustain regular communications with contractors through a frequent schedule of ongoing touch points. Keep contractors informed of Program updates, new lender offerings, changes in the list of eligible measures that may be financed, and other relevant and beneficial information. Serve as a subject-matter expert on the needs, challenges, and preferences of enrolled contractors.
- iv. Welcome and support newly enrolled contractors through a "hands-on" onboarding process that includes walk-throughs of available resources and the LPMS, introductions to lenders serving their region, identifying eligible projects, and coaching on explaining the financing offerings to their customers. Provide special

² During the first year of the LPMS operation, CAEATFA staff plans to have primary responsibility for project approvals. Once operations are smooth, CAEATFA and the Contractor Manager may decide that it makes sense for the Contractor Manager to assume this role.

EXHIBIT A
(Standard Agreement)

support for new contractors' first few project enrollments, including preparing them for desktop reviews and installation verifications.

- v. Segment and categorize enrolled contractor companies by their approach to financing, business area, degree of participation in the Programs, etc. Identify needs of each segment and set appropriate engagement, collaboration and coaching strategies, such as providing direct, hands-on assistance in enrolling a project to contractors who have not yet done so.
- vi. Identify, suggest and develop needed Program trainings and resources for enrolled contractors (e.g., video walk-through of a monthly payment calculator, explanation of new program features like on-bill repayment, summary of project compliance requirements).
- vii. Identify, suggest and develop needed marketing collateral for enrolled contractors to use to explain the Programs to their customers (e.g., financing option comparison chart, talking points for responding to common customer questions).
- viii. Maintain an understanding of different finance companies' processes in working with contractors. Field occasional questions from finance companies participating in the Programs related to contractors and contractor scopes of work, and customer concerns related to their contractor. Coordinate with CAEATFA to resolve disputes.

c. Strategic partnership development and engagement

Provider will support engagement with channel partners with aligned interests in increasing customer uptake of energy efficiency projects, such as Regional Energy Networks (RENs), Community Choice Aggregators (CCAs), Investor-Owned Utility (IOU) programs and their third-party implementers, and more. The Provider will coordinate with CAEATFA on this task to avoid duplicative outreach efforts and ensure cohesion between outreach and Program needs. The Provider will perform the following tasks associated with engagement and support for Program partners:

- i. Identify and recommend target organizations beyond individual contractor companies (e.g., utility programs, trade associations) for the purposes of contractor recruitment or engagement and cross-promotion of financing programs to relevant audiences.
- ii. Facilitate opportunities for trainings, seminars, marketing, etc. between CHEEF Programs and relevant channel partners of interest.
- iii. Maintain strong and productive relationships with identified channel partners and implement agreed-upon joint activities, such as coordinated marketing campaigns or customized collateral preparation.

d. Compliance and verification

The objective of compliance and verification is to provide reasonable assurance that contractors are adhering to Program rules and permitting requirements and acting truthfully. This assurance is provided by performing sufficient checks such that all contractors are aware of the potential of their project being reviewed or inspected, contractors making mistakes can be identified and coached toward correction, and bad actors can be identified

EXHIBIT A
(Standard Agreement)

and removed from the Program. While compliance is taken very seriously, these tasks should be conducted with a spirit of fostering success and deepening an understanding of contractor challenges in this area.

- i. On a quarterly basis, confirm that enrolled contractors meet criteria to maintain participating contractor status, including a current CSLB license that is free of discipline and other requirements as appropriate.
- ii. Develop and implement a plan to ensure overall project and Program compliance from contractors, including:
 - Selection criteria, procedures, tracking, and communications related to desktop reviews and installation verifications.
 - Contractor corrective discipline, including coaching, remediation, and eventual Program removal.
 - Assistance for contractors with navigating combustion safety testing resources, finding combustion safety testers, and pricing projects to include combustion safety testing in the financed amount, when needed.
- iii. Conduct **desktop reviews** on a portion of completed projects (the portion to be determined jointly by CAEATFA and Provider based on budget and Program needs) to confirm compliance with Program rules. The scope of desktop audits will be determined jointly by CAEATFA and Provider and may include reviews of project and measure data submitted to the Program, invoices provided to the customer, permit records, and/or safety test records. Desktop reviews serve the purpose of confirming compliance with Program rules around measure and project eligibility as well as combustion safety testing, permitting, and confirming truthfulness in reporting of data to the Programs.
- iv. Perform virtual and/or on-site **installation verifications** on a portion of completed projects (the portion to be determined jointly by CAEATFA and Provider based on budget and Program needs) to verify that equipment was installed as reported to the Program and is operable. Inspections do not include an assessment on the quality of the installation or compliance with code.³
- v. Provide implementable Program design recommendations to CAEATFA related to combustion safety testing, permit compliance, and other consumer protection aspects.

e. Data management, insights and reporting

Provider will keep diligent records of contractor information and Program interactions to inform accurate public listing information, promote high-quality engagement and share insights with CAEATFA. These responsibilities include:

- i. Provide regular updates to CAEATFA on quantitative outcomes for tasks and efforts. Share qualitative, in-depth insights regarding contractor sentiments, challenges, successes, patterns of activity, preferences, needs, and concerns on an ongoing basis.

³ Program rules require contractors to pull and complete permits for any work that requires them. These verifications are not intended to duplicate local government inspection and oversight.

EXHIBIT A
(Standard Agreement)

- ii. Evaluate success of projects and initiatives and provide recommendations for improvements and course correction to CAEATFA.
- iii. Develop and maintain data sets related to contractor recruitment, including data points such as the names of active leads, records of contact with the Program, and their status in the enrollment process.
- iv. Develop and maintain data sets related to enrolled contractors, including data points such as up-to-date contact information, types of services provided, locations served, key personnel, Program status (e.g., enrolled, suspended, removed), and records of interaction with the Program. Provide regular reports or make data available in a format approved by CAEATFA to CAEATFA, the LPMS, participating finance companies, the Marketing Implementer, and other stakeholders as needed/upon request.
- v. Develop and maintain data sets related to Program compliance, including data points such as results of desktop reviews and installation verifications, corrective actions taken, and the overall QA/QC process.
- vi. Integrate data sets with Program tools and databases, such as the GoGreen Business User Interface and CAEATFA's forthcoming Loan & Project Management System.
- vii. Coordinate with the Marketing Implementer to maintain accurate public listing information for enrolled contractors on GoGreenFinancing.com. Maintain a publicly accessible, searchable map of enrolled contractors by their location.

f. Task orders

If requested by CAEATFA and agreed upon in advance by CAEATFA and the Provider in written Task Orders, the Provider will execute additional special initiatives related to contractor recruitment, engagement, compliance, and other tasks as needed. The Contractor Manager will develop plans, process flows, contracts, budgets, etc. for new Task Orders and fully implement them according to the guidelines agreed upon by CAEATFA and the Provider. Task Orders will not increase the total not-to-exceed cost of this Contract. Specific deliverables, responsibilities, and timetables will be established by and between CAEATFA and the Provider in writing prior to commencement of work, and all approved Task Orders shall be made a part of this Contract. Examples of potential Task Orders may include:

- i. A one-time initiative to train, onboard, and migrate enrolled contractors to use the Loan & Project Management System
- ii. Development of a new online training module, such as how contractors can use interest rate buy-downs for their sales

2. Term of Agreement

The term of the Agreement will be for a three-year period beginning May 29, 2022 through May 28, 2025 and services shall not exceed \$1,800,000. CAEATFA will have the option for two (2) one-year extensions valued at up to \$500,000 each. The total Contract amount may not exceed \$2.8 million over the entire term of the agreement including all optional extensions. The effective date is either the proposed award date (Section C.1. of RFP #CAEATFA02-21), or the date of approval of the Agreement by DGS. Work shall not commence until the effective date.

