



Massachusetts Clean Energy Center

Request for Proposals: InnovateMass

Date of Issue: May 22, 2024

Revised Date: December 17, 2024 (revisions
in red)

Proposals due: March 17, 2025

(InnovateMass will reopen after March 17th,
assuming funding remains)

All proposals must be submitted to:

innovate@masscec.com

I. SUMMARY

This Request for Proposals (the “RFP”) is being issued by the Massachusetts Clean Energy Technology Center (“MassCEC”) in order to seek applications to MassCEC’s InnovateMass Program (the “Program” or “InnovateMass”) to demonstrate clean energy and climate technologies being developed or tested in the Commonwealth of Massachusetts (the “Commonwealth”). For interested applicants, this round of grant funding provides a “Gridtech Spotlight” opportunity to partner with a Massachusetts electric utility on a grid technology (“Gridtech”) demonstration. MassCEC will award at least two (2) Gridtech project proposals in this round¹. MassCEC will still consider and award non-Gridtech project proposals in this round. Please refer to the accompanying **Spotlight Appendix** for a list of utility project partnership opportunities.

InnovateMass provides grant funding of up to Three Hundred Fifty Thousand Dollars (\$350,000) per project and technical support for projects that are developing new clean energy and climate technologies or innovative combinations of existing technologies that demonstrate a strong potential for commercialization while providing significant measurable clean energy and/or climate benefits. While InnovateMass funding may be used to support development of any technology or proposed business model that meets MassCEC’s definition of “ClimateTech” (as defined in Section IV below), particular emphasis will be placed on identifying projects in one or more the following areas, as long as the proposed innovation relates to advanced and applied technologies that significantly reduce or eliminate the use of energy from non-renewable sources:

1. **Energy & Electricity** – increasing renewable energy generation and modernizing the grid
2. **Transportation** – transitioning to zero-emissions vehicles, enhancing public transit, and promoting alternative fuel options
3. **Manufacturing & Industry** – Adopting carbon reducing technologies and processes, sustainable production practices through a circular economy, and carbon capture related technologies
4. **Agriculture & Water** – adopting sustainable farming and forest management practices and leveraging nature-based solutions
5. **Buildings** – improving energy and heating efficiency, transitioning to renewable sources, and implementing sustainable construction practices/materials
6. **Resilience and Adaptation** – implementing climate-smart planning, strengthening infrastructure, and promoting nature-based solutions to reduce vulnerability to climate change

Under the **Gridtech Spotlight**, InnovateMass will award at least two (2) project proposals that support the demonstration of Gridtech corresponding to the use cases outlined by utility project partners in the **Spotlight Appendix**, and that otherwise also comply with all other requirements of the RFP.

In addition to grant funding, the Program provides third party project management and technical support by a technical consultant (the “Technical Consultant”) to all awardees. The Technical Consultant will meet regularly with awardees to review workplans, discuss and resolve technical and other project-related barriers, and review performance monitoring and evaluation plans.

Successful applicants will propose projects that address important climate and energy challenges and help to grow the Commonwealth’s clean energy and climateTech economy.

This Program invites participation in a two (2) part application process:

1. Applicants must first submit an application that consists of a completed InnovateMass Application Form and required documentation (the “Application”) that meets the criteria outlined below.

¹ This is at MassCEC’s full discretion and is subject to change.

2. In the event the Application is selected, the applicant will be invited to pitch their proposal to a panel of Program judges.

Applications will be accepted until March 17, 2025. InnovateMass will reopen after March 17th, assuming funding remains.

II. ABOUT MASSCEC

MassCEC is a quasi-state economic development agency dedicated to accelerating the growth of the clean energy and climatetech sector across the Commonwealth to spur job creation, deliver statewide environmental benefits and to secure long-term economic growth for the people of Massachusetts. MassCEC works to increase the adoption of clean energy while driving down costs and delivering financial, environmental, and economic development benefits to energy users and utility customers across the state.

MassCEC's mission is to accelerate the clean energy and climate solution innovation that is critical to meeting the Commonwealth's climate goals, advancing Massachusetts' position as an international climate leader while growing the state's clean energy and climatetech economy. MassCEC is committed to creating a diverse, equitable, and inclusive organization where everyone is welcomed, supported, respected, and valued. We are committed to incorporating principles of diversity, equity, inclusion, and environmental justice in all aspects of our work in order to promote the equitable distribution of the health and economic benefits of clean energy and support a diverse and inclusive clean energy and climatetech industry. MassCEC strives to lead and innovate in equitable clean energy and climate solutions.

III. PROGRAM GOALS AND DESCRIPTION

The goal of InnovateMass is to accelerate the commercialization of "Clean Energy Technologies " (as defined in Section IV) and related innovations between Technology Readiness Level ("TRL") 5 ("component and/or process validation in relevant environment") and TRL 8 ("actual system/process completed and qualified through test and demonstration") by providing funding for demonstration projects to test and measure the performance of the technology in order to advance its TRL. Please [use this calculator](#) and [this document](#) to conduct a TRL self-assessment and confirm program fit. Technology demonstrations may also explore the viability of new or innovative business models, as applicable. A technology that has not achieved at least TRL 5 will **not** be considered eligible. Such technologies may be eligible for [MassCEC's Catalyst Program](#). Final determination of TRL for the purposes of eligibility is made by MassCEC in its sole discretion.

Successful applicants will demonstrate that:

- the technology used in the project has strong commercialization potential;
- they have developed a partnership that will allow the technology to be validated in a demonstration setting, including a host site for the proposed project;
- the proposed project will advance the technology's commercial readiness;
- the proposed project will enable an emerging Clean Energy Company (as defined in Section X below) to demonstrate the value of its technology to potential customers and investors;
- they have secured the required cost share (as defined in Section VI);
- the proposed project addresses a critical energy/climate challenge and reduces or prevents greenhouse gas (GHG) emissions; and
- the proposed project is viable and feasible within the budget proposed and the timeframe allowed by

the Program.

EXAMPLE PROJECTS

Examples of projects that were awarded in previous rounds of InnovateMass include:

- **Aloft Systems, Inc. (with Triworld Shipping Services)** - \$350,000 (with a \$344,832 cost-share) to develop a modular, robotic wind propulsion system for ships, designed to reduce emissions and fuel costs using foldable sails.
- **Bootbox, Inc. (with RentAnAC.com)** - \$350,000 (with a \$400,000 cost-share) to develop a refrigerant-free, thermoelectric heat pump that electrifies the HVAC industry, eliminating fossil fuel heating and environmentally harmful refrigerants from our buildings.
- **Sublime, Systems Inc. (with Boston Sand and Gravel)** - \$124,000 (with a \$62,000 cost-share) to conduct field demonstrations of its “true-zero” electrochemical decarbonizing cement production technology at a multi-ton scale.

Examples of potential **Gridtech Spotlight** applications include:

- Demonstration of planning and analytics software supporting, for instance, interconnection of clean distributed generation resources, or grid optimization;
- Demonstration of behind-the-meter hardware or software that supports, for instance, customer optimization of usage and bills, or bi-direction charging; or
- Demonstrations of advanced heat pump and battery energy storage technologies, particularly with capabilities to enable virtual power plant dispatch.

Please see the **Spotlight Appendix** for a full list of **Gridtech Spotlight** topic areas, and more detailed memos from potential utility project partners describing their individual technology interests.

