

GRANT REQUEST FORM (GRF)

CEC-270 (Revised 02/13)

CALIFORNIA ENERGY COMMISSION

New Agreement EPC-14-062 (To be completed by CGL Office)

Division	Agreement Manager:	MS-	Phone
ERDD	David Weightman	51	916-327-1631

Recipient's Legal Name	Federal ID Number
The Regents of the University of California, on behalf of the Riverside Campus	95-6006142

Title of Project
Bringing Energy Efficiency Solutions to California's Water Sector With the use of Customized Energy Management System (EMS) and Supervisory Control and Data Acquisition System (SCADA)

Term and Amount	Start Date	End Date	Amount
	6/30/2015	3/29/2019	\$ 3,017,034

Business Meeting Information			
<input type="checkbox"/> ARFVTP agreements under \$75K delegated to Executive Director.			
Proposed Business Meeting Date	5/13/2015	<input type="checkbox"/> Consent	<input checked="" type="checkbox"/> Discussion
Business Meeting Presenter	David Weightman	Time Needed:	5 minutes
Please select one list serve. EPIC (Electric Program Investment Charge)			

Agenda Item Subject and Description
UNIVERSITY OF CALIFORNIA, RIVERSIDE. Proposed resolution approving agreement EPC-14-062 with the Regents of the University of California, on behalf of the Riverside Campus for a \$3,017,034 grant to demonstrate the peak demand reduction and energy efficiency benefits of procuring, customizing and integrating, energy management and data acquisition, and supervisory control strategies associated with the delivery and treatment of water in California.

California Environmental Quality Act (CEQA) Compliance
1. Is Agreement considered a "Project" under CEQA? <input type="checkbox"/> Yes (skip to question 2) <input checked="" type="checkbox"/> No (complete the following (PRC 21065 and 14 CCR 15378)): Explain why Agreement is not considered a "Project": Agreement will not cause direct physical change in the environment or a reasonably foreseeable indirect physical change in the environment because this project involves installation of software systems in existing facilities.
2. If Agreement is considered a "Project" under CEQA: <input type="checkbox"/> a) Agreement IS exempt. (Attach draft NOE) <input type="checkbox"/> Statutory Exemption. List PRC and/or CCR section number: _____ <input type="checkbox"/> Categorical Exemption. List CCR section number: _____ <input type="checkbox"/> Common Sense Exemption. 14 CCR 15061 (b) (3) Explain reason why Agreement is exempt under the above section: <input type="checkbox"/> b) Agreement IS NOT exempt. (Consult with the legal office to determine next steps.) Check all that apply <input type="checkbox"/> Initial Study <input type="checkbox"/> Environmental Impact Report <input type="checkbox"/> Negative Declaration <input type="checkbox"/> Statement of Overriding Considerations <input type="checkbox"/> Mitigated Negative Declaration

List all subcontractors (major and minor) and equipment vendors: (attach additional sheets as necessary)	
Legal Company Name:	Budget
OsiSoft	\$ 95,000

List all key partners: (attach additional sheets as necessary)
Legal Company Name:

Budget Information			
Funding Source	Funding Year of Appropriation	Budget List No.	Amount
EPIC	13-14	301.001A	\$3,017,035
			\$
			\$
R&D Program Area:	EERO: IAW	TOTAL:	\$3,017,035
Explanation for "Other" selection			

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CALIFORNIA ENERGY COMMISSION



Reimbursement Contract #:				Federal Agreement #:			
Recipient's Administrator/ Officer				Recipient's Project Manager			
Name:	Nicole Davis			Name:	Sadrul Ula		
Address:	1084 COLUMBIA AVE			Address:	1084 COLUMBIA AVE		
City, State, Zip:	RIVERSIDE, CA 92507-2134			City, State, Zip:	RIVERSIDE, CA 92507-2134		
Phone:	951-781-5744 /	Fax:	- -	Phone:	951-781-5676 /	Fax:	- -
E-Mail:	ndavis@cert.ucr.edu			E-Mail:	sula@cert.ucr.edu		
Selection Process Used							
<input checked="" type="checkbox"/> Competitive Solicitation				Solicitation #: PON-14-304			
<input type="checkbox"/> First Come First Served Solicitation							
The following items should be attached to this GRF							
1. Exhibit A, Scope of Work				<input checked="" type="checkbox"/>	Attached		
2. Exhibit B, Budget Detail				<input checked="" type="checkbox"/>	Attached		
3. CEC 105, Questionnaire for Identifying Conflicts				<input checked="" type="checkbox"/>	Attached		
4. Recipient Resolution				<input checked="" type="checkbox"/>	N/A	<input type="checkbox"/>	Attached
5. CEQA Documentation				<input checked="" type="checkbox"/>	N/A	<input type="checkbox"/>	Attached