**EXHIBIT A
(Standard Agreement)**

3. Project Representatives

State Agency: California Alternative Energy and Advanced Transportation Financing Authority (CAEATFA)	Contractor:
Name: Derek Chernow, Executive Director	Name:
Address: 915 Capitol Mall Sacramento, CA 95814	Address:
Phone: (916) 653-8157	Phone:
Fax: (916) 589-2855	Fax:
Email: derek.chernow@treasurer.ca.gov	Email:

Direct all inquiries to:

State Agency: California Alternative Energy and Advanced Transportation Financing Authority (CAEATFA)	Contractor:
Section/Unit: CAEATFA	Section/Unit:
Attention: Jennifer Gill	Attention:
Address: 915 Capitol Mall Sacramento, CA 95814	Address:
Phone: (916) 653-3033	Phone:
Fax: (916) 589-2855	Fax:
Email: jgill@treasurer.ca.gov	Email:

**EXHIBIT B
(Standard Agreement)**

BUDGET DETAIL AND PAYMENT PROVISIONS

1. Invoicing and Payment

For services satisfactorily rendered, and upon receipt and approval of invoices, in consideration of the services described in Exhibit A, Scope of Work, CAEATFA agrees to pay the Provider based on the rate schedule provided in the Provider’s proposal, which is attached hereto and made a part of this Agreement. The State agrees to compensate the Provider for actual expenditures incurred in accordance with the rates specified below and attached hereto as Provider’s Cost Proposal.

Staff Name	Title	Hourly Rate(s)

- a. Task Orders: The Provider shall perform services designated by CAEATFA under specific Task Order work assignments, as mutually agreed upon in writing by CAEATFA and the Provider. Upon CAEATFA’s written request of the Provider for specific task deliverables to be completed by a due date, the Provider shall provide the Executive Director with a detailed work plan, to include: a description of the activities to be performed and hours proposed by task and by individual; a proposed schedule for task completion, including any deliverable items required during or at completion of the task order work assignment; and estimated reimbursable expenses. Payment for specific Task Order assignments shall not exceed the amount of the Task Order and must be approved in writing in advance by the Executive Director.
- b. Progress payments are permitted for work completed under this Agreement. Ten percent (10%) of the invoiced amount may be withheld pending final completion of each task and acceptance by CAEATFA, upon which CAEATFA will disburse the remaining 10% held back and owing to the Provider.
- c. The Provider will submit invoices for review and approval (as described in the Sample Billing provided on page 3 below) that clearly identify the Task Order associated with each line item. The Provider shall work with CAEATFA in an ongoing manner to ensure that monthly invoicing conforms to contract terms and is conducive to accurate contract accounting and reporting.
- d. Invoices shall be provided to CAEATFA on a **monthly** basis in arrears, shall include Agreement Number CAEATFA02-21, the specific dates (month, day and year) covered by the invoice, and be addressed as follows:

Derek Chernow, Executive Director
 California Alternative Energy and Advanced Transportation
 Financing Authority (CAEATFA)
 915 Capitol Mall
 Sacramento, California 95814

**EXHIBIT B
(Standard Agreement)**

Invoices shall also be sent via email to caeatfa@sto.ca.gov, jessica.arceo@treasurer.ca.gov, and jennifer.gill@treasurer.ca.gov with copies to other CAEATFA personnel as instructed at the commencement of the Contract.

Itemized billings must include the following:

- i. Project name, Agreement Number, Task Order number, name(s) of individual(s) who performed work, services provided, and dates and hours worked at the approved rates.
- ii. Itemized reimbursable expenses, along with receipts.
- iii. Sufficient detail regarding the activity engaged in or the services provided includes, at a minimum:
 - For preparation of documents, a brief description of the document prepared;
 - For attendance, or preparation for attendance, at a meeting, hearing, or other event, a brief description of the purpose of the meeting, hearing or event;
 - For telephone conversations, the name of the party/ies to the conversation and a brief description of the subject matter discussed;
 - For strategy conferences, the name of the parties participating in the strategy conference and a brief description of the subject matter discussed; and for research, a brief description of the issues researched.
- e. All travel must be pre-approved by the Executive Director. Travel, transportation and per diem expenses shall not exceed the rates payable to State employees.
- f. The initial maximum amount of compensation to Provider under this Agreement shall not exceed **\$1,800,000.00** for the three-year period. CAEATFA will have the option for two (2) one-year extensions valued at up to \$500,000 each. The total Contract amount may not exceed \$2,800,000.00 over the entire term of the agreement including all optional extensions.

2. Budget Contingency Clause

- a. 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 program, 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 Provider or to furnish any other considerations under this Agreement and Provider shall not be obligated to perform any provisions of this Agreement.
- b. 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 Provider to reflect the reduced amount.

3. Prompt Payment Clause

Payment will be made in accordance with, and within the time specified in, Government Code Chapter 4.5, commencing with Section 927.

**EXHIBIT B
(Standard Agreement)**

**SAMPLE BILLING
(Provider Firm's Letterhead)**

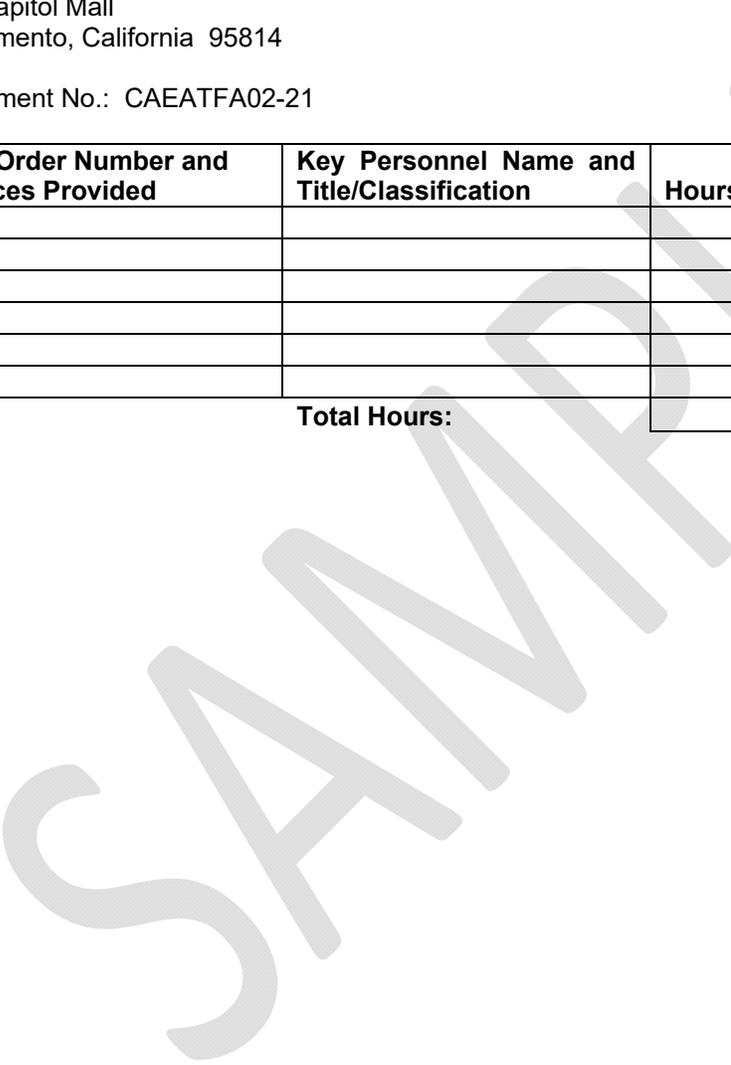
Invoice No. _____

Invoice Date: _____

Derek Chernow, Executive Director
California Alternative Energy and Advanced Transportation
Financing Authority (CAEATFA)
915 Capitol Mall
Sacramento, California 95814

Agreement No.: CAEATFA02-21

Task Order Number and Services Provided	Key Personnel Name and Title/Classification	Hours	Amount/Hour	Cost
				\$
Total Hours:			TOTAL COST:	\$



**EXHIBIT C
(Standard Agreement)**

GENERAL TERMS AND CONDITIONS

Exhibit C to this Agreement, the General Terms and Conditions (GTC 04/2017), is hereby incorporated by reference and made part of this Agreement as if attached hereto. The General Terms and Conditions may be viewed and downloaded at <https://www.dgs.ca.gov/OLS/Resources/Page-Content/Office-of-Legal-Services-Resources-List-Folder/Standard-Contract-Language>.

SAMPLE

**EXHIBIT D
(Standard Agreement)**

SPECIAL TERMS AND CONDITIONS

1. Excise Tax

The State of California is exempt from federal excise taxes, and no payment will be made for any taxes levied on employees' wages. The State will pay for any applicable State of California or local sales or use taxes on the services rendered or equipment or parts supplied pursuant to this Agreement. California may pay any applicable sales and use tax imposed by another state.