IV. ELIGIBILITY

Applicant & Project:

Eligibility criteria for applicant teams and project formation:

- Applicants are expected to form teams comprised of at least two (2) entities (the “Applicant Team”) which will work together on the demonstration project.
- Applicant Teams must include at least one (1) Clean Energy Company with proprietary technology to be demonstrated, who will serve as the “Lead Applicant”.
 - The Lead Applicant will contract directly with MassCEC, receive the grant funds (if awarded), and be responsible for deliverables under the grant agreement. The Lead Applicant must meet the definition of a small business, as outlined by the United States Small Business Administration’s “[Table of Small Business Size Standards](#)”.
 - In the case of the **Gridtech Spotlight**, the Lead Applicant must have a technology that is applicable to the utility partner’s stated needs, as described in the **Spotlight Appendix**.
- Applicant Teams must also include one (1) or more demonstration project partners (the “Demonstration Partner” or “Demonstration Partners”), who will provide a host site or sites for the proposed project (the “Project Site(s)”).
 - Demonstration Partners may be potential clients or organizations able to provide a site

- for the demonstration project.
- Applicant Teams may also include additional technology providers; service providers or subcontractors; and other team members who are able to provide necessary funding and/or expertise.
- It is possible for a Demonstration Partner to serve as a partner on more than one application to the Program.
- Demonstration Partner/s must additionally:
 - Submit signed Letter/s of Commitment indicating their role in the demonstration project and commitment to providing the host site and/or resources necessary to complete the project.
 - Represent the target customer type of the technology being demonstrated. An incubator is typically not an eligible Demonstration Partner. Unless your target customer type is incubator facilities.
 - Be a partner throughout the duration of the proposed project and represent the core focus of the project.
 - **If the technology is being tested in residential homes, there must be at least one Letter of Commitment from a homeowner that is not someone who works at the company, a family member of someone who works at a company, or a friend of someone who works at the company.**
- The Lead Applicant does not have to be a Massachusetts-based Company², however, if the Lead Applicant is not a Massachusetts-based Company, then at least one (1) Project Site must be in Massachusetts and the proposed technology must fall within one (1) of the six (6) Focus Areas (as defined in the Summary Section above). Lead Applicants must have a headquarters location in the United States.
 - If the Lead Applicant is a Massachusetts-based Company, then there is no requirement that the Project Site(s) be in Massachusetts. MassCEC places no restriction on the location of the Project Site(s) for Massachusetts-based Lead Applicants.

Applicants may not submit InnovateMass Program applications for the same idea or concept more than three (3) times, unless there has been a substantial change in the technology or market which advances the case for an award. Additionally, please note that although applicants are encouraged to apply to multiple MassCEC grant award programs over their technology development lifecycle, MassCEC programs are designed such that each grant award program generally serves a company at a different stage of technology development. Applicants should reach out to MassCEC staff prior to applying if they are unsure of which program is the best fit.

Applicants may not submit projects for technologies that are not proprietary to the Lead Applicant. In addition, technologies that are widely deployed or commercially available in other markets (including international markets) will not be considered eligible for funding, unless there is a substantial difference in the Massachusetts market which would require unique testing, validation, or changes to the technology in order to demonstrate the product's commercial viability in the Commonwealth.

Technology:

InnovateMass awards only “Clean Energy Technologies” or “ClimateTech”

² “Massachusetts-based Company” is a company that currently has and will maintain throughout the course of the Project a majority of the following in Massachusetts (i.e., if four (4) apply, then three (3) must be in Massachusetts, and if three (3) apply, at least two (2) must be based in Massachusetts): company headquarters (primary executives located in Massachusetts); primary research and development operations; primary manufacturing operations; and primary sales & marketing office.

For the purposes of this RFP, the term “Climatetech” shall mean:

- “...advanced and applied technologies that significantly reduce or eliminate the use of energy from non-renewable sources including, but not limited to: (i) energy efficiency; (ii) demand response; (iii) energy conservation; or (iv) technologies powered, in whole or in part, by the sun, wind, water, geothermal energy, including networked geothermal and deep geothermal energy, hydrogen produced by non-fossil fuel sources and methods, alcohol, fuel cells, fusion energy or any other renewable, nondepletable or recyclable fuel...”
- ...advanced and applied research in new clean energy technologies including: (i) solar photovoltaic; (ii) solar thermal; (iii) wind power; (iv) geothermal energy, including networked geothermal and deep geothermal energy; (v) wave and tidal energy; (vi) advanced hydropower; (vii) energy transmission and distribution; (viii) energy storage; (ix) renewable biofuels, including ethanol, biodiesel and advanced biofuels; (x) renewable, biodegradable chemicals; (xi) advanced thermal-to-energy conversion; (xii) fusion energy; (xiii) hydrogen produced by non-fossil fuel sources and methods; (xiv) carbon capture and sequestration; (xv) energy monitoring; (xvi) green building materials; (xvii) energy efficiency; (xviii) energy-efficient lighting; (xix) gasification and conversion of gas to liquid fuels; (xx) industrial energy efficiency; (xxi) demand-side management; and (xxii) fuel cells; provided, however, that "clean energy research" shall not include advanced and applied research in coal, oil, natural gas or nuclear power other than fusion energy...
- ...and any other advanced and applied technologies that contribute to the decarbonization of the economy, reduce and mitigate greenhouse gas emissions or mitigate the impact of climate change through adaptation, resiliency, and environmental sustainability”
- (See M.G.L. c. 23J § 1 as amended pursuant [Chapter 179 of the Acts of 2022 “An Act Driving Clean Energy and Offshore Wind”](#) and as further amendment pursuant “[An Act Relative to Strengthening Massachusetts’ Economic Leadership](#)”).
- Please note that technologies related to coal, oil, woody biomass, natural gas (except where used in fuel cells), or nuclear power other than fusion energy will not be considered Climatetech for purposes of this RFP.

While addressing the greenhouse gas mitigation potential, it is recommended that applicants reference [MassCEC’s Total Addressable Carbon \(TAC\) analysis](#) (search under “FAQ”) in order to quantify the **GHG emissions** that can be reduced, avoided, or remediated. Other quantification methods include but are not limited to potential megawatt-hours of clean energy generated, tons of carbon dioxide emissions avoided or captured, energy savings compared to existing or alternative technology(ies), efficiency improvement over existing technology(ies). Applicants are encouraged to quantify and/or describe of the potential to mitigate impacts of climate change through adaptation and resiliency (A&R), and consider environmental sustainability (for example, using indicators across social, economic, and environmental impacts). MassCEC acknowledges that quantifying A&R is an emerging field, and we recommend utilizing the 2023 [ResilientMass Plan](#), as well as the [World Economic Forum](#) and [FEMA’s BCA Toolkit](#) etc. for toolkits and guidance.

V. ESTIMATED TIMELINE

Applications will be accepted on a rolling basis while the Program remains open. MassCEC will post a notice on the Program webpage giving at least thirty (30) days’ notice should MassCEC anticipate closing the program. MassCEC anticipates selecting awardees on a quarterly basis. Although InnovateMass is

rolling and will continuously accept proposals, it will operate with quarterly deadlines for proposals. These quarterly deadline dates will be posted on the program website.

Applications will be accepted until March 17, 2025. InnovateMass will reopen after March 17th, assuming funding remains.

Applicants can expect the following ***approximate*** schedule, subject to adjustment at MassCEC’s discretion:

| Process Step | |
|--|---|
| Submit application | ----- |
| Applications undergo technical and programmatic review; applicants are notified of finalist status | Within eight (8) weeks of quarterly deadline date |
| Finalists undergo pitch coaching | One and one-half (1.5) to three (3) months from quarterly deadline date |
| Finalists pitch to panel of judges | Two (2) to four (4) months from quarterly deadline date |
| Final award decisions made | Approximately six (6) weeks from quarterly pitch session |
| Contracting concludes/projects begin | Approximately two (2) months from award notification |

Awarded projects are expected to start approximately six (6) months after the quarterly deadline date.

Process for Awards

The steps in the process are as follows (all steps are required):

1. Proposals are received via email and distributed to a judging pool of independent industry experts for review;
2. Written proposals are reviewed;
3. Finalists are selected and notified;
4. Finalists submit a draft pitch deck to MassCEC about their company and intended use of Program funds;
5. Finalists are coached on presentation content, style, and delivery;
6. Finalists present final pitches to and discuss their project to be judged by a pool of independent industry experts;
7. Awardees are notified and feedback is provided to all finalist teams;
8. Awardees execute a Project Workplan with assistance of a Technical Consultant and Awardees execute contract with MassCEC;
9. Awardees provide milestones and deliverables as required by the contract and workplan.

Please note: If awarded an InnovateMass award, the company and award will be disclosed to the public. MassCEC staff oversee the awards process and approve the final recommendations from the judges. MassCEC determinations are final and not subject to discussion. **In addition, MassCEC reserves the right to reject an applicant if the applicant violates any criteria in the application guidelines or does not provide sufficient information in the proposal.**

VI. HOW TO APPLY

If applying to the Gridtech Spotlight, please refer to the instructions in the Spotlight Appendix. Please note that Gridtech concept papers are due to partners no later than **February 17, 2025**.

The Lead Applicant will submit the Application materials prepared by the Applicant Team.

It is the sole responsibility of the Lead Applicant to ensure that the Application is complete and properly submitted. At its discretion, MassCEC may request supplemental materials from the Lead Applicant and such materials must be submitted within a timely, communicated manner or the Application may be rejected without further review.