**Agreement
 Manager**

Date

Office Manager

Date

Deputy Director

Date

Exhibit A Scope of Work

A. Task List

Task #	CPR ¹	Task Name
1		General Project Tasks
2		Energy Management System and Supervisory Control and Data Acquisition Requirements
3		Site Specific Configuration
4	X	Site Deployments
5		Testing and Validation
6	X	System Operation
7		Independent Verification and Validation
8		Evaluation of Project Benefits
9		Technology/Knowledge Transfer Activities
10		Production Readiness Plan

B. Acronym/Term List

Acronym/Term	Meaning
CAM	Commission Agreement Manager
CAO	Commission Agreement Officer
CPR	Critical Project Review
DR	Demand Response
EMS	Energy Management System
IOU	Investor Owned Utility
SCADA	Supervisory Control and Data Acquisition
TAC	Technical Advisory Committee

I. PURPOSE OF AGREEMENT, PROBLEM/SOLUTION STATEMENT, AND GOALS AND OBJECTIVES

A. Purpose of Agreement

The purpose of this Agreement is to fund the integration, installation and demonstration, validation, and verification of a software system with existing Supervisory Control and Data Acquisition Systems (SCADA) and Energy Management System (EMS) within existing water district operations. This integrated system has the potential of improving energy efficiency, and reducing peak demand, and electricity costs in the delivery and treatment of water.

¹ Please see subtask 1.3 in Part III of the Scope of Work (General Project Tasks) for a description of Critical Project Review (CPR) Meetings.

Exhibit A

Scope of Work

B. Problem/ Solution Statement

Problem

Most water and waste water systems in California have developed over the past 100 years to satisfy local needs, inheriting dated equipment along the way in an ad-hoc manner. The result is mismatched systems that are inefficient and hard to globally manage and expand to enhance communication and control capabilities. To increase efficiencies and reliability, and reduce costs, SCADA-based system upgrades are needed for continuous real-time monitoring and control. However, most SCADA-based management systems cannot accommodate the various vintages of equipment and are unable to communicate among different vendors protocols.

Solution

The Recipient and its partners will demonstrate and validate energy management and data acquisition and supervisory control strategies with the software and hardware system that can improve efficiency and reduce both peak loads and electricity costs in the delivery and treatment of water in California. This new software and hardware system will overlay and incorporate existing energy management systems (EMS) and/or supervisory control and data acquisition (SCADA) systems without disrupting current operations at the demonstration sites. The approach is compatible with existing equipment of any age from any manufacturer. This project will involve water agencies located in California's investor owned utility (IOU) territories.

C. Goals and Objectives of the Agreement

Agreement Goals

The goals of this Agreement are to:

- Demonstrate the operational and IOU ratepayer benefits of an integrated SCADA system and EMS deployment at water facilities within California using a software and hardware system;
- Upgrade existing on-site water system historic data and control architecture with an integrated software and hardware system architecture at each demonstration site;
- Integrate DR (Demand Response) capabilities within the facility SCADA system and EMS to optimize energy use relative to water system needs;
- Install and demonstrate components and architecture in at least 3 up to 5 water management locations within IOU territories;
- Ensure architecture, components, and technology are commercially viable and reproducible at similar locations;
- Validate software and hardware system operation, quantify electrical demand impacts, quantify emission offsets, and provide outreach and marketing to promote future water management facility upgrades throughout California.

Exhibit A Scope of Work

Ratepayer Benefits:² Enhanced EMS and SCADA controls will help reduce both peak demand and kWh use during peak periods in which electricity generation, transmission and distribution systems in California face maximum stress. During the recent heat wave in September 2014, many areas of Southern California established new peak demands surpassing previous records of 2006-2007. To reliably supply these new peaks, additional costly and inefficient peaker generation units are often used.

[see <http://www.utsandiego.com/news/2014/sep/21/resilient-post-nuclear-grid/>]. The demand reduction technology implemented through this project will help reduce the need for new plants, thereby increasing reliability with very little additional cost.

Technological Advancement and Breakthroughs:³ This new system will be designed to overlay and incorporate existing energy management systems (EMS) and /or supervisory control and data acquisition (SCADA) systems to provide optimal flexibility at a systems level for energy management and peak demand reduction regardless of the underlying equipment.