2. Settlement of Disputes

In the event of a dispute, Contractor shall file a "Notice of Dispute" with a Deputy Treasurer of the State Treasurer's Office within ten (10) days of discovery of the problem. Within ten (10) days, the Deputy Treasurer shall meet with the representatives of Contractor and the State identified in Section 3 of Exhibit A for purposes of resolving the dispute. The decision of the Deputy Treasurer shall be final.

In the event of a dispute, the language contained within this Agreement shall prevail over any other language including that of any bid proposal.

3. Evaluation of Contractor

Pursuant to Public Contract Code sections 10367 and 10369 within sixty (60) days after the completion of this Agreement, the State shall complete a written evaluation of Contractor's performance under this Agreement. If this Agreement is a contract for consultant services and if Contractor did not satisfactorily perform the work, a copy of the evaluation will be sent to the Department of General Services (DGS), Office of Legal Services, and to the Contractor within fifteen (15) working days of the completion of the evaluation in accordance with Public Contract Code section 10371.

4. No Agency Liability

The Contractor warrants by execution of this Agreement that no person or selling agency has been employed or retained to solicit or secure this Agreement upon agreement or understanding for a commission, percentage, brokerage, or contingent fee, excepting bona fide employees or bona fide established commercial or selling agencies maintained by the Contractor for the purpose of securing business. For breach or violation of this warranty, the State shall, in addition to other remedies provided by law, have the right to annul this Agreement without liability, paying only for the value of the work actually performed, or otherwise recover the full amount of such commission, percentage, brokerage, or contingent fee.

5. Potential Subcontractors

Nothing contained in this Agreement or otherwise, shall create any contractual relationship between the State and any subcontractors, and no subcontract shall relieve the Contractor of his responsibilities and obligations hereunder. The Contractor agrees to be as fully responsible to the State for the acts and omissions of its subcontractors and of persons either directly or indirectly employed by any of them as it is for the acts and omissions of persons directly employed by the Contractor. The Contractor's obligation to pay its subcontractors is an independent obligation from the obligation of the State to make payments to the Contractor. As a result, the State shall have no obligation to pay or to enforce the payment of any moneys to any subcontractor.

**EXHIBIT D
(Standard Agreement)**

6. Force Majeure

Neither party to this Agreement shall be liable for damages resulting from delayed or defective performance when such delays arise out of causes beyond the control and without the fault or negligence of the offending party. Such causes may include, but are not restricted to, acts of God or of the public enemy, acts of the State in its sovereign capacity, fires, floods, power failure, disabling strikes, epidemics, quarantine restrictions, and freight embargoes.

7. Waivers

No delay on the part of any party in exercising any right, power or privilege hereunder shall operate as a waiver thereof, nor shall any waiver on the part of any party of any right, power or privilege hereunder, nor any single or partial exercise of any right, power or privilege hereunder, preclude any other or further exercise thereof or the exercise of any other right, power or privilege hereunder.

8. Incorporation of Amendments to Applicable Laws

Any references to sections of federal or state statutes or regulations shall be deemed to include a reference to any amendments thereof and any successor provisions thereto.

9. Confidentiality

All financial, statistical, personal, technical and other data and information relating to the operations of the State which are designated confidential by the State and become available to Contractor shall be protected by Contractor from unauthorized use and disclosure.

10. Titles/Section Headings

Titles and headings are for convenience of reference only, and shall have no effect on the construction or legal effect of this Agreement.

11. Choice of Law

Notwithstanding Paragraph 14 of Exhibit C (General Terms and Conditions), this Agreement shall be administered, construed, and enforced according to the laws of the State of California (without regard to any conflict of laws' provisions) to the extent such laws have not been preempted by applicable federal law. Any suit brought hereunder, including any action to compel arbitration or to enforce any award or judgment rendered thereby, shall be brought in state court sitting in Sacramento, California, the parties hereby waiving any claim or defense that such forum is not convenient or proper. Each party agrees that any such court shall have in personam jurisdiction over it and consents to service of process in any manner authorized by California law.

12. Notices

The parties agree that to avoid unreasonable delay in the progress of the services performed hereunder, Contractor and the State have designated in Section 3 of Exhibit A specific staff representatives for the purpose of communication between the parties. Any notice or other written communication required or which may be given hereunder shall be deemed given when delivered personally, or by mail three (3) days after the date of mailing, unless by express mail then upon the date of confirmed receipt, to the representatives named in Section 3 of Exhibit A.

EXHIBIT D
(Standard Agreement)

Either party hereto may, from time to time by notice in writing served upon the other as aforesaid, designate a different mailing address or a different or additional person to which all such notices or demands thereafter are to be addressed.

13. Permits and Licenses

Contractor shall carry out its duties and responsibilities herein in accordance with, be limited in the exercise of its rights by, and observe and comply with, all federal, state, city and county laws, rules or regulations affecting services under this Agreement. Contractor shall procure and keep in full force and effect during the term of this Agreement all permits and licenses necessary to accomplish the work contemplated in this Agreement.

14. Books and Records

Contractor shall keep accurate books and records connected with the performance of this Agreement for a period of at least three (3) years. Contractor shall ensure that books and records of subcontractors, suppliers, and other providers shall also be accurately maintained. Such books and records shall be kept in a secure location and shall be available for inspection and copying by the State and its representatives at any time.

15. Key Personnel

- a. A resume for each member of Contractor's staff who will exercise a significant administrative, policy, or consulting role under this Agreement is attached to this Agreement as Exhibit D, Attachment 1. These members of Contractor's staff shall be hereafter referred to (both individually and collectively) as "Key Personnel."
- b. Contractor shall not substitute, replace, or reassign Key Personnel without the prior approval of the State.
- c. This Agreement may be terminated immediately, in the sole discretion of the State and upon written notice from the State to Contractor, because of any change in or departure of any of the Key Personnel.

16. Changes in Control, Organization or Key Personnel

Contractor shall promptly, and in any case within five (5) days, notify the State in writing: (i) if any of Contractor's representations and warranties, as set forth in this Agreement, cease to be true at any time during the term of this Agreement; (ii) of any change in Contractor's staff who exercises a significant administrative, policy, or consulting role under this Agreement, including without limitation any Key Personnel; (iii) of any change in the majority ownership, control, or business structure of Contractor; or (iv) of any other material change in Contractor's business, partnership or corporate organization. All written notices from Contractor under this provision shall contain sufficient information to permit the State to evaluate the changes within Contractor's staff or organization under the same criteria as was used by the State in its award of this Agreement to Contractor.

17. Insurance Requirements

Contractor warrants that it carries adequate liability, worker's compensation and other necessary insurance and shall maintain such insurance at levels acceptable to the State in full force and effect during the term of this Agreement. Contractor agrees to furnish satisfactory evidence of this insurance coverage to the State upon request.

**EXHIBIT D
(Standard Agreement)**

18. Subcontractors

- a. Contractor shall perform the work contemplated by this Agreement with resources available within its own organization except for subcontracted work identified in this Agreement or other attachment incorporated hereto. No other portion of the work pertinent to this Agreement shall be subcontracted without written authorization by the State. The subcontractor must be mutually agreed upon in advance by both parties.
- b. Contractor shall require that any subcontractor agree to be bound by all provisions of this Agreement, as applicable.

19. Notice of Proceedings

Contractor shall promptly notify the State in writing of any investigation, examination or other proceeding involving Contractor, including any Key Personnel, commenced by any regulatory agency, which proceeding is not conducted in the ordinary course of Contractor's business.

20. Cumulative Remedies

The rights and remedies provided herein are cumulative and are not exclusive of any rights or remedies that any party may otherwise have at law or in equity.

21. Binding Effect

This Agreement, any instrument or agreement executed pursuant to this Agreement, and the rights, covenants, conditions and obligations of Contractor and the State contained therein, shall be binding upon the parties and their successors, assigns and legal representatives.

22. Publicity

No publicity release or announcement concerning this Agreement or the transactions contemplated herein shall be issued by Contractor without advance written approval by the State.