All of the following documents must be included in the Application:

- **InnovateMass Application Form**
- **Attachment A: Lead Applicant's Signature and Acceptance Form**
- **Attachment B: Project Workplan.** Using the Project Workplan Template (Attachment B), the Lead Applicant must:
 - briefly describe the key tasks and milestones, responsible parties, and timeline of the proposed demonstration project, including a proposed schedule for monitoring to obtain the required performance data. An approved Project Workplan will serve as the first deliverable eligible for grant funding.
 - include an estimated budget, including total cost, total grant request, and total cost share (minimum fifty percent (50%) of grant request, or twenty-five percent (25%) for Public Benefit Project Sites).
- **Letter(s) of Commitment.** There must be at least two (2) Letters of Commitment submitted: 1) from the Lead Applicant, and 2) from the Host Site/Demonstration Partner. A signed Letter of Commitment shall indicate that, if awarded, the Applicant Team has agreed to work together to implement and manage the proposed project. One or more letters must be provided such that the letters include signatures from each participating organization, including the entity in control of the Project Site(s), and must lay out each team member's roles and responsibilities.

Optionally, Applicants are encouraged to complete the [30-second self-assessment](#) as part of the Certification Program for the [Supplier Diversity Office of Massachusetts \(SDO\)](#).

- MassCEC is interested in understanding the composition of its applicant and awardee pool in the InnovateMass Program. Applicants who choose to complete the SDO self-assessment tool are encouraged to provide a screenshot or printout of the results page with their application packages to support MassCEC's effort to collect data regarding the applicant and awardee pool for the InnovateMass Program. While this is not currently a Program requirement, applicant submission of the SDO questionnaire will help MassCEC better understand the composition of our applicant base today and may influence the selection of projects in the future.
- While MassCEC encourages its Program Applicants to pursue certification if eligible, MassCEC recognizes that venture-backed startups may be ineligible for certification. Because MassCEC is interested in the results of the self-assessment tool primarily for informational purposes, MassCEC requests that Applicants respond to the questions in the tool based only on full-time employees with equity stakes, rather than considering the equity owned by investors.

The completed Application and all other documentation (including the project budget) should be submitted to innovate@masscec.com in a single PDF file with an additional copy of the project budget in

a separate Excel file. “InnovateMass Application – [Company Name]” must appear in the e-mail subject line.

Do not disclose any proprietary information in your proposal. Applicants will receive a reply e-mail as confirmation for receipt of a completed proposal.

MassCEC reserves the right to disqualify any submission at its sole discretion. Proposals that are not received by the close of the application period will not be considered. To view a complete list of MassCEC startup funding programs, please visit <https://www.masscec.com/funding>

VII. BUDGET

InnovateMass awards of up to Three Hundred Fifty Thousand Dollars (\$350,000) are paid to grantees on a milestone and deliverable basis. Milestones and deliverables are to be memorialized, with target completion dates and scopes of work associated with each milestone, in a detailed workplan (the “Project Workplan”; see template in Attachment B). For all awardees, the first milestone and associated deliverable will be the completion of an updated and more detailed Project Workplan, including budget estimates for each milestone. Awardees are eligible for a grant installment of up to ten percent (10%) of their total grant for this first milestone. The final milestone and deliverable for all grantees will be the completion of a final report and presentation to MassCEC. Final report topics may include but are not limited to the project’s overall execution, findings, challenges, and solutions, and intended next steps. No less than five percent (5%) of the total grant amount will be allocated to this final milestone.

With each milestone submission, Grantee shall submit a metrics collection form to track improvement over the life of the InnovateMass project (such as jobs supported, TRL, etc.). MassCEC will provide a template and Grantee and MassCEC will discuss metrics reporting during contracting.

Grant funds will not be disbursed until initiation of the project, including the final approval of the proposed Project Workplan by the Program Technical Consultant and MassCEC staff and the execution of a grant agreement. Awardees will be notified in writing when each of these steps is complete. Applicants should give careful thought to their cash flow needs and must be prepared to support those needs. The grant agreement will require the Lead Applicant to obtain MassCEC approval for changes or revisions to the Project Workplan or the budget.

Applicants should be aware that, if awarded, the award letter will stipulate that if after a period of six (6) months from the date of the award notification, an awardee has not completed an approved Project Workplan and a signed grant agreement, the award may be rescinded at MassCEC’s sole discretion. This does not preclude the awardee from reapplying to the Program in a future funding round. If the project and final project milestones have not been completed twenty-four (24) months from the Project Workplan approval date, MassCEC reserves the right to reduce or rescind any remaining award amounts at its sole discretion.

ELIGIBLE BUDGET ITEMS

It is MassCEC’s policy not to compensate for general administration, overhead, or general-purpose expenses including general purpose materials or facilities. Budget items must be:

- Uniquely associated with the proposed project;
- Justified as to why it is a necessary and reasonable part of the project; and

- Incurred after the execution of a grant agreement with MassCEC.

All budget items generally fall into one (1) of three (3) categories: 1) eligible cash expenses; 2) eligible cost share expenses; or 3) other budget items ineligible for grant funding or cost share. It must be clear why each budget item is necessary for the project.

The following items are expenses that *may be included* in the project budget:

- Materials, Equipment, Facilities and Supplies: The equipment must be a new purchase. May include parts and equipment supplied to selected applicants as part of a lump-sum contract.
- Transport (*i.e.*, transporting a key piece of equipment): The proposal should document why transportation is required for the project.
- Travel: Allowable for consultants retained by Applicant Teams as a subcontractor only. Subcontractor travel should be included in overall subcontractor hourly rates when reported as a deliverable. Travel is not an eligible grant expense, however, grantees can attribute travel expenses to cash cost share contribution.
- Direct labor directly related to the InnovateMass project: For each employee, list the name, title, anticipated number of hours worked and hourly rate, if applicable. Identify the basis for the pay rate used (*e.g.*, actual salary, composite rate, labor distribution report, technical estimate, state civil service rates, etc.). If composite rates are being proposed for a particular position or group category, please state the rate basis as a composite rate. If new hires are proposed, please explain the basis for how you determined their hourly rate. If applicants are selected for award negotiations, they may be required to provide payroll information or a certification statement to verify that the proposed rates are the actual rates being paid to the proposed individuals. If direct is included, only gross wages, employer-contributed Federal Insurance Contributions Act taxes, state unemployment insurance, and Federal Unemployment Tax Act taxes may be included for such labor; fringe benefits on direct labor or shall not be included.
- Subcontractor (including project partner or host) labor directly related to the InnovateMass project: MassCEC must approve the use of any subcontractor labor in writing prior to awardee using MassCEC funds to pay for the expenses associated with such subcontractor labor.

Applicants are encouraged to consider MassCEC's [Clean Energy Internship Program](#) to find additional team members to assist with the project.

COST-SHARE REQUIREMENT

Awardees must provide cost share equivalent to at least fifty percent (50%) of the grant amount awarded, or a minimum of twenty-five (25%) of the grant awarded for projects at any of the Public Benefit Project Sites defined below. All Public Benefit Project Sites must be Massachusetts-based.

“Public Benefit”³ Project Sites are defined as any of the following:

- Massachusetts publicly owned facilities
- Low/moderate income (LMI) buildings
 - Single-family residential homes that are owned by residents that meet less than sixty percent (60%) and have deed restriction and/or fuel assistance verification

³ Note: MassCEC will determine, in its sole discretion, if the host site meets the Public Benefit definition set forth above.

- Multifamily affordable housing buildings that have an eligibility letter from the Low-Income Energy Affordability Network (LEAN)'s Low-Income Multifamily (LIMF) Energy Retrofits Program; or A deed restriction that explicitly states the development has reserved at least fifty percent (50%) of the units for households earning eighty percent (80%) or less of state median income
- A site that has direct benefits to an [Environmental Justice \(“EJ”\) community](#). For the purpose of this RFP, having a demonstration project in one of these communities would be considered a “Public Benefit Project Site”.

At least twenty percent (20%) of awardees' *required* cost share must consist of cash contributions as defined below. However, applications may include additional cost share of any kind (cash or in kind) over and above the minimum requirement. For example:

- If an Applicant Team requests a Two Hundred Thousand Dollar (\$200,000) grant, and the host site is not at a Public Benefit Project Site, then the Applicant Team must demonstrate that it will provide at least One Hundred Thousand Dollars (\$100,000) in cost share toward the project.
- Of this One Hundred Thousand Dollars (\$100,000), at least Twenty Thousand Dollars (\$20,000) must be in the form of cash contributions.
- Any additional cost share contributions in excess of the One Hundred Thousand Dollars (\$100,000) requirement may be of in kind, cash, or any combination of the two.