Agreement Objectives

The objectives of this Agreement are to:

- Conduct a technology review of existing SCADA systems and EMS currently deployed;
- Perform technology/system inventory at demonstration facilities (sites);
- Identify system components and processes requiring upgrade and integration;
- Determine site-specific design requirements and constraints;
- Perform customized software and hardware to improve SCADA and EMS control;
- Complete permitting and site approvals;
- Procure SCADA and EMS components;
- Develop site integration methods for SCADA and EMS;
- Perform SCADA and EMS integration;
- Develop operational and maintenance procedures;
- Perform data collection, data storage, and data analysis;
- Coordinate independent verification and validation; and,
- Collaborate with California based companies for marketing and future deployments of upgraded software and hardware system.

² California Public Resources Code, Section 25711.5(a) requires projects funded by the Electric Program Investment Charge (EPIC) to result in ratepayer benefits. The California Public Utilities Commission, which established the EPIC in 2011, defines ratepayer benefits as greater reliability, lower costs, and increased safety (See CPUC "Phase 2" Decision 12-05-037 at page 19, May 24, 2012, http://docs.cpuc.ca.gov/PublishedDocs/WORD_PDF/FINAL_DECISION/167664.PDF).

³ California Public Resources Code, Section 25711.5(a) also requires EPIC-funded projects to lead to technological advancement and breakthroughs to overcome barriers that prevent the achievement of the state's statutory and energy goals.

Exhibit A

Scope of Work

II. TASK 1 GENERAL PROJECT TASKS

PRODUCTS

Subtask 1.1 Products

The goal of this subtask is to establish the requirements for submitting project products (e.g., reports, summaries, plans, and presentation materials). Unless otherwise specified by the Commission Agreement Manager (CAM), the Recipient must deliver products as required below by the dates listed in the **Project Schedule (Part V)**. Products that require a draft version are indicated by marking “**(draft and final)**” after the product name in the “Products” section of the task/subtask. If “(draft and final)” does not appear after the product name, only a final version of the product is required. With respect to due dates within this Scope of Work, “**days**” means working days.

The Recipient shall:

For products that require a draft version

- Submit all draft products to the CAM for review and comment in accordance with the Project Schedule (Part V). The CAM will provide written comments to the Recipient on the draft product within 15 days of receipt, unless otherwise specified in the task/subtask for which the product is required.
- Submit the final product to the CAM once agreement has been reached on the draft. The CAM will provide written approval of the final product within 15 days of receipt, unless otherwise specified in the task/subtask for which the product is required.
- If the CAM determines that the final product does not sufficiently incorporate his/her comments, submit the revised product to the CAM within 10 days of notice by the CAM, unless the CAM specifies a longer time period.

For products that require a final version only

- Submit the product to the CAM for approval.
- If the CAM determines that the product requires revision, submit the revised product to the CAM within 10 days of notice by the CAM, unless the CAM specifies a longer time period.

For all products

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

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

Exhibit A Scope of Work

- Data sets will be in MS Excel file format (version 2007 or later), or any other format approved by the CAM.
- Text documents will be in MS Word file format, version 2007 or 2010
- Documents intended for public distribution will be in PDF file format. The Recipient must also provide the native Microsoft file format.
- Project management documents will be in Microsoft Project file format, version 2007 or later.

- **Software Application Development**
Use the following standard Application Architecture components in compatible versions for any software application development required by this Agreement (e.g., databases, models, modeling tools), unless the CAM approves other software applications such as open source programs:
 - Microsoft ASP.NET framework (version 3.5 and up). Recommend 4.0.
 - Microsoft Internet Information Services (IIS), (version 6 and up) Recommend 7.5.
 - Visual Studio.NET (version 2008 and up). Recommend 2010.
 - C# Programming Language with Presentation (UI), Business Object and Data Layers.
 - SQL (Structured Query Language).
 - Microsoft SQL Server 2008, Stored Procedures. Recommend 2008 R2.
 - Microsoft SQL Reporting Services. Recommend 2008 R2.
 - XML (external interfaces).

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

MEETINGS

Subtask 1.2 Kick-off Meeting

The goal of this subtask is to establish the lines of communication and procedures for implementing this Agreement.

The Recipient shall:

- Attend a "Kick-off" meeting with the CAM, the Commission Agreement Officer (CAO), and any other Energy Commission staff relevant to the Agreement. The Recipient will bring its Project Manager and any other individuals designated by the CAM to this meeting. The administrative and technical aspects of the Agreement will be discussed at the meeting. Prior to the meeting, the CAM will provide an agenda to all potential meeting participants. The meeting may take place in person or by electronic conferencing (e.g., WebEx), with approval of the CAM.

The administrative portion of the meeting will include discussion of the following:

- Terms and conditions of the Agreement;
- Administrative products (subtask 1.1);
- CPR meetings (subtask 1.3);
- Match fund documentation (subtask 1.7);

Exhibit A Scope of Work

- Permit documentation (subtask 1.8);
- Subcontracts (subtask 1.9); and
- Any other relevant topics.