23. Services or Procurement Resulting from Agreement

Neither Contractor, nor any of its subsidiaries, officers or directors, may submit a bid or be awarded a contract for the provision of services, procurement of goods or supplies, or any other related action which is required, suggested, or otherwise deemed to be an outgrowth of the advice or recommendations that Contractor provides under this Agreement.

24. Agreement Does Not Violate Law

Contractor represents and warrants that neither the execution of this Agreement nor the acts contemplated hereby nor compliance by Contractor with any provisions hereof will:

- a. Violate any provision of the charter documents of Contractor;
- b. Violate any statute or law or ordinance or any judgment, decree, order, regulation or rule of any court or governmental authority applicable to Contractor; or
- c. Violate, or be in conflict with, or constitute a default under, or permit the termination of, or require the consent of any person under, any agreement to which Contractor may be bound, the violation

EXHIBIT D
(Standard Agreement)

of which in the aggregate would have a material adverse effect on the properties, business, prospects, earnings, assets, liabilities or condition (financial or otherwise) of Contractor.

25. Power and Authority

Contractor represents and warrants that it has the power and authority to enter into this Agreement and to carry out its obligations hereunder. The execution of this Agreement has been duly authorized by Contractor and no other proceeding on the part of Contractor is necessary to authorize this Agreement. Contractor has completed, obtained and performed all registrations, filings, approvals, authorizations, consents or examinations required by any government or governmental authority for its acts contemplated by this Agreement.

26. Signature Authorization

The person signing this Agreement warrants that he/she is an agent of Contractor and is duly authorized to enter into this Agreement on behalf of Contractor.

27. Entire Agreement; Order of Precedence

- a. This Agreement, including documents that have been incorporated in this Agreement by reference, contains all representations and the entire understanding between the parties hereto with respect to the subject matter hereof. Any prior correspondence, memoranda or agreements are replaced in total by this Agreement.
- b. In the event there are any inconsistencies or ambiguities among the terms of this Agreement and incorporated documents, the following order of precedence shall be used: (i) applicable laws; (ii) the terms and conditions of this Agreement, including exhibits and attachments; (iii) the Request for Proposal (RFP) if any; (iv) Contractor's response to the RFP if any; and (v) any other provisions, terms, or materials incorporated herein.

28. Termination at Option of the State

In addition to the provisions of Paragraph 7 of Exhibit C (General Terms and Conditions), this Agreement may be terminated in whole or in part at any time upon 30 calendar days' written notice by the State, for any reason. Upon receipt of a termination notice, Contractor shall promptly discontinue all services affected unless the notice specifies otherwise. In the event the State terminates all or a portion of this Agreement for any reason, it is understood that the State will provide payment to Contractor for satisfactory services rendered prior to the termination, but not in excess of the maximum amount of this Agreement.

29. Termination for Insolvency

Contractor shall notify the State immediately in writing in the event that Contractor files any federal bankruptcy action or state receivership action, any federal bankruptcy or state receivership action is commenced against Contractor, Contractor is adjudged bankrupt, or a receiver is appointed and qualifies. In the event of any of the foregoing events, or if the State determines, based on reliable information, that there is a substantial probability that Contractor will be financially unable to continue performance under this Agreement, the State may terminate this Agreement and all further rights and obligations immediately.

**EXHIBIT D
(Standard Agreement)**

30. Completion

In the event of termination for default, the State reserves the right to take over and complete the work by contract or other means. In such case, Contractor will be liable to the State for any additional cost incurred by the State to complete the work whether reimbursed or not.

31. Effect of Termination

All duties and obligations of the State and Contractor shall cease upon termination of this Agreement, except that:

- a. Each party shall remain liable for any rights, obligations, or liabilities arising from activities carried on by it under this Agreement prior to the effective date of termination; and
- b. Contractor shall provide for the return of all records of the State to the State or its designee and shall cooperate fully to effect an orderly transfer of services.

32. Termination for Expatriation

Contractor shall notify the State immediately in writing in the event that Contractor or its parent files any notice with the Securities and Exchange Commission that Contractor intends to reincorporate offshore. In the event of such notice, the State may terminate this Agreement and all further rights and obligations immediately by giving five (5) days' notice in writing in the manner specified herein.

33. Compliance With Political Reform Act

Contractor acknowledges that the State is subject to the provisions of the Political Reform Act (Government Code section 81000 et seq. and all regulations adopted thereunder, including, but not limited to, California Code of Regulations, title 2, section 18700 et. seq.) and Contractor shall comply promptly with any requirement thereunder. If required by law, Contractor shall require its personnel, including without limitation, its Key Personnel all later substitutions therefore, to file Statements of Economic Interests in compliance with the Conflict of Interest Code for the Office of the State Treasurer and the various boards, authorities, commissions, and committees chaired by the State Treasurer (California Code of Regulations, title 2, section 1897). All such reports shall be filed simultaneously with the State.

34. Darfur Contracting Act

Effective January 1, 2009, all Invitations for Bids (IFB) or Requests for Proposals (RFP) for goods or services must address the requirements of the Darfur Contracting Act of 2008 (Act). (Public Contract Code section 10475 et seq.) The Act was passed by the California Legislature and signed into law by the Governor to preclude State agencies generally from contracting with "scrutinized" companies that do business in the African nation of Sudan of which the Darfur region is a part, for the reasons described in Public Contract Code section 10475.

A scrutinized company is a company doing business in Sudan as defined in Public Contract Code section 10476. Scrutinized companies are ineligible to, and cannot, bid on or submit a proposal for a contract with a State agency for goods or services. (Public Contract Code section 10477(a).)

Therefore, Public Contract Code section 10478(a) requires a company that currently has (or within the previous three years has had) business activities or other operations outside of the United States to certify that it is not a "scrutinized" company when it submits a bid or proposal to a State agency. A scrutinized company may still, however, submit a bid or proposal for a contract with a State agency for

**EXHIBIT D
(Standard Agreement)**

goods or services if the company first obtains permission from DGS according to the criteria set forth in Public Contract Code section 10477(b).

35. Labor Neutrality Policy

CAEATFA recognizes the value of labor organizing and encourages the entities with which it contracts to demonstrate that they also value this principle by encouraging management neutrality in labor organizing activities.

To remain "neutral" means not to take any action or make any statement that will directly or indirectly state or imply any support for or opposition to the selection by the Contractor's employees of a collective bargaining agent, or preference or opposition to any particular union as a bargaining agent. Nothing in this section obligates or prohibits the Contractor from entering into private neutrality, labor peace or other lawful agreements with a labor organization seeking to represent or who currently represents the Contractor's employees.

SAMPLE

**EXHIBIT D, ATTACHMENT 1
(Standard Agreement)**

KEY PERSONNEL RESUMES

SAMPLE

**EXHIBIT E
(Standard Agreement)**

ADDITIONAL PROVISIONS

1. Progress Payments

Progress payments are permitted for work completed under this Agreement. Ten percent (10%) of the invoiced amount may be withheld pending final completion of each task. Any funds withheld with regard to a particular task shall be paid upon completion of that task.

2. Conflict of Interest; No Profit

- A. Contractor certifies that its employees and the officers of its governing body shall avoid any actual or potential conflicts of interest, and that no officer or employee who exercises any functions or responsibilities in connection with this Agreement shall have any personal financial interest or benefit which either directly or indirectly arises from this Agreement.
- B. Contractor shall establish safeguards to prohibit its employees or its officers from using their positions for a purpose which could result in private gain or which gives the appearance of being motivated for private gain for themselves or others, particularly those with whom they have family, business, or other ties.

**EXHIBIT F, ATTACHMENT 1
(Standard Agreement)**

THIRD PARTY AGREEMENT PROVISIONS

The CHEEF Implementation Agreement (“**CHEEF IA**”) between CAEATFA and the four Investor-Owned Utilities (PG&E, SDG&E, SCE, and SoCalGas, each individually an “**IOU**” and collectively the “**IOUs**.”) sets forth the terms and conditions governing such activities necessary to implement, manage the flow of funds and data, develop regulations, and retain third-party service providers to support the energy efficiency financing pilot programs as directed by the California Public Utilities Commission (“CPUC”). Under the CHEEF IA, CAEATFA and each of the IOUs is sometimes referred to individually as a “**Party**” and together as the “**Parties**.” The CHEEF IA requires that CAEATFA ensure all third-party agreements necessary to establish and operate the CHEEF include the terms for the protection of the IOUs set forth in the following provisions. Capitalized terms used in this Exhibit but not defined herein shall have the meanings given in the Agreement.