All cost share must be used directly for the project during the Awardee's contract period.

Cash cost share is an actual cash payment made by the Lead Applicant for costs incurred and paid for during the project. Cash cost share sources include cash contributed by the Lead Applicant or Applicant Team, documented grants from other parties (such as other state or federal agencies or charitable organizations), or contributions of equipment, materials, or subcontractor labor. Examples of cash cost share payments for the purposes of this RFP include, but are not limited to:

- Personnel costs
- Supply and equipment costs
- Indirect costs, or other costs

Cash cost share contributed by members of the Applicant Team apart from the Lead Applicant may be provided in the form of a waived fee or a discount of a marketed product; however, such contributions must be documentable in the form of a project deliverable.

In kind cost share may include direct labor of project team members at reasonable rates as well as services and materials used for the project; for example, use of equipment provided by a project partner.

INELIGIBLE BUDGET ITEMS

The following items should not be included in the project budget:

- Administrative expenses;
- Overhead (including, but not limited to, telephone, electricity, rent for office/lab space);
- Miscellaneous office equipment and supplies, equipment and supply costs associated with general business operations, or equipment and supplies not related to the InnovateMass project;
- Postage (including packaging and shipping materials);
- Printing; and

- Fringe benefits (including but not limited to health insurance, 401K plans or similar or other staff benefits).

VIII. SELECTION CRITERIA

The reviewers will be asked to consider the following for consideration while reviewing applications:

- **Technical merit:** The proposed technology is at the TRL 5-8 stage, and this is justified by appropriate validation. The technology is innovative and viable and will be solving an industry pain point or opportunity area. The proposal will indicate an understanding of existing alternative solutions and demonstrating that the technology has potential to be superior.
- **Commercialization Potential:** The market is large and/or experiencing strong, sustainable growth with rapid adoption of technologies. Identification of a compelling value proposition for this technology and a viable sales model. Understanding of the policy and regulatory environment and its impacts on the commercialization potential of the technology. Identification of a viable go-to-market strategy and of a sustainable business model.
- **Clean Energy Impact and Project Benefits:** If successful, the Climatetech demonstrates the potential for a transformational clean energy and climate impact, with significant improvement over current state-of-the-art technology. The technology could mitigate a substantial amount of GHG emissions (tens of millions of tons annually) and/or significantly lessen the impact climate change will have, at a minimum, at a regional (Massachusetts/New England) scale, through adaptation, resiliency, and environmental sustainability.
- **Applicant Team:** Lead applicant has relevant skills, qualifications, and experience to lead execution of the project. Other Applicant Team members have relevant skills, qualifications, and experience to support successful completion of the project. Team shows they are knowledgeable of the steps they need to take to commercialize the technology.
- **Project Workplan:** Project Workplan includes a description of how the Applicant Team intends to demonstrate successful completion of milestones under the InnovateMass Program. A strong Project Workplan will be relevant to the goals of the Program, and achievable within a 24-month timeframe and will include a description of how necessary resources will be mobilized and how the work can be accomplished according to the proposed timeline. The Project Workplan will include details on the installation plan and identify a clear and thorough monitoring and evaluation plan. The Project Workplan will include how grant funds and cost share will be allocated within the proposed project budget.

All applications will be judged on the project's estimated clean energy and economic benefits generally as well as to the Commonwealth of Massachusetts and the Focus Areas in particular.

Software proposals are eligible but should endeavor to highlight the novel innovation at the core of the proposed technology.

IX. CONTACT INFORMATION

All questions regarding the InnovateMass Program and this RFP should be directed to:
innovate@masscec.com

X. GENERAL REQUEST FOR PROPOSALS CONDITIONS

NOTICE OF PUBLIC DISCLOSURE

As a public entity, MassCEC is subject to Massachusetts' Public Records Law, codified at Chapter 66 of the Massachusetts General Laws. Thus, any documentary material, data, or other information received by MassCEC from an applicant is a public record subject to disclosure. Applicants may not send MassCEC any confidential or sensitive information in response to this RFP; if MassCEC receives any confidential or sensitive information in response to this RFP, then MassCEC shall, in its sole discretion, determine whether any particular document, material, data, or other information is exempt from or subject to public disclosure. **Applicants acknowledge and agree that they shall not send MassCEC any confidential or sensitive information in response to this RFP.** If confidential information is submitted as part of the application and not clearly marked as confidential, such information may be made publicly available by MassCEC without further notice to the Applicant. **Please note:** consultant rate sheets will be considered a public record subject to disclosure.

DISCLAIMER & WAIVER AUTHORITY

This RFP does not commit MassCEC to award any funds, pay any costs incurred in preparing an application, or procure or contract for services or supplies. MassCEC reserves the right to accept or reject any or all applications received, waive minor irregularities in submittal requirements, modify the anticipated timeline, request modification of an application, negotiate with all qualified applicants, cancel or modify the RFP in part or in its entirety, or change the application guidelines, when in its best interests.

This RFP has been distributed electronically using MassCEC's website. It is the responsibility of applicants to check the website for any addenda or modifications to an RFP to which they intend to respond. MassCEC accepts no liability and will provide no accommodation to applicants who submit an application based on an out-of-date RFP document.

CONTRACT REQUIREMENTS

Upon MassCEC's authorization to proceed with the proposal, MassCEC and the Lead Applicant(s) will execute a contract, substantially in the form of the template Grant Agreement attached hereto as Attachment C, which will set forth the respective roles and responsibilities of the parties.

Upon successful contract execution, all awardees shall be required to complete the following, in addition to the milestones and deliverables that will be mutually agreed upon before the project start date:

- A submission of a metrics collection template at the time of each invoice.
- For the second metrics collection, awardees shall be required to complete an Emissions Reduction Potential analysis ("ERP"). Guidance on how to complete the ERP can be found [here](#) and the template that would be used to input results can be found [here](#). Completion of an ERP is not required at time of application.
 - An example of the metrics collection template can be found [here](#). Please note this template would only be in use after the award is made and is not a requirement of the application.

- A site visit to the demonstration project site.
 - MassCEC staff will accompany Grantee on a site visit to see the demonstration of the technology.
- A final report and presentation to MassCEC staff summarizing the findings of the project.
- If the Applicant is awarded a grant under the Program, the Applicant understands that it must notify MassCEC of all changes (“Changes”) to its articles of incorporation, articles of organization, annual filings with the Secretary of State’s Office, or any similar organizing documents (“Organizing Documents”), including, but not limited to, changes to the Grantee’s structure, officers or directors, legal name, or registered agent, as soon as possible. MassCEC may request substantiation of all updated Organizing Documents, written consents or releases from co-founders, managers, or other key personnel of Grantee, explanation of accounting of any Grant dollars received to date, and other documentation as may be reasonably requested on a case-by-case basis. In the event that it is unclear who has authority to communicate with MassCEC on behalf of the Grantee, including the Project Manager identified by Grantee, MassCEC may in its sole discretion suspend payments under this Agreement until there is a clear authorized representative of the Grantee.

INTERACTIONS WITH OTHER MASCEC PROGRAMS

Applicants may apply for the same project to both InnovateMass and another MassCEC program, provided that it has not been *awarded* funds under another MassCEC program for the same scope of work. MassCEC has no restrictions against considering applications for the same project in multiple programs but will only award a project under at most one (1) program. Applicants are encouraged to consider both programmatic fit and timeline considerations when determining which program(s) to apply under.

If the applicant is a previous awardee of another MassCEC program, such as Catalyst or AmplifyMass, it is still eligible to apply, provided that the scope of work being proposed under the InnovateMass project is unique and does not replicate work that MassCEC has previously funded. However, MassCEC reserves the right to disqualify applications which have not been compliant with previous MassCEC awards.

Previous InnovateMass Awardees may only apply to the Program if they are proposing a new and distinct technology than that in the previously awarded project. In the Application, the Lead Applicant shall explain how the project and product in this current proposal are meaningfully different than the previous InnovateMass product and project (from a technology and/or market perspective) and how these additional InnovateMass funds will be critical to the company’s overall success and the commercialization of the product moving forward. **Additionally, the previous InnovateMass project must be completed before applying for a different InnovateMass grant.**

ATTACHMENT A: AUTHORIZED APPLICANT’S SIGNATURE AND ACCEPTANCE FORM

InnovateMass

The undersigned is a duly authorized representative of the Applicant named below. The undersigned has read and understands the RFP requirements and acknowledges and confirms that the Applicant and each member of its team has read and understands the RFP Requirements. The undersigned acknowledges and agrees that all of the terms and conditions of the RFP are mandatory.