The technical portion of the meeting will include discussion of the following:

- The CAM's expectations for accomplishing tasks described in the Scope of Work;
 - An updated Project Schedule;
 - Technical products (subtask 1.1);
 - Progress reports and invoices (subtask 1.5);
 - Final Report (subtask 1.6);
 - Technical Advisory Committee meetings (subtasks 1.10 and 1.11); and
 - Any other relevant topics.
- Provide an *Updated Project Schedule*, *List of Match Funds*, and *List of Permits*, as needed to reflect any changes in the documents.

The CAM shall:

- Designate the date and location of the meeting.
- Send the Recipient a *Kick-off Meeting Agenda*.

Recipient Products:

- Updated Project Schedule *(if applicable)*
- Updated List of Match Funds *(if applicable)*
- Updated List of Permits *(if applicable)*

CAM Product:

- Kick-off Meeting Agenda

Subtask 1.3 Critical Project Review (CPR) Meetings

The goal of this subtask is to determine if the project should continue to receive Energy Commission funding, and if so whether any modifications must be made to the tasks, products, schedule, or budget. CPR meetings provide the opportunity for frank discussions between the Energy Commission and the Recipient. As determined by the CAM, discussions may include project status, challenges, successes, advisory group findings and recommendations, final report preparation, and progress on technical transfer and production readiness activities (if applicable). Participants will include the CAM and the Recipient, and may include the CAO and any other individuals selected by the CAM to provide support to the Energy Commission.

CPR meetings generally take place at key, predetermined points in the Agreement, as determined by the CAM and as shown in the Task List on page 1 of this Exhibit. However, the CAM may schedule additional CPR meetings as necessary. The budget will be reallocated to cover the additional costs borne by the Recipient, but the overall Agreement amount will not increase. CPR meetings generally take place at the Energy Commission, but they may take place at another location, or may be conducted via electronic conferencing (e.g., WebEx) as determined by the CAM.

Exhibit A Scope of Work

The Recipient shall:

- Prepare a *CPR Report* for each CPR meeting that: (1) discusses the progress of the Agreement toward achieving its goals and objectives; and (2) includes recommendations and conclusions regarding continued work on the project.
- Submit the CPR Report along with any other *Task Products* that correspond to the technical task for which the CPR meeting is required (i.e., if a CPR meeting is required for Task 2, submit the Task 2 products along with the CPR Report).
- Attend the CPR meeting.
- Present the CPR Report and any other required information at each CPR meeting.

The CAM shall:

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

Recipient Products:

- CPR Report(s)
- Task Products (draft and/or final as specified in the task)

CAM Products:

- CPR Agenda
- List of Expected CPR Participants
- Schedule for Providing a Progress Determination
- Progress Determination

Subtask 1.4 Final Meeting

The goal of this subtask is to complete the closeout of this Agreement.

The Recipient shall:

- Meet with Energy Commission staff to present project findings, conclusions, and recommendations. The final meeting must be completed during the closeout of this Agreement. This meeting will be attended by the Recipient and CAM, at a minimum. The meeting may occur in person or by electronic conferencing (e.g., WebEx), with approval of the CAM.

Exhibit A Scope of Work

The technical and administrative aspects of Agreement closeout will be discussed at the meeting, which may be divided into two separate meetings at the CAM's discretion.

- The technical portion of the meeting will involve the presentation of findings, conclusions, and recommended next steps (if any) for the Agreement. The CAM will determine the appropriate meeting participants.
- The administrative portion of the meeting will involve a discussion with the CAM and the CAO of the following Agreement closeout items:
 - Disposition of any state-owned equipment.
 - Need to file a Uniform Commercial Code Financing Statement (Form UCC-1) regarding the Energy Commission's interest in patented technology.
 - The Energy Commission's request for specific "generated" data (not already provided in Agreement products).
 - Need to document the Recipient's disclosure of "subject inventions" developed under the Agreement.
 - "Surviving" Agreement provisions such as repayment provisions and confidential products.
 - Final invoicing and release of retention.
- Prepare a *Final Meeting Agreement Summary* that documents any agreement made between the Recipient and Commission staff during the meeting.
- Prepare a *Schedule for Completing Agreement Closeout Activities*.
- Provide *All Draft and Final Written Products* on a CD-ROM or USB memory stick, organized by the tasks in the Agreement.

Products:

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

REPORTS AND INVOICES

Subtask 1.5 Progress Reports and Invoices

The goals of this subtask are to: (1) periodically verify that satisfactory and continued progress is made towards achieving the project objectives of this Agreement; and (2) ensure that invoices contain all required information and are submitted in the appropriate format.