1. Confidentiality and Data Protection

1.1 Definitions

1.1.1 “**Confidential Information and Property**” means all non-public, confidential or proprietary commercial or personal information or property of a Party or IOU, including without limitation Customer Data, disclosed or provided under this Agreement to any other Party or its agents, employees, officers, directors, partners, attorneys, accountants, contractors or providers (collectively, “**Representatives**”), whether disclosed or provided orally or disclosed, provided or accessed in written, electronic or other form of media, whether or not marked or otherwise identified as “confidential,” concerning, but not limited to, research, development, products, services, processes, designs, inventions, software, tools, reports, ratemaking, regulatory and legislative matters and practices of that Party, its parent company, subsidiaries, affiliates, or members of the public, including Customer Data provided by that Party. Such Confidential Information and Property also includes non-public, confidential or proprietary commercial or personal information, data or tangible or intangible property produced, developed or delivered by [Name of Provider] (“**Provider**”) in the performance of this Agreement.

1.1.2 “**Customer Data**” means all information and data regarding an IOU customer that is furnished, disclosed, or otherwise made available to Provider by an IOU under this Agreement, including without limitation personal information such as the customer’s name, address, contact information, service agreement number on the Customer’s electric bill, user name, password, financial status, and social security number, and any information regarding the Customer’s energy usage or billing. No confidential Customer Data shall be provided to Provider except pursuant to a release of any such Customer Data in one or more forms provided by that IOU, as may be amended from time to time in that IOUs’ sole discretion, executed by that IOU’s customer to whom such Customer Data pertains (“**Release**”).

1.1.3 “**Provider Personnel**” means any and all personnel furnished or engaged by the Provider to perform any part of the Scope of Work, as defined in the Agreement (hereinafter “**Services**”), including employees and independent contractors of the Provider and its Subcontractors.

1.1.4 “**Disclosing Party**” means the Party or, as applicable, the Provider, that discloses its Confidential Information and Property to the Receiving Party pursuant to this Agreement.

1.1.5 “**Receiving Party**” means the Party or, as applicable, the Provider, that receives Confidential Information and Property from the Disclosing Party pursuant to this Agreement.

1.2 Confidentiality

1.2.1 Provider shall not disclose or make available Confidential Information and Property to any third party, except as permitted by this Agreement. Provider shall, and shall require Provider

**EXHIBIT F, ATTACHMENT 1
(Standard Agreement)**

Personnel to, access and use Confidential Information and Property solely for the purpose of performing the Services, but not otherwise. In addition, Provider shall comply, and ensure that Provider Personnel comply, with all Applicable Laws relating to the protection of Confidential Information and Property and Customer Data.

1.2.2 Provider shall not, and shall ensure Provider Personnel do not, use Confidential Information and Property or Customer Data (including any Customer Data received by Provider pursuant to a Release) for Provider's or Provider Personnel's own benefit or for any purpose other than as expressly stated in this Agreement.

1.2.3 If Provider receives any Customer Data pursuant to this Agreement without a Release, Provider shall (1) provide written notice to CAEATFA and the relevant IOU within two (2) Business Days of discovering that the Customer Data was disclosed without a Release; (2) shall delay processing of any application related to an IOU customer to which the Customer Data pertains until Provider receives such Release; and (3) treat any such Customer Data as Confidential Information and Property.

1.2.4 The foregoing confidentiality restrictions shall not apply to information which: (1) is previously known to a Receiving Party, prior to its receipt from Disclosing Party, (2) is independently developed by Receiving Party without use of the Confidential Information, (3) is acquired by it from a third party not participating in the CHEEF program, which was not, to the Receiving Party's knowledge, under an obligation to the Disclosing Party not to disclose such information, (4) is or becomes publicly available through no breach of this Agreement by the Receiving Party; or (5) is Customer Data provided by an IOU pursuant to a Release; provided that if such Customer Data has been compiled in a database, that database shall nonetheless be deemed Confidential Information and Property owned by the IOUs, and all of the confidentiality obligations herein shall apply unless such Customer Data in that database is anonymized or aggregated so that it cannot be identified with the individuals to whom it relates.

1.2.5 Provider acknowledges that CAEATFA and the IOUs may elect to disclose Provider's Confidential Information and Property to their respective regulator(s) and legislators. In addition, CAEATFA and the IOUs may be required to disclose Provider's Confidential Information and Property to third parties to comply with Commission directions relating to energy efficiency program reporting or to comply with other Applicable Laws. Such disclosures are not prohibited by this Section 1.2.5 but, in making such disclosures, CAEATFA and the IOUs will afford the level of protection to such information as CAEATFA and the IOUs determine to be appropriate in accordance with their normal business practices.

1.3 Use of Confidential Information and Property

Confidential Information and Property is and will remain the property of the Disclosing Party. The Receiving Party may not use the Disclosing Party's Confidential Information and Property or Customer Data (including any Customer Data received by such Party pursuant to a Release) for any purpose other than those expressly authorized by this Agreement. The Disclosing Party's Confidential Information and Property shall not be sold, assigned, leased or otherwise disposed of to third parties or commercially exploited by or on behalf of the Receiving Party. The Receiving Party may not possess or assert any lien or other right against or to the Disclosing Party's Confidential Information and Property.

1.4 Compliance with Data Privacy and Data Protection Laws

Provider shall observe and comply with all Applicable Laws, including data privacy, data protection, and consumer privacy laws. If Provider or a Party becomes aware of any use or disclosure of another Party's Confidential Information and Property or Customer Data that is not permitted by this Agreement, it will notify that other Party as soon as practicable, but no later than two (2) Business Days after such Party becomes aware of any such unauthorized use or disclosure.

**EXHIBIT F, ATTACHMENT 1
(Standard Agreement)**

1.5 Information Security and Protection Measures

1.5.1 Provider shall take "Information Security and Protection Measures" consistent with industry best practices, as such practices evolve and improve during the Term and, without limiting the foregoing, shall comply with the Information Security Requirements set forth in Attachment 1 hereto, as such policies are updated and supplemented by the relevant parties during the continuance of this Agreement. Information Security and Protection Measures means measures to safeguard against the unauthorized access, loss, destruction, use, alteration or disclosure of Confidential Information and Property owned or provided by CAEATFA or IOUs, including but not limited to:

1.5.1.1 Systems, infrastructure, procedures and services as necessary to recover data, systems and operations in the event of a major outage or disaster, and regular tests (no less frequently than annually) to verify that such recovery can be achieved;

1.5.1.2 Policies and procedures providing information security, third-party assurance auditing and penetration testing;

1.5.1.3 Password protected access to Confidential Information and Property at all access points;

1.5.1.4 Encryption of Confidential Information and Property at rest and in transit (including any backup copies);

1.5.1.5 Restriction of physical access to Confidential Information and Property;

1.5.1.6 Implementation of logical access controls and sanitization or destruction of media, including hard drives;

1.5.1.7 Compliance with National Institute of Standards and Technology (NIST) standards, as applicable to the Services; and

1.5.1.8 Provider shall furnish to CAEATFA and the IOUs upon request an SSAE 16 Type II report on Provider's internal controls pertaining to the Services (or such other independent verification of Provider's Security Measures that is reasonably acceptable to CAEATFA and the IOUs):

1.5.1.8.1 Before commencing performance of the Services;

1.5.1.8.2 No later than July 1 each year during the Term; and

1.5.1.8.3 Upon request by CAEATFA or the IOUs, but not more than once per calendar year in addition to the provision of the annual certification referred to in paragraph 1.5.1.8.2.

1.5.2 CAEATFA and the IOUs may inspect and audit, or engage a third party auditor to inspect and audit, the Provider's facilities and systems to assess the Provider's security measures. The Provider shall cooperate fully with any requested inspection or audit. If CAEATFA or an IOU notifies Provider of a material vulnerability in the Provider's security measures, Provider shall develop an action plan acceptable to CAEATFA and the IOUs to correct the material vulnerability or vulnerabilities, in accordance with Attachment 1 to this Exhibit.