The undersigned and each Applicant and each member of its team acknowledges and agrees that (i) all materials submitted as part of the application are subject to disclosure under the Massachusetts Public Records Law, as explained in the RFP; (ii) that MassCEC has no obligation, and retains the sole discretion to fund or choose not to fund the application set forth herein; and (iii) that MassCEC’s receipt of the application does not imply any promise of funding at any time.

The undersigned and each member of the Applicant’s team understands that, if the Application is selected by MassCEC pursuant to this RFP, the Applicant will execute and deliver an agreement to be provided by MassCEC that shall set forth the terms and conditions, together the respective roles and responsibilities of the Applicant, and each member of its team, and MassCEC, with respect to the project described in the RFP. The undersigned and each member of the Applicant’s team acknowledges that they have reviewed the example grant agreement terms provided with the RFP.

I certify that the statements made in this Application, including all attachments and exhibits, are true and correct.

Applicant: _____

(Printed Name of Applicant)

By: _____

(Signature of Applicant or Authorized Representative)

Title: _____

Date: _____

GRANT AGREEMENT

This Grant Agreement (the “Agreement”), effective as of [Date – Month DD, YYYY] (the “Effective Date”), is by and between the **Massachusetts Clean Energy Technology Center** (“MassCEC”) an independent public instrumentality of the Commonwealth of Massachusetts with a principal office and place of business at 294 Washington Street, Suite 1150, Boston, MA 02108, and [Grantee Name] with a principal office and place of business at [Grantee Address] (“Grantee”). Each of MassCEC and Grantee are at times referred to in this Agreement as a “Party,” and together the “Parties”.

WHEREAS, the development of clean energy technologies requires a successful demonstration and validation of the technology to make it viable for investment and ready for mass production;

WHEREAS, MassCEC created the InnovateMass program (the “Program”) to help bring to market new technologies or novel combinations of existing technologies, finding demonstration projects that address the energy and climate challenges facing the Commonwealth;

WHEREAS, pursuant to this Agreement, MassCEC will provide Grantee a grant to demonstrate [description of the Project] (the “Project”) [with CRITICAL PARTNERS] to [Describe nature of involvement with Critical Partners]; and

WHEREAS, [Critical Partner] is a [Nature of Critical Partner], with a principal office and place of business at [Critical Partner’s Address] and will [nature of Critical Partner’s contribution to Project].

NOW, THEREFORE, in consideration of the recitals, the mutual promises and covenants contained in this Agreement, and other good and valuable consideration, the receipt, adequacy, and sufficiency of which are hereby acknowledged, MassCEC and Grantee agree as follows:

1. Performance of the Work

Grantee shall conduct the Project and provide the deliverables (the “Deliverables”) described in the project workplan (the “Project Workplan”), which shall be developed before the execution of this Agreement by Grantee in collaboration with a Program technical consultant (the “Technical Consultant”) retained by MassCEC and subject to final approval in writing (email acceptable) by the MassCEC Project Manager(s) designated in Section 4(a) below.

- a. The Project Workplan shall be attached to and incorporated into this Agreement as Attachment 1. MassCEC shall have the right at its sole discretion to allow for additional time for the completion of Deliverables in the Work Plan without need to amend this Agreement. If Grantee cannot satisfy a completion date, it shall seek MassCEC’s prior written approval, email acceptable, of a later completion date and provide reasoning for its request. MassCEC shall approve or deny Grantee’s request, email acceptable, within a reasonable time period.
- b. Grantee is solely responsible for all Project decisions, the preparation of all plans and specifications, and completing the Project in accordance with the Project Workplan. Grantee will, for the full duration of the Agreement, ensure that the Project qualifies as “clean energy” or “clean energy research” as such terms are defined in M.G.L. c. 23J, Section 1 (collectively, the “Clean Energy Project Qualifications”).

- c. Grantee is solely responsible for selecting and entering into a written contract (or contracts) with contractors as necessary to provide the Deliverables and complete the Scope of Work, and for ensuring that the contractors Grantee retains comply with all applicable provisions of this Agreement. Grantee acknowledges that MassCEC shall have no responsibility for managing such contractors or the relationship between Grantee and its contractors. Further, Grantee shall indemnify and hold harmless MassCEC from any Damages (as defined in Section 14) associated with any disputes occurring between Grantee and its contractors arising from or in relation to the Project.
- d. Grantee acknowledges that MassCEC will have no responsibility for management of the Project, including obtaining all local, state, and federal permits, as applicable.
- e. Grantee shall be responsible for completing all required steps to receive funding from any other entity besides MassCEC.

2. Term

The term of this Agreement shall commence on the Effective Date, and shall expire on [Date – Month DD, YYYY] (the “Term”) unless otherwise terminated in accordance with Section 8 herein.

3. Grant Amount; Payment; Rescission

- a. *Grant Amount.* In consideration of the various obligations to be undertaken by Grantee pursuant to this Agreement, MassCEC agrees to provide Grantee with funds in an amount not to exceed [write out amount] Dollars (\$number) (the “Grant”). The Parties acknowledge and agree that this is a maximum authorization, and MassCEC is under no obligation to transfer the full amount to Grantee, or any amount, in the event Grantee does not satisfy the requirements under this Agreement, including, but not limited to, the development of the finalized and approved Project Workplan. Grantee acknowledges and agrees that this receipt of the Grant, or any portion of this Grant, does not create any rights of preferences to receive subsequent funding from MassCEC. In no event shall the Grant exceed the amount specified in this section.
- b. *Payment.* MassCEC will pay Grant funds to Grantee in installments in accordance with the Project Workplan in Attachment 1 (each installment a “Grant Installment”). Grantee shall submit an invoice by email to MassCEC’s Project Managers listed in Section 4(a). Grantee shall submit each invoice accompanied by a completed and signed Cost Share and Expenditure Certification (Attachment 2) that certifies that the Cost Share requirement has been met, based upon Allowable Expenses incurred and payment made by Grantee. MassCEC shall pay each Grant Installment within forty-five (45) days of approval of the corresponding invoice.
- c. *Rescission.* If Grantee materially breaches any term of the Agreement, in addition to the ability to terminate as set forth in Section 8(a), MassCEC shall have the right to rescind Grant payments; provided, however, that Grantee shall have the opportunity to cure such breach within thirty (30) days of the breach and if Grantee does so, MassCEC shall not exercise the right to rescind Grant payments. If Grantee becomes insolvent, makes an assignment of rights or property for the benefit of creditors, or files for or has bankruptcy proceedings instituted against it under the federal bankruptcy law of the United States, or if MassCEC reasonably believes that such an event is imminent, MassCEC, acting in its sole discretion, may rescind the remaining undisbursed portion of the Grant. If, after a period of six (6) months from the date of the award notification, Grantee has not completed an approved Project Workplan, the award may be rescinded by MassCEC in its sole discretion. If, twenty-four (24) months after the Effective Date, the Project has not been completed, MassCEC reserves the right to reduce or rescind the remaining unfunded portion of the Grant, provided that MassCEC may waive this penalty in its sole discretion.

4. Project Managers

- a. MassCEC and Grantee have designated the following persons to serve as Project Managers to support effective communication between MassCEC and Grantee and to report on the Project's progress (each a "Project Manager"). Grantee represents and warrants that its Project Manager is authorized to communicate with MassCEC on behalf of Grantee.

For MassCEC:

[First Name Last Name], ([phone number] / [email]@masscec.com)

[First Name Last Name], ([phone number] / [email]@masscec.com)

For Grantee:

[First Name Last Name], ([phone number] / [email]@)

- b. Grantee shall obtain prior written approval from MassCEC to make any change to its Project Manager. For the avoidance of doubt, MassCEC may update its Project Manager(s) listed without amending this Agreement, if done in compliance with the notice provisions of Section 5.

5. Notice

Any notice in this Agreement shall be in writing and shall be sent either by (i) facsimile, email, or other electronic transmission, (ii) courier, or (iii) first class mail, postage prepaid, addressed to the Project Manager listed in Section 4(a) at the address indicated in the preamble of this Agreement (or to such other address as a Party may provide by notice to the Party pursuant to this section), and shall be effective (x) at dispatch, if sent by facsimile, email, or other electronic transmission, (y) if sent by courier, upon receipt as recorded by courier, or (z) if sent by first class mail, five (5) days after its date of posting.