The Recipient shall:

- Submit a monthly *Progress Report* to the CAM. Each progress report must:
 - Summarize all Agreement activities conducted by the Recipient for the preceding month, including an assessment of the ability to complete the Agreement within the current budget and any anticipated cost overruns. See the Progress Report Format Attachment for the recommended specifications.
 - Provide a synopsis of the project progress, including accomplishments, problems, milestones, products, schedule, fiscal status, and any evidence of progress such as photographs.

Exhibit A Scope of Work

- Submit a monthly or quarterly *Invoice* that follows the instructions in the “Payment of Funds” section of the terms and conditions. In addition, each invoice must document and verify:
 - Energy Commission funds received by California-based entities;
 - Energy Commission funds spent in California (*if applicable*); and
 - Match fund expenditures.

Products:

- Progress Reports
- Invoices

Subtask 1.6 Final Report

The goal of this subtask is to prepare a comprehensive Final Report that describes the original purpose, approach, results, and conclusions of the work performed under this Agreement. The CAM will review and approve the Final Report, which will be due at least **two months** before the Agreement end date. When creating the Final Report Outline and the Final Report, the Recipient must use a Style Manual provided by the CAM.

Subtask 1.6.1 Final Report Outline

The Recipient shall:

- Prepare a *Final Report Outline* in accordance with the *Style Manual* provided by the CAM.
- Submit a draft of the outline to the CAM for review and comment.
- Once agreement has been reached on the draft, submit the final outline to the CAM. The CAM will provide written approval of the final outline within 10 days of receipt.

Recipient Products:

- Final Report Outline (draft and final)

CAM Product:

- Style Manual
- Comments on Draft Final Report Outline
- Approval of Final Report Outline

Subtask 1.6.2 Final Report

The Recipient shall:

- Prepare a *Final Report* for this Agreement in accordance with the approved Final Report Outline and the Style Manual provided by the CAM.
- Submit a draft of the report to the CAM for review and comment. Once agreement on the draft report has been reached, the CAM will forward the electronic version for Energy Commission internal approval. Once the CAM receives approval, he/she will provide written approval to the Recipient.
- Submit one bound copy of the Final Report to the CAM.

Exhibit A Scope of Work

Recipient Products:

- Final Report (draft and final)

CAM Product

- Comments on Draft Final Report

MATCH FUNDS, PERMITS, AND SUBCONTRACTS

Subtask 1.7 Match Funds

The goal of this subtask is to ensure that the Recipient obtains any match funds planned for this Agreement and applies them to the Agreement during the Agreement term.

While the costs to obtain and document match funds are not reimbursable under this Agreement, the Recipient may spend match funds for this task. The Recipient may only spend match funds during the Agreement term, either concurrently or prior to the use of Energy Commission funds. Match funds must be identified in writing, and the Recipient must obtain any associated commitments before incurring any costs for which the Recipient will request reimbursement.

The Recipient shall:

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

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

- A list of the match funds that identifies:
 - The amount of cash match funds, their source(s) (including a contact name, address, and telephone number), and the task(s) to which the match funds will be applied.
 - The amount of each in-kind contribution, a description of the contribution type (e.g., property, services), the documented market or book value, the source (including a contact name, address, and telephone number), and the task(s) to which the match funds will be applied. If the in-kind contribution is equipment or other tangible or real property, the Recipient must identify its owner and provide a contact name, address, telephone number, and the address where the property is located.
- A copy of a letter of commitment from an authorized representative of each source of match funding that the funds or contributions have been secured.
- At the Kick-off meeting, discuss match funds and the impact on the project if they are significantly reduced or not obtained as committed. If applicable, match funds will be included as a line item in the progress reports and will be a topic at CPR meetings.
- Provide a *Supplemental Match Funds Notification Letter* to the CAM of receipt of additional match funds.
- Provide a *Match Funds Reduction Notification Letter* to the CAM if existing match funds are reduced during the course of the Agreement. Reduction of match funds may trigger a CPR meeting.

Exhibit A Scope of Work

Products:

- Match Funds Status Letter
- Supplemental Match Funds Notification Letter (*if applicable*)
- Match Funds Reduction Notification Letter (*if applicable*)

Subtask 1.8 Permits

The goal of this subtask is to obtain all permits required for work completed under this Agreement in advance of the date they are needed to keep the Agreement schedule on track. Permit costs and the expenses associated with obtaining permits are not reimbursable under this Agreement, with the exception of costs incurred by University of California recipients. Permits must be identified and obtained before the Recipient may incur any costs related to the use of the permit(s) for which the Recipient will request reimbursement.