1.5.3 Provider hereby represents, warrants and covenants that, to the extent Provider's facilities or information system(s) have been the subject of security audits prior to the date hereof and such audits have revealed any material vulnerabilities in the Provider's facilities or Provider's information system(s), Provider has fully remedied such vulnerabilities.

1.6 Compelled Disclosure

If Provider becomes legally compelled to disclose any Confidential Information and Property of the Disclosing Party in a manner not otherwise permitted by this Agreement (including any disclosure

**EXHIBIT F, ATTACHMENT 1
(Standard Agreement)**

that is required pursuant to the California Public Records Act (Chapter 3.5 (commencing with Section 6250) of Division 7 of Title 1 of the California Government Code (the "Public Records Act")), Provider will provide CAEATFA and the Disclosing Party with notice of the request within two (2) Business Days to enable CAEATFA and the Disclosing Party to fulfill their obligations under the CHEEF IA and subject to the Information Practices Act (Chapter 1 (commencing with Section 1798) of Title 1.8 of Part 4 of Division 3 of the California Civil Code). Provider acknowledges that the obligation to produce documents and the ultimate determination of what information is privileged and what is to be released is solely CAEATFA's.

1.7 Public Disclosures

1.7.1 CAEATFA and the IOUs may be required or may determine it is desirable to file this Agreement with regulatory entities and, Provider acknowledges that in either case, they shall have the right to do so. Each Party will otherwise refrain from disclosing the specific terms and conditions of this Agreement to third parties to the extent allowed by law.

1.7.2 All other media releases, public announcements and public disclosures by CAEATFA or the IOUs relating to this Agreement or the subject matter of this Agreement (including disclosures and announcements regarding the conduct or results of the CHEEF Programs) will be coordinated with and approved by CAEATFA and the IOUs prior to release.

1.7.3 The fact that CAEATFA and Provider have entered into this Agreement does not constitute, nor does it imply in any way, endorsement by CAEATFA of Provider, and Provider will not indicate or imply that CAEATFA endorses, recommends, or vouches for Provider in any form of written, verbal, or electronic advertisement, communication, or any other business development effort, except to the extent expressly approved by CAEATFA in writing.

1.8 Return or Destruction

Upon request by the Disclosing Party, and with the written consent of CAEATFA in the event of a request from an IOU, Provider will return or provide the Disclosing Party a copy of any designated Confidential Information and Property of the Disclosing Party. When Confidential Information and Property of the Disclosing Party is no longer required for the Provider's performance under this Agreement, or in any event upon expiration or termination of this Agreement for any reason, the Provider will return all materials in any medium that contain, refer to, or relate to Confidential Information and Property of the Disclosing Party or, at the Disclosing Party's election, destroy them. At the Disclosing Party's request, Provider will certify in writing that it has returned or destroyed all copies of the Disclosing Party's Confidential Information and Property in the possession or control of Provider. Provider shall remove, or cause to be removed, all Confidential Information and Property from Provider and Provider Personnel's information system and other computing resources. Provider shall not, without the prior written authorization of CAEATFA and the IOUs, sell or otherwise dispose of any parts, equipment, or other materials containing, conveying, embodying, or made in accordance with or by reference to any Confidential Information and Property. Before disposing of such parts, equipment, or materials, Provider shall render them unusable.

1.9 Duration of Confidentiality Obligations

The Receiving Party's obligations hereunder apply to Confidential Information and Property of the Disclosing Party disclosed to the Receiving Party before or after the Effective Date and will continue during the Term and survive the expiration or termination of this Agreement as follows and in compliance with any obligations arising under the Public Records Act:

1.9.1 The Receiving Party's obligations under Section 1.8 will continue in effect until fully performed;

1.9.2 As to any portion of the Disclosing Party's Confidential Information and Property that constitutes a trade secret under applicable Law, the obligations will continue for as long as the information continues to constitute a trade secret;

**EXHIBIT F, ATTACHMENT 1
(Standard Agreement)**

1.9.3 As to Customer Data, such obligations shall continue in perpetuity; and

1.9.4 As to all other Confidential Information and Property of the Disclosing Party, the obligations will survive for two years after the Receiving Party's fulfillment of its obligations under Section 1.8 with respect to the Confidential Information and Property in question.

1.10 Database and Derived Data

1.10.1 Any database or information repository developed or maintained by Provider using IOU Confidential Information and Property or Customer Data (a "**Database**"), and all analysis, reports, aggregated and/or anonymized data and metadata created by Provider based on IOU Confidential Information and Property or Customer Data ("**Derived Data**"), shall be owned jointly by the IOUs from whose Confidential Information and Property and Customer Data the Database or Derived Data was derived, and shall be held for the benefit of ratepayers subject to the continuing jurisdiction and regulation of the Commission.

1.10.2 Provider may use, publish and disclose the Database and Derived Data only for the purpose of performing the Services in accordance with this Agreement, but not otherwise, and shall not sell, assign, lease or otherwise dispose of the Database or Derived Data to third parties or commercially exploit it for Provider's benefit or the benefit of any third party. Provider may not possess or assert any lien or other right against or to the Database or Derived Data.

1.10.3 Before the Database and/or any Derived Data is made public or disclosed to any third party pursuant to authorization under this Agreement, Provider shall ensure that any Customer Data included therein is anonymized so that it cannot be identified with the individuals to whom it relates.

2. Provisions Related to Personnel (Security Training and Background Check)

2.1 The Provider, at its own expense, will ensure that, prior to providing any of the Services, Provider Personnel will: (1) complete any CAEATFA- or IOU-provided or required orientation and security procedures, which will include training on the confidentiality, security and non-disclosure obligations regarding the IOUs' computing system and Confidential Information and Property, Security Incident Response Plan, as well as appropriate business conduct and protocols directed at compliance with Applicable Laws and any relevant IOU policies; and (2) complete annual training thereafter, and update such training when Applicable Laws materially change or when CAEATFA or an IOU informs the Provider of material changes in the IOUs' information or physical security policies.

2.2 The Provider, at its own expense, will (1) screen and conduct background checks of the Provider Personnel in accordance with CAEATFA's and the IOUs' policies that have been provided to the Provider in writing; (2) verify that each individual involved in providing the Services has received and signed a copy of the Provider's code of conduct and is bound to maintain the confidentiality of all Confidential Information and Property provided by CAEATFA and the IOUs pursuant to this Agreement; and (3) confirm to CAEATFA and the IOUs that these and any other pre-assignment steps described in this Agreement or CAEATFA's and the IOUs' written policies for contractors have been successfully completed.

3. Enforcement by IOUs

3.1 Each IOU is a third party beneficiary of the Provider's warranties, covenants, indemnities and other obligations under this Agreement. In addition to CAEATFA's right to enforce the Agreement as a Party, each IOU may enforce the terms of this Agreement against the Provider as if the IOU were a Party. Alternatively, each IOU may, in its sole discretion, authorize CAEATFA or another IOU to enforce such rights, including by participating in an arbitration proceeding or litigation on its behalf. The IOUs shall take no

**EXHIBIT F, ATTACHMENT 1
(Standard Agreement)**

action pursuant to this section without providing three (3) Business Days prior written notice to CAEATFA.

- 3.2** Subject to paragraph 3.1, this Agreement is entered into solely between CAEATFA and Provider and will not be deemed to create any rights in any third parties or to create any obligations of either CAEATFA or Provider to any third parties.

4. Prior Written Approval for Changes

Provider's Cost Proposal, submitted in response to CAEATFA's Request for Proposal No. CAEATFA02-21 ("RFP") and made a part of the Agreement by reference (hereinafter "Cost Proposal"), describes the personnel, subcontractors, facilities and systems (the "**Service Delivery Environment**") that will be used by the Provider to perform and deliver the Services. Any material change to the Service Delivery Environment as described in Cost Proposal shall require CAEATFA's prior written approval. Without limiting the foregoing, CAEATFA's prior written approval is required for any subcontracting of the Services by Provider, any relocation of Confidential Information and Property or any change in the locations from which Confidential Information and Property may be accessed by Provider Personnel.