6. Publicity; Use of Name

- a. Grantee shall collaborate directly with MassCEC to prepare any public statement, media strategy or announcement relating to or bearing on the work performed or data collected under this Agreement or to prepare any press release or for any news conference in which MassCEC is concerned or discussed, including, but not limited to, any media pitches, interviews, embargoed materials, photo opportunities, blogs, guest columns, media events, or editorial boards which relate to this Agreement or MassCEC (each, a "Public Statement") and shall in no event be permitted to publish, release, or otherwise disseminate any such Public Statement without MassCEC's prior written consent.
- b. Grantee agrees that MassCEC shall have the right to make use of and disseminate, in whole or in part, all work products, reports, Deliverables, and other information produced in the course of the Project, and to use the information in such materials contained to produce summaries, case studies, or similar information resources.

7. Other Requirements

- a. *Monitoring and Evaluation.* Grantee agrees to support MassCEC's program monitoring and evaluation activities, and MassCEC's dissemination of information regarding Grantee's experiences. To this end, Grantee agrees that its key personnel and contractors working on the Project will be available at reasonable times with advance notice to be interviewed by MassCEC or its authorized representatives for purposes of obtaining information on the status of the Project, evaluating the Program, and/or case study development. Grantee agrees to (a) provide Project status updates to the Technical Consultant approximately once per month during the course of the Project; and (b) respond promptly to inquiries for documentation or information from MassCEC or its Technical Consultant.
- b. *Grant Administration.* Grantee shall use the Grant funds only for the activities described in the approved Project Workplan. Grantee shall maintain financial records relating to the receipt and expenditure of all Grant funds in accordance with the terms set forth under this Agreement for a period of seven (7) years starting on the first day after final payment under the Agreement.
- c. *Grant Expenditure.* All costs incurred by Grantee before the Effective Date are incurred voluntarily, at Grantee's risk and upon its own credit and expense. Grantee shall not incur any costs to be charged against Grant funds prior to the Effective Date.
- d. *Cost Share.* Grantee agrees to meet a minimum [PICK ONE DEPENDING ON WHETHER PUBLIC BENEFIT SITE: fifty percent (50%) or twenty-five percent (25%)] cost share ("Cost Share") over the Grant term, including a minimum twenty percent (20%) cash cost share. "Cash Cost Share" shall consist only of cash contributed by Grantee or [CRITICAL PARTNERS], documented grants from other parties (such as other state or federal agencies or charitable organizations), or contributions of equipment, materials, or subcontractor labor. Grantee agrees and acknowledges that its Cost Share may be direct labor from Grantee or [CRITICAL PARTNERS], Cash Cost Share or a combination thereof. MassCEC shall determine, in its sole discretion, whether any funds that Grantee seeks to categorize as Cost Share for purposes of this Agreement satisfy the requirements of this Agreement, and MassCEC will pay Grant funds only upon Grantee's demonstration of Cost Share for each Grant Installment by providing (i) Deliverables as set forth in the Project Workplan; and (ii) Expenditure and Cost-Share Certifications at each milestone set forth in the Project Workplan. Grantee agrees that, in the absence of such Cost Share, MassCEC shall not be bound by this Agreement to provide any Grant Installment. Grantee's cumulative Cost Share amount at the time Grantee submits any invoice to MassCEC shall constitute no less than forty percent (40%) of total of all invoiced Grant Installments.
- e. *Allowable Expenses.* Grantee's costs uniquely associated with the Project and incurred directly in the completion of Milestones set forth in the Project Workplan and identified in the Project Budget (the "Allowable Expenses") shall be eligible for Cost Share. For the avoidance of doubt, Allowable Expenses shall not include general administration, overhead, mark-ups, travel (by Grantee) or general-purpose facilities, equipment, materials, or software.
- f. *Patent Filings.* Grantee shall notify MassCEC in writing (email acceptable) of the filing of all patent applications and all issuances to it of any and all patent(s) directed to an invention conceived, made and/or obtained, in whole or in part, by Grantee in the course of, and/or resulting or stemming from, research or development funded in whole or in part by the Grant funds that may result in a patent or patent application or patent rights within thirty (30) days following such filing(s) which commitment shall survive termination of this Agreement.

- g. *Licensing of Technologies.* Grantee shall notify MassCEC in writing (email acceptable) of the licensing of any technologies conceived, made and/or obtained, in whole or in part, by Grantee in the course of, and/or resulting or arising from, research or development funded in whole or in part by this MassCEC award within thirty (30) days of such licensing, which commitment shall survive termination of this Agreement. Under no circumstances shall Grantee be permitted to deny or fail to disclose the existence of such a licensing arrangement, regardless of whether such a nondisclosure obligation exists under the arrangement. To the extent such licensing arrangement restricts Grantee from revealing confidential terms of the arrangement, Grantee shall provide MassCEC with a non-confidential description of the arrangement by withholding or redacting any information that would violate such confidentiality obligations.
- h. *This Section will depend on whether the Grantee is a MA-based company, or a company who will have a project site in MA].*

[If MA-Based Company] - Massachusetts Presence and Registration Requirement. During the Term, Grantee shall maintain a majority of the following of its business operations in the Commonwealth: (i) the location of the company headquarters; (ii) primary sales and marketing operations; (iii) primary manufacturing operations; (iv) primary research and development operations (the "Massachusetts Presence Requirement"). Grantee shall immediately notify MassCEC in writing in the event at any time during the Term it is no longer in compliance with the Massachusetts Presence Requirement.]

[If Company with project site in MA] - Massachusetts Presence Requirement. During the Term, Grantee must maintain at least one (1) project site (i.e., a location where the proposed technology is being tested) in Massachusetts and the proposed technology must fall within one (1) of the following four (4) focus areas of MassCEC:

- High performance buildings

Impactful, resilient, and cost-effective electrification technologies and approaches to decarbonizing the building sector.

- Clean transportation

Technologies that address the market barriers to electric vehicle deployment across weight classes, as well as technologies that reduce GHG emissions through vehicle-mile-travelled reduction and reduction of fuel usage in vehicles that have no electrification solution at present.

- Offshore wind

Project risk and cost reduction, market confidence enhancement and economic development that advance this new industry.

- Net zero grid

Technologies that enable a transition to a modernized and smarter grid which can host sufficient clean energy and flexible load resources to reach Net Zero, such as microgrids and energy storage.

Additionally, Grantee represents and warrants that Grantee is registered and in good standing with the Secretary of State's Office of the Commonwealth of Massachusetts.

- i. *Changes to Corporate Structure.* Grantee shall notify MassCEC, in writing (email acceptable), of

all changes (“Changes”) to its articles of incorporation, articles of organization, annual filings with the Secretary of State’s Office, or any similar organizing documents (“Organizing Documents”), including, but not limited to, changes to the Grantee’s structure, officers or directors, legal name, or registered agent, as soon as possible. MassCEC may request substantiation of all updated Organizing Documents, written consents or releases from co-founders, managers, or other key personnel of Grantee, explanation of accounting of any Grant dollars received to date, and other documentation as may be reasonably requested on a case-by-case basis. In the event that it is unclear who has authority to communicate with MassCEC on behalf of the Grantee, including the Project Manager identified by Grantee herein, MassCEC may in its sole discretion suspend payments under this Agreement until there is a clear authorized representative of the Grantee.

8. Termination

- a. MassCEC may terminate this Agreement at any time if Grantee has materially breached any term of the Agreement and fails to cure such breach as provided in Section 3(c).
- b. MassCEC may terminate this Agreement in the event of loss of availability of sufficient funds for the purposes of this Agreement or in the event of an unforeseen public emergency or other change of law mandating immediate action inconsistent with MassCEC performing its obligations under this agreement.
- c. Except as otherwise provided in the Agreement, the rights and obligations of each of the Parties under Sections: 5, 6(b), 7(b), 7(f), 7(g), 8, 10, 11, 14, 15, 18, 19, 21, 22, 24, 26, and 27 of this Agreement shall survive and remain in effect after the termination or expiration of this Agreement.
- d. Throughout the term of this Agreement, Grantee agrees and acknowledges that to receive payments of Grant Installments, Grantee must ensure the Project conforms with (i) the Clean Energy Project Qualifications, (ii) the Massachusetts Presence Requirement, (iii) the Project Workplan, and (iv) that the Project is completed within four (4) years of the Effective Date. The Parties agree that in the event MassCEC determines, in its sole discretion, that Grantee has failed to comply with any of the requirements of (i) through (iv) in the immediately preceding sentence, MassCEC shall have the right to immediately terminate this Agreement in accordance with this section and reduce or rescind Grant Installments. In addition, pursuant to Section 11, Grantee shall be required to refund any and all non-complying Grant Installments, or portions of such Grant Installments, made by MassCEC prior to the effective date of such termination (“Termination Date”), in the event an audit reveals the existence of a Nonconformance Event (as defined in Section 11) at any other time on or after the Effective Date.