The Recipient shall:

- Prepare a *Permit Status Letter* that documents the permits required to conduct this Agreement. If no permits are required at the start of this Agreement, then state this in the letter. If permits will be required during the course of the Agreement, provide in the letter:
 - A list of the permits that identifies: (1) the type of permit; and (2) the name, address, and telephone number of the permitting jurisdictions or lead agencies.
 - The schedule the Recipient will follow in applying for and obtaining the permits.

The list of permits and the schedule for obtaining them will be discussed at the Kick-off meeting (subtask 1.2), and a timetable for submitting the updated list, schedule, and copies of the permits will be developed. The impact on the project if the permits are not obtained in a timely fashion or are denied will also be discussed. If applicable, permits will be included as a line item in progress reports and will be a topic at CPR meetings.

- If during the course of the Agreement additional permits become necessary, then provide the CAM with an *Updated List of Permits* (including the appropriate information on each permit) and an *Updated Schedule for Acquiring Permits*.
- Send the CAM a *Copy of Each Approved Permit*.
- If during the course of the Agreement permits are not obtained on time or are denied, notify the CAM within 5 days. Either of these events may trigger a CPR meeting.

Products:

- Permit Status Letter
- Updated List of Permits (*if applicable*)
- Updated Schedule for Acquiring Permits (*if applicable*)
- Copy of each Approved Permit (*if applicable*)

Subtask 1.9 Subcontracts

The goals of this subtask are to: (1) procure subcontracts required to carry out the tasks under this Agreement; and (2) ensure that the subcontracts are consistent with the terms and conditions of this Agreement.

The Recipient shall:

- Manage and coordinate subcontractor activities in accordance with the requirements of this Agreement.
- Incorporate this Agreement by reference into each subcontract.

Exhibit A Scope of Work

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

Products:

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

TECHNICAL ADVISORY COMMITTEE

Subtask 1.10 Technical Advisory Committee (TAC)

The goal of this subtask is to create an advisory committee for this Agreement. The TAC should be composed of diverse professionals. The composition will vary depending on interest, availability, and need. TAC members will serve at the CAM's discretion. The purpose of the TAC is to:

- Provide guidance in project direction. The guidance may include scope and methodologies, timing, and coordination with other projects. The guidance may be based on:
 - Technical area expertise;
 - Knowledge of market applications; or
 - Linkages between the agreement work and other past, present, or future projects (both public and private sectors) that TAC members are aware of in a particular area.
- Review products and provide recommendations for needed product adjustments, refinements, or enhancements.
- Evaluate the tangible benefits of the project to the state of California, and provide recommendations as needed to enhance the benefits.
- Provide recommendations regarding information dissemination, market pathways, or commercialization strategies relevant to the project products.

The TAC may be composed of qualified professionals spanning the following types of disciplines:

- Researchers knowledgeable about the project subject matter;
- Members of trades that will apply the results of the project (e.g., designers, engineers, architects, contractors, and trade representatives);
- Public interest market transformation implementers;
- Product developers relevant to the project;
- U.S. Department of Energy research managers, or experts from other federal or state agencies relevant to the project;
- Public interest environmental groups;
- Utility representatives;
- Air district staff; and
- Members of relevant technical society committees.

Exhibit A Scope of Work

The Recipient shall:

- Prepare a *List of Potential TAC Members* that includes the names, companies, physical and electronic addresses, and phone numbers of potential members. The list will be discussed at the Kick-off meeting, and a schedule for recruiting members and holding the first TAC meeting will be developed.
- Recruit TAC members. Ensure that each individual understands member obligations and the TAC meeting schedule developed in subtask 1.11.
- Prepare a *List of TAC Members* once all TAC members have committed to serving on the TAC.
- Submit *Documentation of TAC Member Commitment* (such as Letters of Acceptance) from each TAC member.

Products:

- List of Potential TAC Members
- List of TAC Members
- Documentation of TAC Member Commitment

Subtask 1.11 TAC Meetings

The goal of this subtask is for the TAC to provide strategic guidance for the project by participating in regular meetings, which may be held via teleconference.

The Recipient shall:

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

Products:

- TAC Meeting Schedule (draft and final)
- TAC Meeting Agendas (draft and final)
- TAC Meeting Back-up Materials
- TAC Meeting Summaries

Exhibit A Scope of Work

III. TECHNICAL TASKS

*Products that require a draft version are indicated by marking “(draft and final)” after the product name in the “Products” section of the task/subtask. If “(draft and final)” does not appear after the product name, only a final version of the product is required. **Subtask 1.1 (Products)** describes the procedure for submitting products to the CAM.*

TASK 2: Energy Management System and Supervisory Control and Data Acquisition Requirements

The goals of this task are to define and specify the Energy Management System (EMS) and Supervisory Control and Data Acquisition (SCADA) software and hardware integration requirements for each site location. Define monitoring, physical data and power connections between system components.