5. Compliance with Applicable Laws

The Provider will comply with all Applicable Laws in connection with the performance of the Services and the conduct of its business.

6. Insurance

- 6.1** Provider will maintain the following insurance coverage or self-insurance coverage, at all times during the term of this Agreement, with companies having an A.M. Best rating of "A-, VII" or better, or equivalent:

6.1.1 **Workers' Compensation:** statutory minimum.

6.1.2 **Employer's Liability coverage:** \$1 million minimum.

6.1.3 **Commercial General Liability:** \$2 million minimum per occurrence/\$4 million minimum aggregate.

- 6.2** The insurance policies referred to in paragraphs 6.1.1, 6.1.2 and 6.1.3 above shall acknowledge CAEATFA, the IOUs and their respective officers, agents and employees (the "**Beneficiaries**") as additional insureds, be primary for all purposes, contain standard cross-liability or severability of interest provisions, and waive all rights of subrogation against the Beneficiaries.

6.2.1 **Professional Liability** (if applicable): \$1 million minimum.

6.2.2 **Commercial or Business Auto:** \$1 million minimum. Such insurance shall acknowledge the Beneficiaries as additional insureds and be primary for all purposes.

- 6.3 Evidence of Insurance.** Upon request at any time during the term of this Agreement, Provider shall provide evidence that the insurance policies required by this Section are in full force and effect, and provide the coverage and limits of insurance required herein.

- 6.4 Notice of Claims.** Provider shall immediately report to CAEATFA, and promptly thereafter confirm in writing, the occurrence of any injury, loss or damage incurred by Provider in the course of performing Services, or receipt of notice or knowledge of any claim by a third party of any occurrence that might give rise to such a claim.

**EXHIBIT F, ATTACHMENT 1
(Standard Agreement)**

7. Audit Rights and Record Retention.

- 7.1** Provider shall maintain, for a period of five (5) years after final payment, complete accounting records (and supporting documentation) of all funds paid to Provider hereunder. Provider agrees that CAEATFA and the IOUs shall have the right to review and to copy any records and supporting documentation pertaining to the performance of [the Agreement]. Provider agrees to allow the auditor(s) access to such records during normal business hours and to allow interviews of any employees who might reasonably have information related to such records. Further, Provider agrees to include a similar audit right provision in any contract with a subcontractor performing any of the Services.
- 7.2** Provider shall not retain any funds erroneously paid by CAEATFA to Provider, including, but not limited to, any funds paid on behalf of an IOU. If, at any time, CAEATFA or the IOUs discover that an amount was paid to Provider was in error, either through subsequent review or audit, or by another means, the amount erroneously paid to Provider may, at the option of CAEATFA or IOUs, as applicable be used to offset future payment(s) due to Provider or must be repaid by Provider.

8. Provider Indemnities.

- 8.1** Provider shall indemnify, defend and hold harmless CAEATFA, the IOUs, their affiliates, and their respective officers, directors, employees, agents and representatives from and against any and all Losses arising in connection with any Claim:
- 8.1.1 resulting from the negligent or unlawful acts or omissions, or willful or tortious conduct of Provider or its employees, agents and subcontractors, including any failure of any of them to comply with Applicable Laws in connection with this Agreement;
 - 8.1.2 resulting from any collection or enforcement action in connection with this Agreement; and/or
 - 8.1.3 arising from the Provider's breach or alleged breach of its confidentiality, data privacy and data protection obligations under this Agreement.
- 8.2 Definitions Related to Provider Indemnities.**
- 8.2.1 **"Claim"** means any claim, demand, action, proceeding or investigation made or commenced against a Party that is related to this Agreement or a Provider Agreement, as applicable, by an unaffiliated third party or Governmental Authority, whether or not a lawsuit is filed.
 - 8.2.2 **"Losses"** means any and all expenses, losses, liabilities and/or damages suffered or incurred by any indemnified person as a result of or in connection with a Claim, including any amounts paid or incurred in settlement of a Claim, and including the costs of defending and/or settling the Claim and associated legal costs.

**EXHIBIT F, ATTACHMENT 1
(Standard Agreement)**

INFORMATION SECURITY REQUIREMENTS

CAEATFA and Provider have entered into Agreement as of the Effective Date thereof. The terms set forth in this Attachment shall be governed by the Agreement and shall be effective as of the Effective Date. Capitalized terms used in this Attachment but not defined herein shall have the meanings given in the Agreement.

1. **Scope.** This Attachment applies to and governs any and all receipt of, access to, storage of, or use of Confidential Information and Property by Provider and Provider Personnel, in connection with the Services.

2. **Definitions.** In addition to the definitions set forth elsewhere in the Agreement, the following capitalized terms shall have the meanings set forth below:

(a) **"Security Incident"** means (i) any Unauthorized Use or other breach in the security of Provider' and/or Provider Personnel's information systems that contain Confidential Information and Property, or any unauthorized access to, interception of, disclosure or acquisition of such Confidential Information and Property, or (ii) if caused by the action or inaction of Provider, any Unauthorized Use or other breach in the security of information systems that contain Confidential Information and Property, or any unauthorized access to, interception of, disclosure or acquisition of such Confidential Information and Property.

(b) **"Security Incident Response Plan" or "SIRP"** means a written plan and process for preventing, detecting, identifying, reporting, tracking and remediating Security Incidents.

(c) **"Security Incident Report" or "SIR"** means a report prepared by Provider regarding a Security Incident which includes, at a minimum, the information more fully set forth below in Section 5.

(d) **"Unauthorized Use"** means any use, reproduction, distribution, transfer, disposition, disclosure, possession, memory input, alteration, erasure, damage or other activity by Provider involving Confidential Information and Property that is not expressly authorized under the Agreement.

3. **Security Obligations.**

(a) **Security Incident Response Plan:** Prior to accessing any Confidential Information and Property, Provider shall develop a SIRP and implement and maintain such SIRP throughout the Term.

(b) **SIRP General Requirements:** Provider's SIRP will include, at a minimum, Security Incident handling and response procedures, specific contacts in an event of a Security Incident, the contacts' roles and responsibilities, and their plans to notify CAEATFA and/or the relevant IOU(s), as the case may be, concerning the Security Incident. The SIRP must be based on and meet all of the following requirements:

(i) Applicable Laws concerning the care, custody, control and integrity of data and information, including but not limited to, California's Information Practices Act of 1977, California Civil Code §§ 1798.80 *et seq.*, and California Public Utilities Commission Decision 11-07-056, 2011 Cal. PUC LEXIS 404

(ii) Provides for notice to CAEATFA and/or the IOUs (as applicable), of any breach of the security of Confidential Information and Property if it is reasonably believed to have been acquired by an unauthorized person.

(c) **SIRP Review.** At CAEATFA's request, Provider shall review the SIRP at least annually with CAEATFA, and the IOUs (if applicable) to identify updates, changes or potential improvements, and a process to document these changes within ninety (90) days of these changes.

(d) **Physical Security.** Provider shall provide and maintain physical controls in accordance with Applicable Standards to prevent any Security Incidents and the Unauthorized Use of Confidential Information and Property. Physical controls shall include, but not be limited to: (i) effective physical security of any Provider facilities and Provider's computing systems used in connection with providing the Services

**EXHIBIT F, ATTACHMENT 1
(Standard Agreement)**

to CAEATFA, on behalf of the IOUs. At a minimum, such methods must include visitor sign-ins, restricted access key cards or locks for employees, and limited access to server rooms and archival backups; (ii) physical hazard protection; (iii) equipment configuration control methods to detect unauthorized changes in configuration and inventory; and (iv) requirements stating that all removable media such as compact discs, digital video discs, thumb drives, or laptops used to store Confidential Information and Property shall be protected from Unauthorized Use or a Security Incident.

(e) Additional Security Obligations. In addition to its other obligations relating to Confidential Information under the Agreement, Provider shall (and shall ensure Provider Personnel) comply with the following additional obligations:

(i) Data Storage. Provider shall maintain all Confidential Information and Property so as to be compartmentalized or otherwise logically separate from, and in no way commingled with, other information of Provider or its other customers and not accessible by other customers.