9. Tax Forms and Grant Taxability

- a. Grantee shall provide MassCEC with a properly completed United States Internal Revenue Service (“IRS”) Form W-9 (the “W-9”). Failure to provide the W-9 shall be grounds for withholding all Grant Installments until such W-9 is received. W-9s shall be emailed to finance@masscec.com.
- b. Grants may be considered taxable income by the IRS and the Massachusetts Department of Revenue. Grantee is solely responsible for any failure to timely consult with a tax professional to determine the federal and/or state implications of this Agreement. MassCEC will issue an IRS Form 1099 to each Grantee. For all tax-exempt entities (including government entities), a tax-exemption certificate or IRS tax-exemption determination letter must be emailed to finance@masscec.com.

10. Access and Use

Grantee agrees to license or otherwise make available to MassCEC in perpetuity, without charge, the Grantee's interest in and copyright (if any) to all non-confidential materials prepared and produced for the Project, including, without limitation, all plans, specifications, and analyses developed in connection with the Project and specified as being for MassCEC's use and public dissemination; provided, however, that any and all inventions that are conceived or first reduced to use during the course of the Project shall be the sole property of Grantee (except that if jointly invented, title shall flow in accordance with United States patent law), and any licensing requests for such inventions shall be subject to good faith negotiations between the Parties.

11. Audit

At any time prior to the completion of the Project and as otherwise provided in this section, MassCEC will have the right to audit Grantee's or its other agents' records to confirm the use of the Grant awarded under this Agreement. If such audit reveals that any portion of such funds was utilized for purposes not permitted under the Agreement (a "Nonconformance Event"), then Grantee shall refund to MassCEC the amount determined by such audit to have been improperly used within thirty (30) days of Grantee's receipt of such audit and demand. In the event such audit reveals a Nonconformance Event, MassCEC shall be permitted to immediately terminate this Agreement and discontinue disbursing Grant Installments to Grantee effective as of the date the audit is completed, subject to any limitations set forth by Section 8. Grantee shall maintain books, records, and other compilations of data pertaining to the funds paid under the Agreement to the extent and in such detail as shall properly substantiate use of such payments. All such records shall be kept for a period of seven (7) years, starting on the first day after final payment under the Agreement (the "Retention Period"). If any litigation, claim, negotiation, audit, or other action involving the records is commenced prior to the expiration of the Retention Period, all records shall be retained until completion of the audit or other action and resolution of all issues resulting from audit or other action, or until the end of the Retention Period, whichever is later. MassCEC or the Commonwealth or any of their duly authorized representatives shall have the right at reasonable times and upon reasonable notice, to examine and copy at reasonable expense, the books, records, and other compilations of data of the Grantee which pertain to the provisions and requirements of this Agreement. Such access may include on-site audits, review, and copying of records.

12. Assignment and Subcontracting

Grantee shall not assign or in any way transfer any interest in Grant funds without the prior written consent of MassCEC, including subcontracting any services except as otherwise included in the Project Workplan.

13. Compliance with Laws

Grantee agrees to comply with all applicable federal, state, and local statutes, rules, regulations, and permitting requirements, including, but not limited to, all laws promoting fair employment practices or prohibiting employment discrimination and unfair labor practices and shall not discriminate in the hiring of any applicant for employment nor shall any qualified employee be demoted, discharged, or otherwise subject to discrimination in the tenure, position, promotional opportunities, wages, benefits, or terms and conditions of their employment because of race, color, national origin, ancestry, age, sex, religion, disability, handicap, sexual orientation, gender identity, or for exercising any rights afforded by law.

14. Indemnification

- a. To the fullest extent permitted by law, Grantee shall indemnify and hold harmless the Commonwealth, MassCEC, and each of their respective agents, officers, directors, and employees (together with the Commonwealth and MassCEC, the "Covered Persons") from and against any and all liability, loss, claims, damages, fines, penalties, costs, and expenses (including reasonable attorney's fees), judgments and awards (collectively, "Damages") sustained, incurred or suffered by or imposed upon any Covered Person resulting from (i) any breach of this Agreement or false representation of Grantee, its officers, directors, employees, agents, subcontractors, or assigns under this Agreement, or (ii) any negligent acts or omissions or reckless misconduct of Grantee, its officers, directors, employees, agents, subcontractors, or assigns. Without limiting the foregoing, Grantee shall indemnify and hold harmless each Covered Person against any and all Damages that may arise out of or are imposed due to the failure to comply with the provisions of applicable law by Grantee or any of its agents, officers, directors, employees, subcontractors, or assigns.
- b. In no event shall either Party be liable for any indirect, incidental, special, punitive, or consequential damages whatsoever (including, but not limited to, lost profits or interruption of business) arising out of or related to Grantee's, its officers', directors', employees', agents', subcontractors', or assigns' performance of the Project under this Agreement.

15. Public Records and CTHRU

As a public entity, MassCEC is subject to the Commonwealth's Public Records Law, codified at M.G.L. c. 66. Thus, any documentary material, data, or other information received by MassCEC from an applicant is a public record subject to disclosure. Grantee acknowledges and agrees that MassCEC, in its sole discretion, shall determine whether any particular document, material, data, or other information is exempt from or subject to public disclosure. Grantee agrees and acknowledges that it shall not send MassCEC any confidential or sensitive information under this Agreement.

Grantee agrees and acknowledges that MassCEC shall have the right to disclose the name of Grantee and/or payee, the amount of the payment pursuant to this Agreement, and any other information it may deem reasonably necessary on CTHRU, the Commonwealth's online database of state spending, or any other applicable state spending website.

16. Insurance

Grantee certifies that appropriate insurance coverage for all activities under this Agreement has been obtained and shall be maintained in effect through the term of this Agreement. GRANTEE ACKNOWLEDGES THE SUFFICIENCY OF THE TYPES AND AMOUNTS OF INSURANCE COVERAGE MAINTAINED AND THE APPROPRIATENESS OF THOSE COVERAGES FOR THE DURATION OF THE TERM. At MassCEC's request, Grantee will provide MassCEC with copies of the certificates of insurance evidencing such coverage. The insurance requirements for the Project and pursuant to this Agreement are solely Grantee's responsibility and shall not relieve Grantee of any responsibility to MassCEC.

17. Conflict of Interest

Grantee acknowledges that all MassCEC employees are subject to the Commonwealth's Conflict of Interest statute, codified at M.G.L. c. 268A.

18. Lobbying

No funds awarded by this Agreement may be used to pay for or otherwise support any activities intended to influence any matter pending before the Massachusetts General Court or for activities

covered by the law and regulations governing “legislative agents” or “executive agents” set forth in the Massachusetts Lobbying Law, M.G.L. c. 3, Section 39.

19. Choice of Law and Forum; Arbitration; Equitable Relief

- a. This Agreement and the rights and obligations of the Parties shall be governed by and construed in accordance with the laws of the Commonwealth, without giving effect to its conflict of laws principles. Any dispute arising out of or relating to this Agreement or its breach, termination, or invalidity, whether before or after termination of this Agreement, if not resolved by negotiation among the Parties within thirty (30) days after such dispute is raised by either Party in writing, will be settled by binding arbitration by a single arbitrator in accordance with the Commercial Arbitration Rules of the American Arbitration Association then in effect, and judgment upon the award rendered by the arbitrator may be entered in any court having jurisdiction over this Agreement. Any such arbitration will be conducted in or near Boston, Massachusetts. The prevailing Party shall be entitled to receive from the other Party its reasonable attorney’s fees and costs incurred in connection with any action, proceeding or arbitration under this subsection.
- b. This section shall not be construed to limit any other legal rights of the Parties. Each Party acknowledges and agrees that any breach or threatened breach of this Agreement by the other Party may result in substantial, continuing and irreparable damage to the first Party. Therefore, before or during any arbitration, either Party may apply to a court having jurisdiction for a temporary restraining order or preliminary injunction, where such relief is necessary to protect its interests pending completion of the arbitration proceedings.

20. Registration

Grantee represents and warrants that Grantee is registered and in good standing with the Secretary of State’s Office of the Commonwealth of Massachusetts.

21. Severability

Each provision of this Agreement shall be treated as a separate and independent clause and any decision from a court of competent jurisdiction to the effect that any clause or provision of this Agreement is null or unenforceable shall in no way impair the validity, power, or enforceability of any other clause or provision of this Agreement.