The Recipient shall:

- Identify and reach agreement with Authorized Representative(s) of the selected demonstration sites(s) regarding project timeline, equipment installation and post-demonstration removal of non-permanent components and involved support staff.
- Conduct a technology review of existing SCADA and EMS components at each demonstration site location.
- Perform a technology and system inventory at each demonstration facility.
- Identify existing system components to be integrated within future upgrades.
- Create Site Drawings of physical system layout with communications.
- Procure any additional compatible SCADA and EMS software.
- Prepare a *Task 2 Report* that includes, but is not limited to:
 - identification of locations and documentation of agreements with at least three demonstration sites
 - identification of procurement needs regarding SCADA and EMS software and hardware integration
 - findings from the technology review of existing SCADA and EMS components
 - demonstration site inventories
 - Identification of existing system components requiring integration
 - site drawing diagrams.

Products:

- Task 2 Report

TASK 3: Site Specific Configuration

The goals of this task are to configure SCADA and EMS software and integrate associated hardware for each site. Implement EMS functions based on facility daily energy profile and water system operational requirements. Configure communications and control algorithms and coordinate with utility and project partners for energy requirements.

The Recipient shall:

- Determine individual site design requirements and system constraints.
- Conduct technology analysis of system component integration within SCADA and EMS.

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- Perform customized SCADA and EMS design.
- Prepare *Demonstration Sites Systems Report* defining SCADA and EMS system components, functions, and operations.

Products:

- Demonstration Sites Systems Report

TASK 4: Site Deployments

The goals of this task are to 1) install SCADA and EMS software and hardware at demonstration site locations, and 2) to test and confirm individual component operation (prior to testing a complete system in task 5).

The Recipient shall:

- Develop and implement a component installation test plan.
- Implement physical data connections between all components.
- Perform functional test of system components.
- Perform monitoring test of system components.
- Perform control test of system components over full range of operation.
- Prepare a *Test Plan and Results Report*, including, but not limited to the component installation test plan developed in this task, results of functional, monitoring and control test of system components.
- Have the *Test Plan and Results Report* reviewed by utility and project partners for comment.
- Prepare a *CPR Report*
- Participate in a CPR Meeting

Products:

- Test Plan and Results Report
- CPR Report

TASK 5: Testing and Validation

The goals of this task are to 1) test and validate SCADA and EMS operation at individual demonstration sites, and 2) to test control algorithms and coordinate with utility and project partners for DR operation.

The Recipient shall:

- Develop and implement a test plan for integrated SCADA system component operation.
- Develop and implement a test plan for EMS functions and operating modes.
- Configure and complete a test of installed complete systems consisting of integrated SCADA and EMS operation at each site location.
- Integrate existing and previously established utility initiated DR functions currently being used by partner demonstration sites.
- Prepare a *Demonstration Sites Test Plans and Results Report*, to include, but not be limited to;
 - a description of the test plans for EMS and SCADA system component operations previously developed in this task

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- a description of the test results for installed integrated SCADA and EMS systems and a discussion on how these installed systems integrate with existing DR functions that are part of the operations of particular demonstration sites.

Products:

- Demonstration Sites Test Plans and Results Report

TASK 6: System Operation

The goals of this task are 1) to operate the system installations at each demonstration site for periods of at least 12 months, and 2) to collect operational data during that period at each demonstration site.

The Recipient shall:

- Operate individual systems for a minimum of 12 months.
- Collect and store system SCADA and EMS operational data.
- Respond to system failure or shutdown and repair as necessary.
- Prepare a *Demonstration Sites Operational Report*, to include, but not be limited to, a discussion of the system operations, system failures and shut down and the collection and storing of the SCADA and EMS operational data.
- Prepare a *CPR Report*
- Participate in a CPR Meeting

Products:

- Demonstration Sites Operational Report
- CPR Report

TASK 7: Independent Verification and Validation

The goals of this task are to facilitate the completion of an independent system verification and validation. The recipient will manage the subcontract process and ensure the independent entity is provided sufficient access, data, and system information to complete the verification and validation.

The Recipient shall:

- Coordinate and manage verification and validation of project operational data from a third party, independent subcontractor.
- Provide system specifications and operational data.
- Coordinate access to system installations for subcontractor.
- Oversee completion and delivery of *Demonstration Sites Verification and Validation Report*, to include but not be limited to, description of monitoring and verification methodology, available baseline data, and post implementation measurement of actual energy and water use, and peak demand after implementation of SCADA /EMS software and determination of total energy, water and peak demand load reduction achieved.