(ii) Security Program. The security program implemented and maintained by Provider for its Information Systems shall consist of safeguards to prevent any Unauthorized Use, accidental or unauthorized destruction, accidental loss, alteration of, access to and any other unauthorized collection or use of Confidential Information and Property, and shall include, without limitation: (aa) appropriate access controls and data integrity controls, including the use of strong authentication of users, least privilege access, and use of firewalls and antivirus software; (bb) testing and auditing of all controls; and (cc) encryption of all Confidential Information and Property, while at rest and in transit.

(iii) Backup of Confidential Information and Property. Provider will use prevailing: (aa) secure and redundant encrypted data backup, (bb) recovery technologies, and (cc) destruction methods, at no additional cost to CAEATFA, with respect to Provider's access and use of Confidential Information and Property. Provider shall at all times ensure that it is aware of and has documented the location of all copies of Confidential Information and Property.

4. Notice of Security Incident. Provider covenants and agrees that if Provider or Provider Personnel, discover or are notified of a Security Incident or potential Security Incident relating to the IOUs' or CAEATFA's computing systems, Confidential Information and Property or information therein, Provider shall immediately submit a SIR to CAEATFA and the relevant IOU(s) by emailing the SIR. The SIR shall (a) include, at a minimum, a brief summary of the issue, facts and status of Provider's investigation; (b) identify the potential number of individuals affected by the Security Incident; (c) provide any other information pertinent to CAEATFA's and the IOUs' understanding of the Security Incident and the exposure or potential exposure of Confidential Information and Property; (d) investigate such Unauthorized Use or such potential Unauthorized Use that caused the Security Incident or may cause a Security Incident; (e) inform CAEATFA and the relevant IOU(s), in writing, of the results of such investigation; (f) assist CAEATFA and the relevant IOU(s), (at Provider's cost and expense) in maintaining the confidentiality of such Confidential Information and Property; and (g) if requested by CAEATFA, discuss with CAEATFA and the relevant IOU(s) the cause(s) of the Security Incident, Provider's response, lessons learned and potential improvements to Provider's computing system's security process and procedures. Upon receipt of Provider's SIR, CAEATFA or the IOUs may immediately revoke Provider's and Provider Personnel's access to the relevant computing systems and Confidential Information and Property. Such revocation shall not relieve Provider of its obligations to perform the Services in accordance with the terms of the Agreement. If CAEATFA or an IOU deems it prudent to notify individuals potentially affected by the Security Incident and/or to offer them free credit monitoring service or other remedies, then Provider shall reimburse CAEATFA or the IOU for its costs and expenses for the notification and remedies.

5. Vulnerability Management After a Security Incident. Upon the occurrence of a Security Incident, Provider shall immediately inform CAEATFA and the IOUs of such Security Incident and provide access to CAEATFA and the IOUs so that CAEATFA and the IOUs or an independent third party may conduct an onsite audit and inspection of the facility or facilities and Provider's computing systems involved in the Security Incident. Provider shall develop an action plan acceptable to CAEATFA and the IOUs to correct

EXHIBIT F, ATTACHMENT 1
(Standard Agreement)

the causes of the Security Incident and all material vulnerability or vulnerabilities discovered during the audit or inspection. Promptly after CAEATFA and the IOUs approve the action plan, Provider shall correct each such Security Incident cause or vulnerability at its sole cost and expense. Provider shall certify in writing to CAEATFA and the IOUs that it has corrected all such Security Incident causes and vulnerabilities. Provider shall bear (and if applicable, shall reimburse CAEATFA and/or the applicable IOU(s) for) all costs and expenses of an audit or inspection following a Security Incident. Additionally, Provider shall:

(a) Upon CAEATFA's or an IOU's written request, promptly perform (or shall permit the IOUs or an independent third party to perform) a vulnerability threat assessment ("VTA") test or such additional testing as may be reasonably required by CAEATFA or an IOU. The VTA may be performed, in CAEATFA's or the IOUs' sole discretion, by CAEATFA, the staff or subcontractor of one or more IOUs, or a security consultant selected and approved in writing by CAEATFA.

(b) Thereafter, throughout the remainder of the Term, perform quarterly vulnerability assessments of Provider's computing systems used to perform the Services ("Assessments"). Such Assessments shall include an evaluation of Provider's externally accessible computer systems from the perspective of an external attacker, with a focus on service discovery and service identification. This Assessment shall include a logical assessment, penetration/intrusion testing and/or analysis services. Threats to Provider's computing systems' availability, reviewing of whether attackers could deny legitimate users access to information made available through Provider's IT infrastructure, may also be evaluated. Such quarterly Assessments shall be at Provider's sole expense and shall be conducted by a third party nationally recognized for performing such Assessments (a "VTA Contractor"), proposed by Provider and subject to CAEATFA's and the IOUs' prior approval, which shall not be unreasonably withheld.

(c) CAEATFA or an IOU may also request Provider to have the VTA Contractor conduct additional Assessments on an ad hoc basis, to provide reviews of Provider's computing systems, including without limitation, Provider's infrastructure, applications, networks, internal scans, external scans and code. Such ad hoc Assessments shall be conducted in a manner that does not compromise Provider's reasonable security standards, shall be conducted under Provider's direction, and shall be at CAEATFA's or the IOU's sole expense. CAEATFA and the IOUs shall have the right to require Provider to use a different VTA Contractor (other than the one proposed by Provider) to perform such additional ad hoc Assessments.

(d) The results of all Assessments described in these Sub-Sections 5(a) – (c) shall be provided by Provider to CAEATFA and the IOUs and shall include a comprehensive report of the Assessment findings, redacted to exclude only specific information that is confidential and proprietary to Provider's other customers. Provider, CAEATFA and the IOUs shall reach an agreement regarding remediation of the findings within the Assessment results and Provider shall promptly perform such remediation at its sole cost and expense.

(e) Nothing set forth in Sections 5(c) or (d) shall be construed as a waiver of any legal or equitable rights and remedies available to CAEATFA and/or the IOUs in connection with an audit, inspection, or Security Incident. In addition, CAEATFA's and the IOUs' onsite audit or inspection of Provider's facilities under these sections shall not be interpreted as CAEATFA's or the IOUs' assumption of any liability or responsibility to remedy the Security Incident or vulnerability or otherwise to assist Provider in the repair or replacement of Provider's computing systems or facilities.

(f) Document Retention. Provider shall maintain all documentation relating to Security Incidents, remediation activities and follow-on assessments, whether in written or electronic form, including their identification, processing and resolution, for three (3) years after final resolution of the Security Incident, including the final resolution of all claims arising out of the Security Incident.

6. Additional Representations and Warranties. In addition to Provider's other representations and warranties in the Agreement, Provider hereby represents and warrants:

(a) Provider shall comply with all of the terms in this Attachment throughout the Term;

**EXHIBIT F, ATTACHMENT 1
(Standard Agreement)**

(b) Virus Precautions. Provider represents and warrants that: (i) Provider's information systems utilized to provide the Services were checked with Internet industry standard up-to-date antivirus software, and were determined to be virus-free, before their first use in performance of the Agreement; (ii) Provider will update its virus definitions no less than monthly to ensure that they use the most up-to-date definitions available, and will conduct at least biweekly virus sweeps of all networks, databases, computers, and software (including archival copies of the foregoing) utilized to provide the Services; (iii) Provider will promptly use such virus detection software to attempt to purge all viruses discovered during such sweeps; (iv) prior to delivering any digital files to CAEATFA and/or the IOUs, as applicable, Provider will scan all files with Internet industry standard up-to-date antivirus software and will determine that they are virus-free; and (v) if Provider discovers that a virus may have been transmitted to CAEATFA or to one or more IOUs by Provider, Provider will promptly notify CAEATFA and the IOUs of such possibility in a writing that states the nature of the virus, the date on which transmission may have occurred, and the means Provider has used to attempt to purge the virus; and

(c) Provider will not (and will ensure Provider Personnel do not) access or use any Confidential Information and Property for any purpose other than that of performing Provider's obligations under the Agreement.

7. Acknowledgement. Provider acknowledges that the IOUs each retain sole and exclusive ownership of all right, title and interest to and to all Confidential Information and Property. The Agreement does not grant Provider or Provider Personnel any implied licenses with respect to Confidential Information and Property or Customer Data.

8. Survival. The terms in this Attachment will survive the expiration or any termination of the Agreement.