22. Amendments and Waivers

MassCEC may amend Section 15 (without any action by Grantee) to reflect changes in law or MassCEC policies and shall promptly deliver any and all such amendments to Grantee in the manner provided in Section 5. Except as provided in the immediately preceding sentence, no amendments to or modifications of this Agreement, and no waiver of any provision of this Agreement, shall be effective unless the same shall be in writing and shall be signed by each of the Parties. Any waiver by MassCEC of a breach of any provision of this Agreement shall not operate or be construed as a waiver of any subsequent breach of such provision or any other provision of this Agreement. Forbearance or indulgence in any form or manner by a Party shall not be construed as a waiver, or in any way limit the remedies available to that Party.

23. Force Majeure

Neither Party shall be liable or responsible to the other Party, nor be deemed to have breached this Agreement, for any failure or delay in fulfilling or performing any term of this Agreement, when and to

the extent such failure or delay is caused by or results from acts beyond the impacted Party's ("Impacted Party") reasonable control, including, without limitation, the following force majeure events ("Force Majeure Events"): (a) acts of God; (b) flood, fire, earthquake, or explosion; (c) war, invasion, hostilities (whether war is declared or not), terrorist threats or acts, riot, or other civil unrest; (d) actions, embargoes, or blockades in effect on or after the date of this Agreement; (e) national or regional emergency; and (f) strikes, labor stoppages or slowdowns. The Impacted Party shall give notice within two (2) days of the Force Majeure Event to the other Party, stating the period of time the occurrence is expected to continue. The Impacted Party shall use diligent efforts to end the failure or delay and ensure the effects of such Force Majeure Event are minimized. The Impacted Party shall resume the performance of its obligations as soon as reasonably practicable after the removal of the cause. In the event that the Impacted Party's failure or delay remains uncured for a period of ten (10) days following written notice given by it under this section, the other Party may thereafter terminate this Agreement upon fifteen (15) days' written notice.

24. Independent Status

Nothing in this Agreement will be construed or deemed to create a relationship of employer and employee, partner, joint venturer, or principal and agent between MassCEC and Grantee, its employees, agents, or officers.

25. Counterparts

This Agreement may be executed in two (2) or more counterparts, and by the Parties on separate counterparts, each of which will be deemed an original, but all of which together will constitute one and the same instrument.

26. Interpretation

The headings in this Agreement are for reference only and do not affect the interpretation of this Agreement. For purposes of this Agreement, (a) the words "include," "includes," and "including" are deemed to be followed by the words "without limitation"; (b) the word "or" is not exclusive; and (c) the words "herein," "hereof," "hereby," "hereto," and "hereunder" refer to this Agreement as a whole. Unless the context otherwise requires, references in this Agreement: (x) to sections, subsections, schedules, and exhibits mean the sections of, the subsections of, and schedules and exhibits attached to, this Agreement; (y) to an agreement, instrument, or other document means such agreement, instrument, or other document as amended, supplemented, and modified from time to time to the extent permitted by the provisions of such agreement, instrument, or other document; and (z) to a statute means such statute as amended from time to time and includes any successor legislation to such statute and any regulations promulgated under such statute. Whenever the singular is used in this Agreement, the same shall include the plural, and whenever the plural is used in this Agreement, the same shall include the singular, where appropriate. This Agreement shall be construed without regard to any presumption or rule requiring construction or interpretation against the Party drafting an instrument or causing any instrument to be drafted. This Agreement is the result of negotiations between, and has been reviewed by, the Parties and their respective legal counsel.

27. Binding Effect; Entire Agreement

This Agreement shall be binding on the Parties and their respective successors and permitted assigns, and shall inure to the benefit of the Parties and their respective successors and permitted assigns. Except as provided in the immediately preceding sentence, nothing in this Agreement shall be construed to create any rights or obligations except between the Parties, and no person shall be regarded as a third party beneficiary of this Agreement. This Agreement embodies the entire understanding and agreement between the Parties with respect to the subject matter of this Agreement and supersedes all prior oral or written agreements and understandings relating to such subject matter. No statement, representation, warranty, covenant, or agreement of any kind not set forth in this Agreement will affect, or be used to interpret, change, or restrict, the express terms and provisions of this Agreement. Furthermore, neither Grantee's nor any of its subcontractors' provision of services under this Agreement implies, establishes or otherwise creates any rights or expectations of additional contracts with the MassCEC, whether related or unrelated to the subject matter of this Agreement. The following (together with all exhibits, schedules, and attachments) are hereby incorporated into this Agreement by reference:

- a. Attachment 1—Project Workplan
- b. Attachment 2—Cost Share and Expenditure Certification
- c. Attachment 3 – ACH Enrollment Form
- d. Attachment 4 – Metrics collection template

[Remainder of Page Intentionally Blank]

In witness whereof, the Parties have caused this Agreement to be executed and delivered by their duly authorized officers as of the Effective Date.

Massachusetts Clean Energy Technology Center

[Grantee's full legal entity name]

By: _____

By: _____

Name: _____

Name: _____

Title: _____

Title: _____

Date: _____

Date: _____

Federal Tax ID No.: _____

SAMPLE

Attachment 2—Cost Share and Expenditure Certification

For submission with Grantee’s invoice

| Grantee Contact and Project Financing Information | |
|---|--|
| Project Title | |
| Grantee Contact Name, Title | |
| Company/Organization | |
| Milestone # and Name | |
| Grant Installment Amount Requested | |
| Grantee Cost Share Amount for Milestone | |
| Cost Share Source(s) | <i>I.e. Investors, in-kind, labor, cash, etc. Please include names of entities contributing to each type of cost share, amounts for each</i> |

This Cost Share and Expenditure Certification is subject to the Agreement, by and between Grantee and MassCEC. By signing below, the undersigned certifies that:

1. They are authorized to sign on behalf of Grantee;
2. MassCEC, pursuant to Section 11 of the Agreement, has the right to audit records to confirm the use of funds is consistent with the Grant requirements and may do so at any time in compliance with the terms of the Agreement;
3. Grantee has used and/or will use all Grant funds for the Project.

By: _____

(Signature of Authorized Representative)

Name _____

Title _____

Date _____

Attachment 3 – ACH Enrollment Form
Please submit completed form to Finance@masscec.com

| | | |
|---|--|--|
| Part I: Reason for Submission | | |
| <input type="checkbox"/> New Enrollment | <input type="checkbox"/> Change Enrollment | <input type="checkbox"/> Cancel Enrollment |
| Document Included | | |
| <input type="checkbox"/> Voided Check | <input type="checkbox"/> Bank Letter | |

| |
|---|
| Part II: Account Holder Information |
| Account Holder Legal Name |
| dba Name |
| Legal Address Number, Street, Apartment/Suite Number |
| City, State, Zip Code |
| Account Holder Tax Identification Number Employer Identification Number (EIN) Social Security Number (SSN) |

| | | |
|--|--------------------|--|
| Part III: Financial Institution Information | | |
| Financial Institution Name | | |
| Routing Number | Account Number | Account Type <input type="checkbox"/> Checking <input type="checkbox"/> Savings |
| If this is an Enrollment Modification, you must include your old financial institution information or your request will be returned. | | |
| Old Financial Institution Name | | |
| Old Routing Number | Old Account Number | Old Account Type <input type="checkbox"/> Checking <input type="checkbox"/> Savings |

| | |
|---|------------------------|
| Part IV: Vendor/Customer Information | |
| This is the person we will contact for any questions regarding this ACH Authorization | |
| Contact Person's Name | Contact Person's Title |
| Contact Person's Phone | Contact Person's Email |

Part V: Authorization

By signing below, I hereby certify that the account(s) indicated on this form is under my direct control and access; therefore, I authorize the Massachusetts Clean Energy Center to initiate, change, or cancel credit entries to the account(s) as indicated on this form.

For ACH debits consistent with the International ACH Transaction (IAT) rules check one:

- I affirm that payments authorized by this agreement are not to an account that is subject to being transferred to a foreign bank account
- I affirm that payments authorized by this agreement are to an account that is subject to being transferred to a foreign bank account.

This authority is to remain in full force and effect until the Massachusetts Clean Energy Center has received written notification from either me or an authorized officer of the organization of the account's termination in such time and in such a manner as to afford MCEC a reasonable opportunity to act upon it.

| | |
|-------------------------------------|------------|
| Account Holder Authorized Signature | Print Name |
| Title | Date |