Products:

- Demonstration Sites Verification and Validation Report

Exhibit A Scope of Work

TASK 8: Evaluation of Project Benefits

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

The Recipient shall:

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

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- The number of website downloads.
- An estimate of how the project information has affected energy use and cost, or has resulted in other non-energy benefits.
- An estimate of energy and non-energy benefits.
- Data on potential job creation, market potential, economic development, and increased state revenue as a result of project.
- A discussion of project product downloads from websites, and publications in technical journals.
- A comparison of project expectations and performance. Discuss whether the goals and objectives of the Agreement have been met and what improvements are needed, if any.
- Respond to CAM questions regarding responses to the questionnaires.

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

Products:

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

TASK 9: Technology/Knowledge Transfer Activities

The goal of this task is to develop a plan to make the knowledge gained, experimental results, and lessons learned available to the public and key decision makers.

The Recipient shall:

- Prepare an *Initial Fact Sheet* at start of the project that describes the project. Use the format provided by the CAM.
- Prepare a *Final Project Fact Sheet* at the project's conclusion that discusses results. Use the format provided by the CAM.
- Prepare a *Technology/Knowledge Transfer Plan* that includes:
 - An explanation of how the knowledge gained from the project will be made available to the public, including the targeted market sector and potential outreach to end users, utilities, regulatory agencies, and others.
 - A description of the intended use(s) for and users of the project results.
 - Published documents, including date, title, and periodical name.
 - Copies of documents, fact sheets, journal articles, press releases, and other documents prepared for public dissemination. These documents must include the Legal Notice required in the terms and conditions. Indicate where and when the documents were disseminated.
 - A discussion of policy development. State if project has been or will be cited in government policy publications, or used to inform regulatory bodies.
 - The number of website downloads or public requests for project results.
 - Additional areas as determined by the CAM.
- Conduct technology transfer activities in accordance with the Technology/Knowledge Transfer Plan. These activities will be reported in the Progress Reports.
- When directed by the CAM, develop *Presentation Materials* for an Energy Commission-sponsored conference/workshop on the results of the project.

Exhibit A Scope of Work

- Prepare a *Technology/Knowledge Transfer Report* on technology transfer activities conducted during the project.

Products:

- Initial Fact Sheet (draft and final)
- Final Project Fact Sheet (draft and final)
- Presentation Materials (draft and final)
- Technology/Knowledge Transfer Plan (draft and final)
- Technology/Knowledge Transfer Report (draft and final)

TASK 10: Production Readiness Plan

The goal of this task is to determine the steps that will lead to the manufacturing of technologies developed in this project or to the commercialization of the project's results.

The Recipient shall:

- Prepare a *Production Readiness Plan*. The degree of detail in the plan should be proportional to the complexity of producing or commercializing the proposed product, and to its state of development. As appropriate, the plan will discuss the following:
 - Critical production processes, equipment, facilities, personnel resources, and support systems needed to produce a commercially viable product.
 - Internal manufacturing facilities, supplier technologies, capacity constraints imposed by the design under consideration, design-critical elements, and the use of hazardous or non-recyclable materials. The product manufacturing effort may include "proof of production processes."
 - The estimated cost of production.
 - The expected investment threshold needed to launch the commercial product.
 - An implementation plan to ramp up to full production.
 - The outcome of product development efforts, such as copyrights and license agreements.
 - Patent numbers and applications, along with dates and brief descriptions.
 - Other areas as determined by the CAM.

Products:

- Production Readiness Plan (draft and final)

IV. PROJECT SCHEDULE

Please see the attached Excel spreadsheet.

STATE OF CALIFORNIA

STATE ENERGY RESOURCES
CONSERVATION AND DEVELOPMENT COMMISSION

RESOLUTION - RE: UNIVERSITY OF CALIFORNIA, RIVERSIDE

RESOLVED, that the State Energy Resources Conservation and Development Commission (Energy Commission) adopts the staff CEQA findings contained in the Agreement Request Form; and

RESOLVED, that the Energy Commission approves Agreement EPC-14-062 from PON-14-304 with the **Regents of the University of California, on behalf of the Riverside Campus** for a **\$3,017,034** grant to deploy energy management and other control strategies to improve energy efficiency and reduce costs in the delivery and treatment of wastewater in California; and

FURTHER BE IT RESOLVED, that the Executive Director or his/her designee shall execute the same on behalf of the Energy Commission.

CERTIFICATION

The undersigned Secretariat to the Commission does hereby certify that the foregoing is a full, true, and correct copy of a Resolution duly and regularly adopted at a meeting of the California Energy Commission held on May 13, 2015.

AYE: [List of Commissioners]

NAY: [List of Commissioners]

ABSENT: [List of Commissioners]

ABSTAIN: [List of Commissioners]

Harriet Kallemeyn,
Secretariat